ANNOTATION

to the dissertation of Battalov Nazym Nurlanovich for the degree of Doctor of Philosophy (PhD) in the specialty "8D04103-State and Local Administration"

"Performance management in local executive bodies of the Republic of Kazakhstan"

General description of the research. The dissertation was conducted to diagnose the practice of performance management in local executive bodies (hereinafter referred to as LEB) of the country, including the processes of state planning, monitoring, evaluating performance, developing and stimulating civil servants, as well as developing proposals for improving these areas.

Relevance of the research topic.

During the years of independence, Kazakhstan has managed to go through a serious economic and political transformation. At the same time, against the background of building a market economy, the state remains one of the drivers, implementing a whole range of socio-economic programs. In this regard, a huge responsibility is placed on public administration, on the effectiveness of which the success of reforms and policies depends. It is no coincidence that the issue of improving public administration is among the priority tasks according to the Strategy Kazakhstan-2050 and the National Development Plan of the Republic of Kazakhstan until 2029.

As emphasized in the Concept of Development of Public Administration of the Republic of Kazakhstan until 2030, currently "the demand for more effective public administration is steadily forming... at the same time, the current model does not fully meet the expectations of the population." Indeed, in today's realities, the state apparatus faces a double challenge, when, on the one hand, budget opportunities are narrowing, and on the other, public expectations are increasing.

Despite the adoption of a package of administrative reforms, introduction of a new state planning system, improvement of the civil service, digitalization of the public sector and other institutional solutions, the quality of public administration remains low. Thus, in 2023 alone, the country's state bodies inefficiently spent more than 1 trillion tenge. Numerous state programs and initiatives have been recognized as failures, without becoming economic factors. As a result of the chronic inefficiency of state institutions in the country, the quality of life worsens, the lack of professionalism of state bodies causes the failure to meet deadlines for the implementation of objects of vital importance and the emergence of emergency situations in the regions. The stagnant nature of the quality and efficiency of public

administration in the country is also evidenced by the data of well-known international ratings of the World Bank and the Bertelsmann Foundation.

This situation makes it necessary to fundamentally rethink the existing management approaches in public bodies, including planning, monitoring, evaluation, and personnel management processes, in order to identify systemic barriers and problems. In this regard, the Head of State has repeatedly called for a comprehensive reform of public administration based on modern technologies and management systems. Thus, the President stressed that state bodies "should radically reconsider their attitude to work, we need efficiency, not bureaucracy."

In this regard, the issues of research on the performance management of state bodies come to the fore. This term implies a set of approaches aimed at achieving strategic goals by synchronizing all key aspects of the organization, including planning, monitoring, stimulating and developing employees, and evaluating performance.

When discussing issues of improving the performance of public administration, the emphasis is usually placed on the republican level, and the regions are unfairly left in the shadows and are considered in the wake of the central state bodies. Meanwhile, local executive bodies, being the main executors and agents of state policy on the ground, play an equally important role. M & E directly interact with the population, are responsible for improving living standards through the development of life support infrastructure, coordinate the activities of social institutions in the field of medicine, education, and security, and act as local operators of state business support programs.

These factors determined the relevance and significance of performance management analysis at the country's LEB level. In the scientific literature, there is a clear lack of comprehensive and in-depth works on this topic. Diagnostics will help identify problems and barriers to performance management in LEB, on the basis of which specific recommendations and mechanisms for improving their activities will be developed.

Local executive bodies of the Republic of Kazakhstan are identified as **the object of the study.**

The subject of the study is a set of approaches, measures, practices, tools and methods aimed at managing the performance of local executive bodies of the Republic of Kazakhstan.

The aim of the study is a comprehensive diagnosis of performance management practices in LEB and the development of measures to improve them.

This goal predetermined the **following tasks:**

- study the conceptual and theoretical aspects of performance management;

- analyze the practice of managing the performance of local executive bodies of the Republic of Kazakhstan, including the system of planning, monitoring and evaluating the effectiveness of activities;

- evaluate the reform of project management implementation in local executive bodies of Almaty;

- based on the identified problems and taking into account modern management approaches, develop systematic recommendations for improving performance management in LEB.

The theoretical and methodological basis of the study is based on the scientific works of foreign and Kazakhstani researchers in the field of performance management, planning and evaluation of efficiency, development of project management in state bodies. The methodological basis of the study is tools and approaches for studying performance management in organizations by Ferreira and Otley, Armstrong, and meta-assessment methods by Scriven and, Davidson. The dissertation focuses on an in-depth study of performance management problems, so a qualitative research strategy was chosen, which was also supplemented by quantitative methods, such as correlation analysis, full-scale quasi-experiment.

Along with general philosophical methods such as synthesis, generalization, comparison, and abstraction, this study uses thematic analysis based on empirical data coding as the main tool for data analysis. To achieve the goal and objectives, in-depth individual interviews were conducted with civil servants of the Almaty and Almaty region LEB, acts and methodologies in the field of performance management were analyzed. Other important sources are state planning documents, including regional development plans, reports on their implementation, publications on the results of evaluating the effectiveness of state bodies, and the results of expert-analytical and evaluation activities of regional Audit commissions.

Scientific novelty of the study. The following results characterize the novelty of this paper.

Main theoretical results:

- identified the main trends in the field of performance management;

- identified institutional and systemic frameworks that limit the potential of LEB in the Republic of Kazakhstan;

- risks and barriers in the implementation of project management approaches in local public administration are investigated.

Main practical results:

- recommendations are given for the development of guidelines for managing the performance in LEB;

- proposals were put forward to optimize the planning system, further synchronize strategic and budget planning, and increase the independence of LEB;

- developed ways to improve incentive measures in the context of improving the performance of civil servants;

- for the first time in the Kazakh context, a meta-evaluationtool was used to analyze the practice of evaluating the performance of LEB programs and activities;

- it is recommended to radically revise the practice of performance evaluation by updating the methodology and harmonizing all types of performance evaluation.

The main scientific provisions submitted for defense.

1. Based on the analysis of goal-setting practices, planning, monitoring and evaluation of the effectiveness of local executive bodies, a set of contextual, institutional and organizational problems affecting performance management in LEB is identified.

2. It is recommended to take measures to optimize the state planning system, strengthen the independence and results-based orientation of LEB;

3. It is proposed to apply an integrated approach by developing a Performance Management Handbook using the logic of a Balanced Scorecard. At the same time, a fundamental review of evaluation practices is being considered, which includes methodological updating of evaluation, adoption of professional standards and strengthening the mandate of the Audit Commission.

The theoretical and practical significance of the obtained results of the dissertation work is to develop new approaches to performance management in local executive bodies of Kazakhstan, taking into account organizational and individual aspects and based on modern management theories.

Recommendations developed on the basis of the identified institutional and practical problems can give impetus to the further implementation of the Concept of Public Administration Development of the Republic of Kazakhstan, through improving the system of planning, monitoring and evaluation of effectiveness.

The recommendations can also lay the foundation for a fundamental review of management mechanisms by adopting a unified Performance Management Handbook, which will include clear guidelines on goal setting, motivation, and development. Another methodological proposal is to modernize evaluation methodologies in accordance with recognized evaluation standards. The results of the study related to project management reform can also be useful in implementing similar practices in the country's regions. Together, the developed recommendations should contribute to the formation of a culture of high performance in LEB, thereby contributing to better implementation of public policy.

The theoretical and applied value of the work also lies in the development of an adapted meta-evaluation tool that can be used to analyze evaluation practices at the country level or in other contexts.

Testing of research results.

Some results of the study were presented at international and Kazakhstani scientific and practical conferences: the International Scientific and Theoretical Conference "Local Self-Government: achievements, Problems and Development Prospects" (November 11-12, 2022, Dushanbe), the International Scientific and Practical Conference "Economic reconstruction of Kazakhstan in the context of the global geopolitical crisis", dedicated to the 70th anniversary of the Institute Committee of the Ministry of Science and Higher Education of the Republic of Kazakhstan (November 25, 2022, Almaty), International Scientific and Practical Conference "New Kazakhstan: Development Prospects and Challenges of our time" (December 13, 2022, Almaty).

Publications.

The main scientific results of the study are published in the form of 3 articles (individually and co-authored) in scientific publications included in the List of scientific publications recommended for publication of the main results of scientific activity, 1 article co-authored in an international peer-reviewed scientific journal with a CiteScore percentile score of at least 25 (twenty-five) in the database Scopus.

Structure and scope of the study.

The dissertation consists ofan introduction, three chapters, a conclusion, and a list of sources used. The full volume of work is 211 pages. The dissertation includes 46 tables, 26 figures and 6 appendices. The list of sources contains 278 names.