

**ANALYSIS OF THE CHALLENGES AND PROSPECTS OF THE  
IMPLEMENTATION OF OPEN PERFORMANCE REVIEW AND  
APPRAISAL SYSTEM (OPRAS) IN LOCAL GOVERNMENT  
AUTHORITIES: A CASE OF HANDENI DISTRICT COUNCIL**

**By**

**Adellah Otto Nyello**

**A Dissertation Submitted in Partial Fulfillment of the Requirements for the  
Degree of Masters of Public Administration (MPA) of the University of Dodoma**

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## CERTIFICATION

The undersigned certifies that he has read and hereby recommends for acceptance by the University of Dodoma a dissertation entitled “**Analysis of the challenges and prospects of the implementation of OPRAS in Local Government Authorities a case of Handeni District Council**” in partial fulfilments for the degree of Master of Public Administration of the University of Dodoma.

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Dr.Sinda Hussen Sinda

(SUPERVISOR)

Date.....

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## **DEDICATION**

I would like to dedicate this research work to my lovely Husband Mr Ditrick John, my cute daughter Noreen Ditrick, my dear Parents, my sisters Anthonia and Jacqueline and all family members, for their encouragement and advice during my study.

## **ABSTRACT**

This study aimed to analyse the challenges and prospects of the implementation of Open Performance Review and Appraisal system in Handeni District Council. The specific objectives were to determine the level of awareness of OPRAS among employees, to assess the extent to which the council implements OPRAS, to investigate the challenges of the implementation of OPRAS and to determine the some ways to improve the implementation of OPRAS at Handeni District Council.

Cross-sectional survey design was employed to undertake the research. The sample of 100 employees as respondents was being selected randomly. Data were collected using interview and documentary review and SPSS version 16 was used in the course of data analysis. The findings revealed that, more than 70% of employees were not aware of OPRAS; this was due to inadequate training to the employees on the tool, poor prioritization, lack of commitment and seriousness of the management on the importance of the tool, poor communication between supervisors and their subordinates, and lack of realistic plan and employees' participation.

Despite the good intention of the Government to introduce OPRAS to LGAs yet the implementation of the system has been slow and in some cases unsuccessful. The study recommended that, the council should make sure that OPRAS is adapted by employees and the assessment process is carried out accordingly. The central government should ensure the availability of adequate human and financial resources to be able to achieve the intended objectives.

Awareness creation is also very important in conscientizing the people to demand service and accountability. This could be achieved if the government and other non-governmental organizations and other interested groups mout campaign to educate people on the right to access public services in specified timeframe as well as their entitlement to a quality and timeliness service.

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## **LIST OF ABBREVIATIONS/ACRONYMS**

CSRP	Civil Society Reform Program
MDAs	Ministries, independent Departments Agents
OPRAS	Open Performance Review and Appraisal System
SMART	Specific, Measurable, Attainable, Realistic and Time
NPM	New Public Management
SWOT	Strength, Weakness, Opportunities and Threats
MTEF	Medium Term Expenditure Framework
LGAs	Local Government Authorities
URT	United Republic of Tanzania
PMS	Performance Management Systems
PSRP	Public Service Reform Program
GOT	Government of Tanzania
PIF	Performance Improved Fund
PMO-RALG	Prime Ministers Office-Regional Authority and Local Government

## **CHAPTER ONE**

### **INTRODUCTION AND BACKGROUND**

#### **1.1 Introduction**

This chapter includes background to the problem, statement of the problem, research objectives, research questions, and significance of the study, limitation of the study and scope of the study. The problem of implementation of OPRAS is serious because it results to poor performance of the public sectors in Tanzania. In addition, there are many factors in the operation of OPRAS leading to its effective application for the benefit of employees and the councils.

#### **1.2 Background to the Problem**

At the end of 19<sup>th</sup> and beginning of 20<sup>th</sup> centuries, most of the organizations worldwide were under pressure to improve their performance in-order to increase their productivity. In a study on management practices in early twentieth century in USA, Williams (2002) reveals that many of the features of Performance Management were in use, what seems to be new was that, the features are now being used to deal with a greater variety of purposes and them also being used more extensively.

Furthermore, Williams (2002) provide that, initial steps in adoption of Performance Appraisal emanated from different fields including social reforms, specialist administrators as well as large corporations.

The aim was to respond to and sought answers for the problems arising from industrialization, poverty, social unrest, inefficiency and corruption in government

through the rationalization and qualification of policy and administration to improve performance and achieve the set goals and objectives.

African countries have adopted some forms of public services reform over the last decade. The common reform measures within those reforms are Performance Management System. It aims at improving service delivery through a result-oriented Performance Management Framework and imbibing a culture focusing on results rather than processes. The key is in measurable outputs and it provides a framework for using a strategic approach to planning and resource allocation, measurable outputs, accountability, monitoring and evaluation of performance as well as rewards (Mutahaba, 2010).

Kenya had been facing mal-performance in its public sector in 1980s. This was due to 1970-1980s World economic crises, the Uganda war in 1979 which resulted in deterioration of terms of trade (Taylor, 1988).

The poor performance of government of Tanzania in the public service is considered as a burden to tax payers rather than an asset. This is because of low productivity, erosion of work ethics, indiscipline, serious violation of value, regulations and procedures, weak control and corruption had been observed as common features in the service (Yambesi, 2004).

OPRAS represents the instrument through which performance is to be managed in the public service. Guidelines as well as an appraisal form have been designed by PO-PSM and are to be used for this purpose (GOT: 1998). However, the Guidelines and forms of OPRAS are no more than the representation of a complex system that

starts with a self-assessment of the organization, a scan of the external environment, setting of the organizational goals through a Strategic Plan, preparation of MTEF or Action Plan or Business Plan and extraction of objectives at various levels from the Permanent Secretary or Chief Executive Officer, Head of Division or Department, to Head of Section or Unit and ultimately the individual.

OPRAS is, however, more than just a system for setting objectives, or for rewarding and punishing non-performance. If it is honestly implemented, it provides an instrument through which periodic monitoring and reviewing of performance are conducted, the subordinate is coached and counseled, corrective action is taken and there are no surprises at the end of the year because the outputs achieved are already fairly well known between the two parties (Gasembe,2008).

It is also a fundamental principle of the new system that the employee is now involved in deciding what is to be done during the plan period. Even more, the employee is involved in the assessment that takes place and is given an opportunity to argue his or her case. This contrast is very strong when compared to the previous system when supervisors made their own private assessments and filled forms that they submitted to the employer without the input or knowledge of the employee involved. It is for this reason that OPRAS is called Open.

The Traditional appraisal system which was confidential, most appraisal methods involved judgments of one kind or other, the error of central tendency and the error of leniency were inherent in the process (Monappa: 1996). That performance appraisal system previously used, was too subjective, non-participatory and was

poorly managed to be of any assistance in adopted result-oriented and merit based civil service management programme had not received due attention in the public service. Training programmes carried out are not relating to work improvement.

Promotions are based more on institutional and inscriptive criteria than on institutional development. All these problems created a need to investigate the challenges and prospects of the implementation of open performance and review appraisal systems in Local Government Authorities, the case of Handeni District Council in Tanga Region.

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

The government of Tanzania has been facing mal-performance in the public sector and poor performance in the service delivery in its institutions since 1980s, the country also face difficulties to achieve higher levels of efficiency and productivity. This was due to the subjective traditional appraisal system used which was confidential and characterized by absence of feedback and poor help in identifying training needs (Kadebe, 2010).

Moreover, low level of education, lack of experience of workers, unclear rules and regulations and poor policies fail to promote performance improvement and accountability in the public sector (Fute, 2011). These problems resulted to poor productivity and therefore poor service delivery to the community.

One of the Performance Management System components that Tanzania is focusing on is managing individual performance in public organizations by the introducing

Open Performance Review and Appraisal System (OPRAS). OPRAS was introduced in Tanzania in 2004. The introduction of OPRAS aims at improving the quality of public service in Tanzania. This is because performance management system is an integrated system for building a shared vision, understanding and agreed on the results to be achieved.

Gibson (2004) argues that, appraisals are conducted for two major reasons: evaluation and feedback. When used for evaluation, the appraisal provides input for decisions on promotions, transfers, demotions, terminations, and compensation (salary increases). When used for feedback purposes, the appraisal focuses on the development of the individual, including the identification of coaching and training needs.

Many organizations use OPRAS to evaluate their employees to ensure effective implementation to improve effectiveness of public service, adoption and link of the tool with other human resources systems and public administration.

To make it a viable management tool, from a broader perspective, organizations and researchers must invest time in performance appraisal skills, developing systems, evaluation which takes into account managerial goals to achieve enhanced performance in the public sector.

Despite having such high potential and mentioned initiatives, the use of OPRAS in public sector particularly LGAs is still problematic. The performance of LGAs has not yet showed expected results (Kadebe, 2010). Therefore the study intended to investigate the challenges and prospects of the implementation of OPRAS at LGAs

with the case of Handeni District Council and propose ways to improve the implementation of the tool.

## **1.4 Research Objectives**

### **1.4.1 General Objective**

The general objective was to analyse the challenges and prospects of the implementation of OPRAS in Local Government Authorities a case of Handeni District Council in Tanga Region.

### **1.4.2 Specific Objectives**

- (i) To determine the level of awareness of OPRAS among employees at Handeni District Council.
- (ii) To assess the extent to which the council implements OPRAS.
- (iii) To investigate the challenges of the implementation of OPRAS and
- (iv) To determine some ways to improve the implementation of OPRAS in Handeni District Council.

## **1.5 Research Questions**

- (i) To what level employees of Handeni District Council are aware of OPRAS?
- (ii) To what extent Handeni District Council implements OPRAS?
- (iii) What are the challenges of the implementation of OPRAS at Handeni District Council?
- (iv) Which ways can be used to improve OPRAS at Handeni District Council?

## **1.7 Significance of the Study**

The study is of great value to Human Resource Policy makers, Government, Academicians and Researchers, as its findings will add more information and knowledge to the system.

### **To Human Resource Policy Maker**

The study will provide Human Resource Policy Makers with first hand information and understanding on how the new appraisal system (OPRAS) works. This will enable them to make adjustment in order to meet the appraising objectives.

### **To the Government**

The study will add new knowledge and insights which may enable the government to understand the real factors which hinder effective Implementation of Open Performance and Review Appraisal Systems in Local Government Authorities and take action to improve the situation. The study also creates awareness of appraisers and appraisees.

### **To Academicians**

To the academicians the study will have great value as source of information for further research. The study also will help and guide other students who will be investigating similar issues.

### **To the Researcher**

To the researcher, the study adds knowledge on matters concerning OPRAS;

Also it will be the partial fulfillment of the award of masters' degree of Public Administration.

### **1.7 Limitation of the Study**

In the course of conducting this research, some limitations were encountered. These problems included limited funds for carrying out the research and some of respondents were not ready to respond for various reasons including being busy in their business.

On the problem relating to insufficient funds, the research addressed it by avoiding having many research assistants so as to minimize the cost attached to them, while problem relating to non-response the study addressed it by making follow up during weekend and after working hours and some respondents were interviewed at their home places. Thus, by executing these strategies, the researcher reduced the limitations and hence improves the performance of data collection from the field.

### **1.8 Scope of the study**

The study was conducted in Handeni District Council where the selected employees and few Management members were involved. The study chose Handeni District council because it is among LGAs that have poor progress on the implementation of OPRAS (Gasembe, 2008). It has larger number of staff with different cadres which helped the study to get information from different angles.

The study concentrated on the Analysis of the challenges and prospects of the implementation of OPRAS in Local Government Authorities a case of Handeni District Council in Tanga Region.

The analysis was on the knowledge, skills, perception on the policy among the stakeholders, availability of fund and actual practice of OPRAS as an instrument of Performance Management.

This is because the success or failure of the policy was largely the function of supervisory role, fund and knowledge of the policy to stakeholders.

### **1.9 Summary**

This chapter explained the background to the problem of poor performance of the public sector. The statement of the problem highlighted the existence of challenges and prospects of the implementation of OPRAS in LGAs. The main objective was to investigate efforts towards effective implementation of OPRAS in Handeni District council in Tanga Region. The research gap identified was knowledge on factors hindering effective performance of OPRAS. Therefore the study intended to fill that gap by concentrating on the challenges and prospects of the implementation of OPRAS in LGAs in Tanzania

## **CHAPTER TWO**

### **LITERATURE REVIEW**

#### **2.1 Introduction**

This chapter was set to analyze relevant literature on performance appraisal system. Various issues and concepts concerning performance evaluation are discussed. The chapter covered three major issues. First part is the Theoretical Literature Review which deals with theories, the general concept of performance appraisal, traditional performance appraisal system, modern (open) performance appraisal system, performance management and open performance review appraisal system (OPRAS) in Tanzania. The chapter also explains the conceptual Framework and the knowledge gap.

The second part is Empirical Literature Review which focuses on what other researchers had found out to be contributing factors to the problems in implementing the OPRAS tool.

#### **2.2 Theoretical Literature Review**

##### **2.2.1 Definition of Key Concepts and Terms**

This section gives definitions of key concepts and terms which were used in the study.

##### **(i) OPRAS**

Open Performance Review and Appraisal System is a system whereby a supervisor and subordinate sit together, at the beginning of the financial year, plan and agree on performance targets and criteria based on agreed objectives, regularly review towards

achieving the targets and at the end of the year sit together to appraise the performance of subordinate (New Utumishi Journal, 2002).

**(ii) Performance Appraisal**

Performance Appraisal is the assessment of the employee's job performance. According to Ngirwa (2000), performance appraisal is a process of assigning judgmental value to the performance of an employee during a given period of time. Performance appraisal increases motivation to perform effectively, helps to distribute rewards on fair and credible basis, encourages self-understanding among staff and improves manpower planning within the organization.

**(iii) Local Government Authority (LGAs)**

Local Government Authority is an administrative body for a small geographic area, such as a city, town, county, or state. A local government will typically only have control over their specific geographical region, and cannot pass or enforce laws that will affect a wider area.

Local governments can elect officials, enact taxes, and do many other things that a national government would do, just on a smaller scale ([www.bussinesdictionary.com](http://www.bussinesdictionary.com)).

**(iv) Effectiveness**

Effectiveness is the degree to which objectives are achieved and the extent to which targeted problems are solved. In contrast to efficiency, effectiveness is determined without reference to costs and, whereas efficiency means "doing the thing right," effectiveness means "doing the right thing ([www.bussinesdictionary.com](http://www.bussinesdictionary.com)).

## **(v) Performance Management**

Performance Management is a holistic process bringing together many activities which collectively contribute to the effective management of individuals and teams in order to achieve high levels of organizational performance. Performance Management is strategic in that it is about broader issues and long term goals and integrated in that it links various aspects of the business, people, management, individuals and teams (Armstrong&Baron, 1998).

### **2.2.2 Theoretical Framework**

#### **2.2.2.1 OPRAS Theory**

The Open Performance Review and Appraisal System (OPRAS) is an open, formal, and systematic procedure designed to assist both employers and employees in planning, managing, evaluating and realizing performance improvement in the organization with the aim of achieving organizational goals.

OPRAS has the following unique features that can be differentiated from the previous confidential appraisal system (Johnson, 2000).

#### **Elements of the open appraisal system**

The Open Performance appraisal systems may vary from organization, and from level to level, but shall have the following common elements:

Every employee, including permanent secretaries and Heads of Independents objectives shall be drawn up in consultation with the employee, and shall including personal & skill development objectives as well as operational objectives;

Employees shall be given feedback at regular intervals of not less than six months on their performance against the objectives, and shall be given advice and support to improve any short coming;

A written performance assessment shall be completed each year, and its contents discussed between the employee and his or her reporting officer.

The assessment interview shall provide opportunity to discuss the employees training and career development needs, as well to recognize good performance and to examine the reasons and agree on remedial action where performance has not matched the required standards;

The employee shall have the opportunity to comment in writing on the report, and shall be preserved on the employee's personal file. All performance assessment report shall be reviewed by a senior manager to ensure fairness and common reporting standards (GOT; 1999).

### **Unique features of the OPRAS**

OPRAS has the following unique features that can be differentiated from the previous confidential appraisal system: openness, participation, accountability and ownership as follows;

First, Openness; allows both employee and employer to discuss and agree on the organizational and individual objectives to be achieved during the year; discussion on performance measures and the expected result.

Secondly, Participation; involves employees in the process of setting objectives, performance targets and criteria as well as determining, assessing and recording performance.

Thirdly, Accountability; individual employees are required to sign annual performance agreement and account for performance against agreement targets and resources allocated for each activity.

Finally, Ownership; shows linkage between individual objectives and the overall organizational objective and the overall organizational objectives in a given period. This helps the employees understand own roll and contribution thus creating commitment in achieving organizational goals (PO – PSM: 2007).

### **Advantages of using OPRAS**

Neely (1995) identifies the following as distinguished advantages of OPRAS if well implemented in public sector in developing world:

#### **To the Organization**

The job of the person being appraised may be clarified and better defined. Since it requires the employer as well as employees to sit together and to set the expected outcome based on organization objectives. Valuable communication can take place among the individuals taking part (that also include communication between the subordinate and the superior. This is due to the nature of the performance appraisal used.

The person whose performance is appraised may develop an increased motivation to perform effectively.

OPRAS tend to develop the self-esteem of the person being appraised particularly good performers since it demands the use of various strategies such as feedback, rewards recognition etc. this helped a lot to develop self-esteem of the employees within organization. Through the effective use OPRAS; Rewards such as pay and promotion can be distributed on a fair and credible basis. Although the appraisal system in the Tanzania Public Service has yet not been linked to any formal reward under the current system.

OPRAS requires both the employees and employers to know the objective of the organization clearly before setting any performance standards, this helped to make Organizational goals clearer, well known and accepted by both parties.

Valuable appraisal information can allow the organization to do better manpower planning, test validation, and development of training programmes. This can be done through identification of performance gap within organization, the information which can help managers to make proper human resource decisions such as coaching, guidance, recruitment, firing etc.

Better and timely service provision, is another strength of the effective use of OPRAS. Through the use of OPRAS the public service provision can be made within well known stipulated time bound this minimize unnecessary delays in public service deliveries. OPRAS enables the employees to know what is expected of them within a limited time, thus greater citizen satisfaction. For example is the speed Migration department in processing its customer's passport application.

Making bureaucrats more accountable for their actions is another advantage of using OPRAS in public sector because Appraisal System has the benefit of making individual Officers accountable for their job.

It offers an opportunity to both Officers and employees to make a proper assessment of their work and evaluate their contribution in fulfilling the overall mission of the organization. So it is a change of attitude from the old notions of public administration.

### **To the Employee**

- (i) Motivated to perform effectively and continuously improve performance due to recognition.
- (i) Empowered through resources provided to implement planned and agreed activities.
- (ii) Informed of skill gaps and measures for improvement.
- (iii) Guided and focused in the execution of duties and responsibilities.
- (iv) Improved working relations and
- (v) Improves transparency and enables the employees to know what is expected of them.

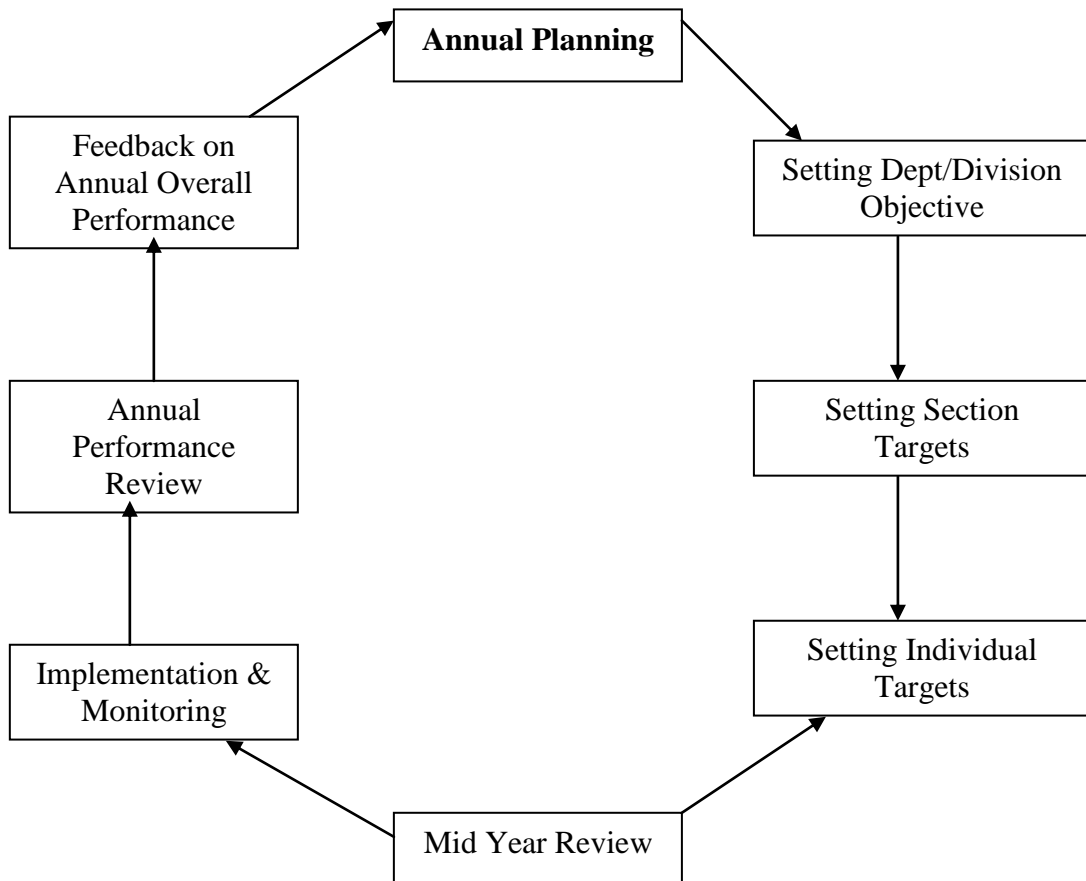
### **2.2.2.2 OPRAS Process Flow**

Implementation of OPRAS follows as series of interlinked processes that have roots from the Annual Planning Process and ends with the feedback on Annual Overall Performance providing input to the Annual Planning Process. The annual performance targets of individual employees are set only after the overall direction,

objectives and performance target have been determined for the institution, departments or division or unit.

This process is the one, which finally creates the linkage between organizational objectives and individual objectives.

**Figure 1: OPRAS Process Flow**



**Source: PO – PSM; 2007**

Having had the OPRAS process installed in MDAs the challenge is to empower both Management Staff to use it effectively to support improved performance (Yambesi: 2004).

### **2.2.2.3 Performance Appraisal**

Performance appraisal can be better understood by exploring different scholars' definitions. Monappa (1996) explains that performance appraisal in organizational context as a systematic evaluation of performance by supervisors or other familiar with their performance because employers are interested in knowing about employee performance. Employees also wish to know their position in the organization. To him, performance appraisal is a systematic and objective way of judging the relative worth or ability of an employee in performing his tasks.

Desler (2006) defines performance appraisal as evaluating an employee's current and, or past performance relative to his or her performance standards. Graham (1998) identifies principal uses of appraisal:

- i) To help managers decide what increase of pay shall be given on grounds of merit.
- ii) To define the future use of an employee, e.g. whether the employee shall remain in his or her present job or be transferred, promoted, demoted or dismissed.
- iii) To indicate training needs i.e. areas of performance where improvements would occur if appropriate training could be given to the employees.
- iv) To motivate the employee to do better in his or her present job by giving the worker knowledge of results, recognition of merits and the opportunity to discuss work with his or her manager which could build confidence to him or her. If these principles are adhered to, the performance of public sectors could be better and therefore increase productivity as well as better services to the people.

Beach in Prasad (438:2006) also defines performance appraisal, as a systematic evaluation of the individual with regard to his potential for development. A systematic Performance Appraisal goes through the objective, appraisal norms, designing the appraisal program, implementation of the program, appraisal feedback and post appraisal action.

Performance appraisal is the cornerstone of the effective human resource system. It provides the information to make fully informed strategic decisions by assessing the current human resource system and those systems required by a change in a strategic direction.

Harper in Kandula (2005) says that performance appraisal needs to be considered a top priority, properly planned, carefully administered, and constantly updated to reflect the dynamic environment that influences the organization and its performance.

Kandula (2005) identifies two purposes of the performance appraisal:

- i) Administration comprising such action as determining job assignments raises, promotion and terminations.
- ii) Development consists of providing feedback, coaching and identifying training needs.

However, performance appraisal, in most cases has failed to meet the intended objective. Adam (2006) identifies two reasons for failure:

- i) The way performance appraisal forms and policies are designed.

- ii) The lack of adequate training for supervisors or managers in assessing and evaluating performance constructively.

Smith in Kandula (2005) offers a solution to the above shortcomings. He says an appraisal system should be such that it can withstand questioning from employees, that it should be employee defensible. An employee defensible system is developed openly, and published rules and procedures that are followed and perceived by the employees as fair. Employees perceive the system as fair when they understand how it works and believe that it is administered in an equitable manner.

#### **2.2.2.4 Performance Management**

Performance Management is the process of planning performance, appraising performance, giving its feedback, and counseling an employee to improve his performance (Prasad: 2006:442). The purpose of performance management is a means of getting better results from the organization, teams and individuals by understanding and managing performance within an agreed framework or planned goals, standards and competence requirements.

It is a process for establishing shared understanding about what is to be achieved and an approach to managing and developing people in a way that increase the probability that will be achieved in the short and longer term. It is owned and driven by line management (Armstrong: 2006)

The major concern of performance management is performance improvement, employee development, satisfying the needs and expectations of all organization's

stakeholders (owners, management, employees, customers, suppliers and general public), and communication and involvement between managers, terms and individuals. Performance Management has risen from the old established but somewhat discredited system of merit rating and management by objectives.

Many of the more recent developments in performance appraisal have also been absorbed into the concept of performance management, which aims to be a much wider, more comprehensive and more natural process of management.

Performance appraisal has too often operated as a top – down and largely discredited bureaucratic system owned by personnel department rather than by line manger (Armstrong:2006:495) *ibid.*

#### **2.2.2.5 Performance Management Process**

Performance management is a continuous and flexible process that involves managers and those who they manage acting as partners within a framework that sets out how they can best work together to achieve the required results.

It focuses on future performance planning and improvement rather than on retrospective performance appraisal. It provides the basis for regular to frequent dialogue between managers and individuals or teams about performance and development needs.

Armstrong (2006:497) provides five key performance management activities:

- i) Role Profile (definition)

This provides the framework for performance management. It sets out the purpose of the role i.e. what the role holder is expected to do and provides a foundation for performance agreement.

Also key result areas (principal accountabilities), which define the main output areas of the role and competency requirements are agreed.

ii) Performance agreement or contract

They define expectation – what the individual has to achieve in the form of objectives, how performance will be measured and the competencies needed to deliver the required results.

Therefore, things like objectives and standards of performance, performance measures and indicators, competency assessment on core values operational requirements are covered under this stage. This stage is also known as performance planning stage.

iii) Personal development plans

It sets out the action people intend to take to develop themselves in order to extend their knowledge and skills, increase their levels of competence and to improve their performance in specified areas.

iv) Management performance throughout the year

The performance agreement and personal development plan as individuals carry with their day to day work and their planned learning activities. It includes continuous process reviews, updated

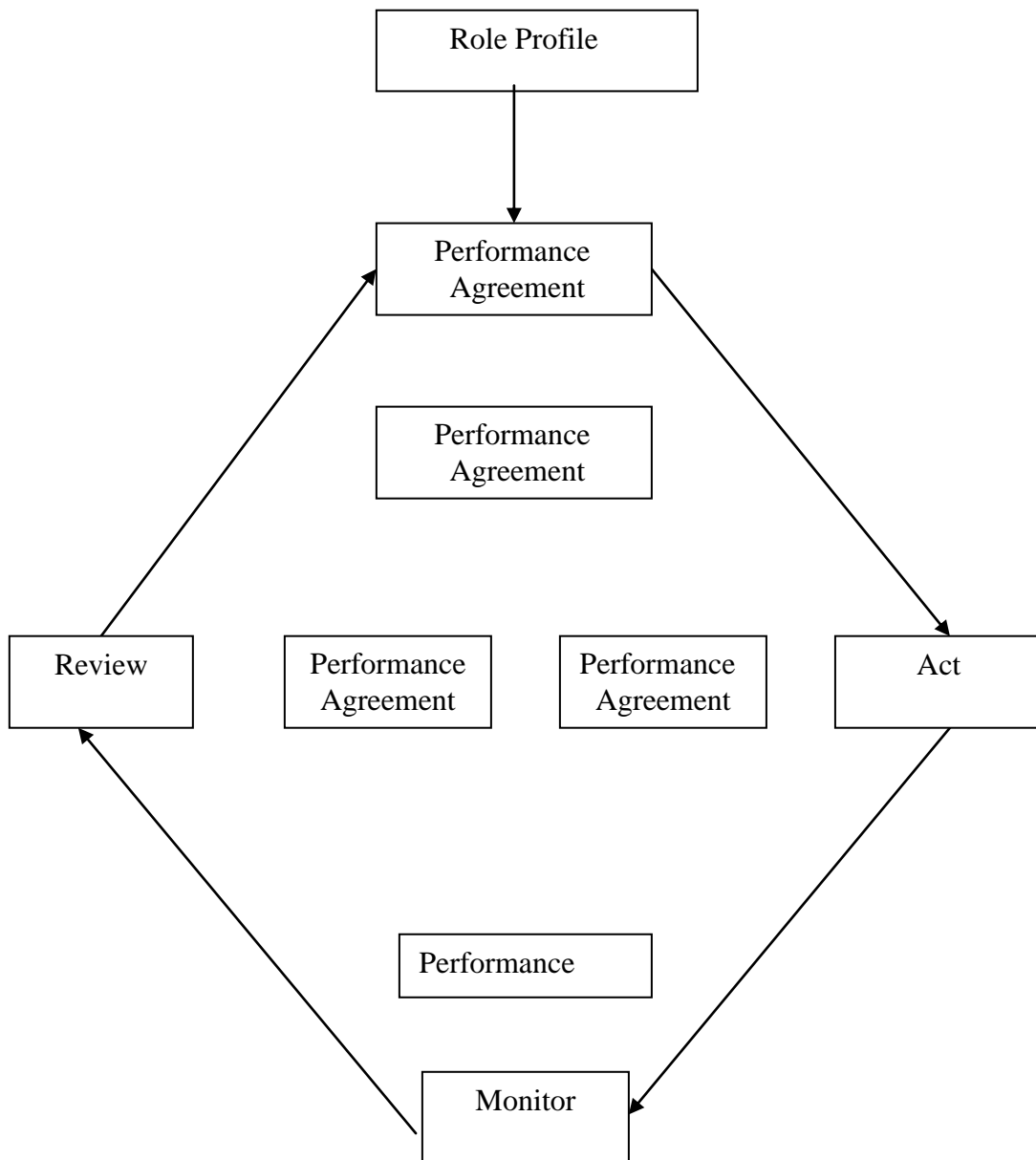
objectives and, where necessary, dealing with performance problems and counseling.

v) **Performance review**

This is an evaluation stage when a review of performance over period takes place, covering achievement, progress and problems as the basis for a revised performance agreement and personal development plan. It can also lead to performance ratings.

The performance management process can be summarized in the following diagram.

**Figure 2: Performance Management Process**



**Source: Armstrong (2006:509)**

### **2.2.2.6 Changing Pattern of Performance Appraisal**

Performance appraisal has undergone a change, in terms of objectives and methods, since it was introduced in a formal way in 1920s. Therefore it has many facets, both

in terms of conceptual and operational frame-work (Prasad: 2006). Cascio (in Prasad: 2006) has observed as follows:

“Performance appraisal has many facets. It is an exercise in observation and it is an organizational intervention. It is a measurement process as well as an intensely emotional process. After all, it is in an exact human process. While it is fairly easy to prescribe how the process should work, descriptions of how it actually works in practice are rather discouraging.”

### **Approaches to Appraisal**

Various approaches to appraisal can be adopted and the choice of system will reflect the style and culture of the organization. Some will be top-down and judgmental, others will be more open and developmental. In either case it is important that a sound basis is established for other associated elements of Human resources management practice training and development and reward management.

McKenna: (177:2002) gives two perspectives on performance appraisal process:

#### **i) Evaluative**

Is about making judgment about appraisee and this follows historical analysis of the appraisee's performance over the period under review. The judgment is made after comparing the appraisee's performance against previously established objectives or targets, or against all operational terms on the job description. This type of appraisal could be linked with the allocation of extrinsic rewards such as pay.

#### **ii) Development Appraisal**

Is set out to identify and develop the potential of the appraisee with the spotlight on future performance and could be linked to career planning and management succession. A major aim is to establish what type of knowledge and skill the individual should develop. After identifying the appraiser's development needs, appropriate development objectives can be established.

### **Traditional Appraisal System**

The traditional performance appraisal system provided a formalized process to review the performance of employees. The system was typically designed as a centralized process, as part of the human resource functions and required each line manager to appraise the performance of his or her staff on annual basis. Coates in Torrington (2005) argue that what is actually measured in performance appraisal is the extent to which the individual conforms to the organization. Some traditional appraisal was based on measures of personality traits that were felt to be important to the job. Other approaches concentrate on linking ratings to behavior and performance on the job. Another method of making appraisal more objective is to use the process to set job objectives over the coming year and a year later to measure the extent to which these objectives have been met. Traditional appraisal system as one method of performance appraisal a confidential report by the immediate superior is still a major determinant of subordinates promotion or his subordinates strength, weaknesses, intelligence, attitude to work, attendance, conduct and character, work efficiency, etc. (Monappa,1996:410). None of the methods for appraising performance is absolutely valid or reliable. Most appraisal methods involve judgment of one kind or the other. The error of "Central tendency" and the error of leniency are inherent in the process (Armstrong: 2005). Another problem is a tendency to allow the assessment on the

trait to influence assessment on the other incompetence. Raters may fail to evaluate performance accurately due to lack of knowledge and experience. Post appraisal interview is often handled ineffectively.

The traditional evaluation system resulted to many problems in Handeni District Council and other public sectors , like poor performance with low productivity, lack of accountability and transparent and misuse of public funds. So the new performance appraisal system was established in order to replace the traditional secretive approach of appraising employees.

### **Open Appraisal System**

A development oriented open performance appraisal approach includes establishing performance goals and standards, monitoring progress, reviewing actual performance, comparing actual performance with the pre-establishing developmental plans and agreeing on future performance goals and standards (Kandula:2005:259).

The term open performance appraisal and performance management both refer to the process whereby managers and their subordinates share understanding about what has to be accomplished, and the manager will naturally be concerned about how best to bring about those accomplishments by management and development of people in short and long term.

Performance measurement would subsequently be related to targets or plans. In this way the subordinate receives feedback on his or her progress (Mackenna: 2002:182).

He further explains the aims of the appraisal. These are:

- (i) Set targets, which are acceptable to those whose performance is going to be appraised and do so in climate characterized by open communication between superior and subordinate and strive for partnership in action.
- (ii) Use reliable, fair and objective measures of performance, compare actual with planned performance and provide feedback to appraise.
- (iii) Where performance is sub-optimal, after going through the previous steps, signal the need to specify and agree with appraise a personal improvement plan that could be based on an assessment of the person's training and development needs.
- (iv) Place emphasis on the use of good interpersonal relations in the appraisal process, so that frank exchanges are encouraged, and recognize that the appraisers and the appraisee have the opportunity to influence each other.

### **Key features of Performance Management System**

These are three inter – linked planning processes at the strategic, operational and individual level;

During the strategic planning progress each Ministry, independent, Department, and Agent (MDA) will be required to re-examines organizations mission and vision (based on their respective external and internal environment) together with associated objectives for achieving them. Also, MDAs will be required to ascertain critical success factors to be used to measure performance in terms of achieving objectives, in addition to capacity and resource through (Professional skills, management structures, management and operating processes) needed to implement strategic plan;

An operational process (needed to implement level) begins after strategic planning is finalized, and is expected to run in tandem with the existing budget process.

During operational planning, MDAs will be expected to identify priorities for the next financial year taking into account budget ceilings and external sources of financing available anticipated budget this include objectives and targets, outputs, performance indicators, activities and output – based budgets. At an individual level MDA employees will be required to discuss and agree on individual objectives, which should be linked to MDA targets set out in operational plans; Plans will form the basis on which MDAs will publish a social pact that among other things sets out standards of service that the public can expect;

Performance review of all three plans (organization, division and individual) will be undertaken at least twice a year. A number of mechanisms are to be used to appraise performance including a comparison of achievements with key result areas; measures of objectives and priority outputs; open appraisal discussions between employees and their managers. The outcomes of these reviews are expected to assist MDAs in the identification of areas for improvement and next year's planning cycle.

The government should ensure that, there is enough funds to easily the review process, this will improve the efficiency and effectiveness in the public service delivery, consequently ensure value for money and therefore facilitate effective performance management in it institutions Handeni District Council being among them.

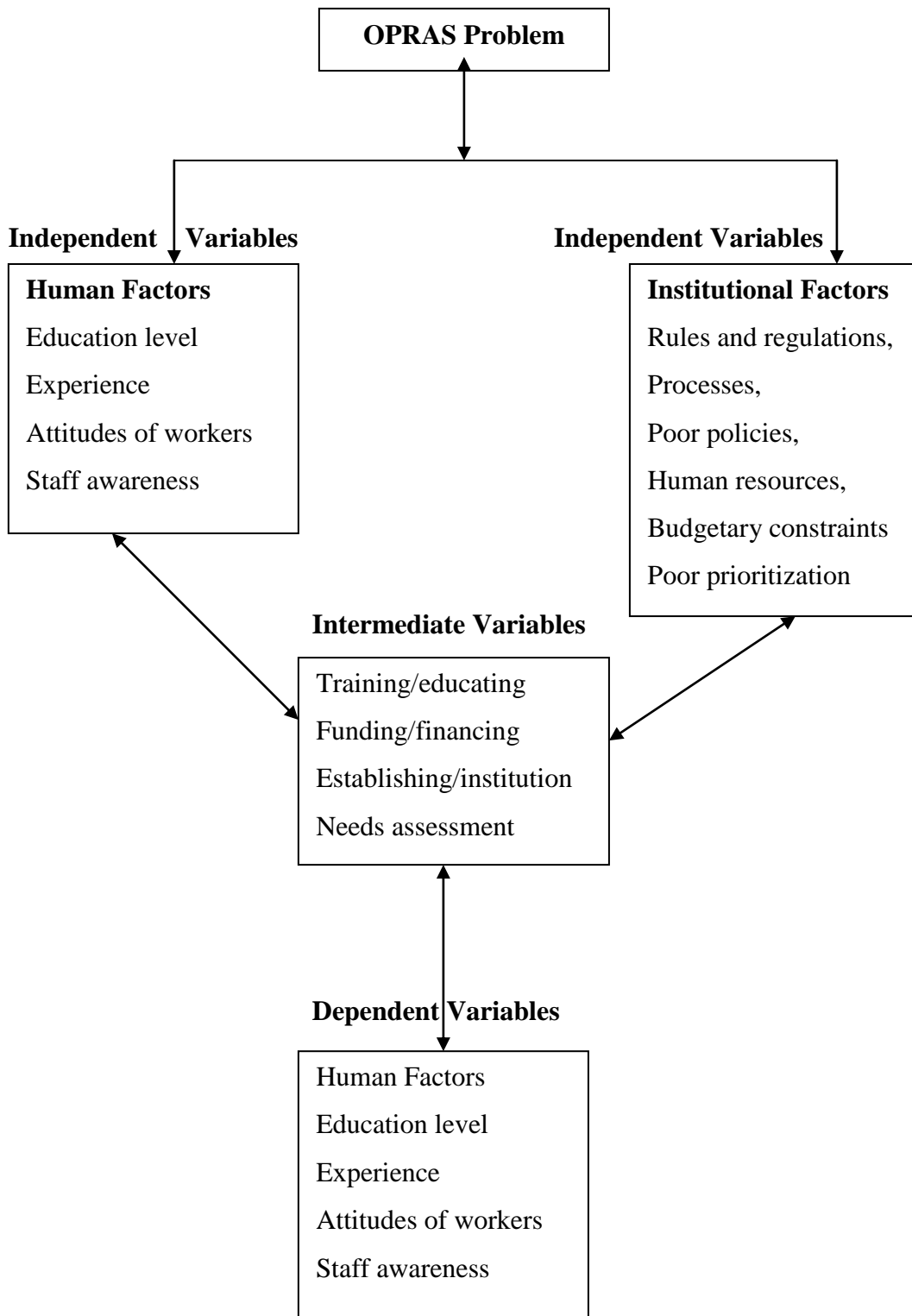
### **2.3 Conceptual Framework**

Based on the specific objectives of the study. The conceptual framework will be adopted from New Public Management mode (NPM) of Public sector organizations.

The adoption of NPM means the application of private sector practices and solutions to the problems of the public sector. This mode will be adopted because, it shows the relationship to the performance appraisal which aims to improve the employees performance.

This research leads to the investigation of the challenges and prospects of the implementation of OPRAS in Local Government Authorities hence improve employee performance as indicated in the figure below:-

**Figure 3: Factors for an effective implementation of OPRAS**



Source: Documentary Review, 2012

### **2.3.1 Independent variables**

Consistent with research questions the independent variables for the study are Human Factors such as education level, experience, attitudes of workers and staff awareness, also Institutional Factors like rules and regulations, processes, poor policies, human resources, budgetary constraints and poor prioritization. These will be used as a guideline for analysis and preparation for study questionnaires.

### **2.3.2 Intermediate Variables**

Intermediate Variables are Training or educating the employees, Funding or Financing, Establishing Institutions and Needs Assessment.

### **2.3.3 Dependent Variable**

In this study, basing to the research topic the dependent variables were Good performance, Accountability, Productivity and improved performance. These were measured by Human Factors such as education level, experience, attitudes of workers and staff awareness, also Institutional Factors like rules and regulations, processes, poor policies, human resources, budgetary constraints and poor prioritization but also training or education to the employees, enough funds, establishing institutions and needs assesment,all these together measured the dependant variables.

### **2.3.4 Relationship between Independent Variables, Intermediate Variables and Dependent Variables**

If independent variables such as education level, experience, attitudes of workers, staff awareness, rules and regulations, processes, poor policies, human resources, budgetary constraints and poor prioritization and the intermediate variables such as Funding or Financing, Training, Establishing Institutions and Needs Assessment are adhered to, there will be effective implementation of OPRAs to Local Government Authorities. This will result to good performance and therefore increase productivity, accountability and improved performance.

### **2.4 Knowledge Gap**

The literature review revealed that OPRAS is a very important motivating tool for economic development through improved employee performance in local government authorities; hence increase income of the country and individuals. (Lab, 2006; Sand, 2005, Paarl berg and Perry, 2007 and Kreitner, R and Kinick, 2007).

However, Tanzanian researchers such as; Kadebe,(2010) and Fute, (2011), argued that, although various training had been conducted by various agencies on the use of OPRAS still less is known regarding factors hindering effective implementation of OPRAS by LGAs. The study therefore intended to fill this gap by investigating the challenges and prospects of the implementation of OPRAS in Handeni District Council.

## **2.5 Empirical Literature Review**

### **2.5.1 Worldwide Studies**

For a long period of time, there has been a need to improve the performance of employees in many organizations, private as well as in public organizations. In all states over the world, performance appraisal in public organization has given a greater consideration in order to increase production of the organizations. This being the case, employees are given every possible support to motivate them so as they can improve their performance.

In western Balkans region, performance appraisal evaluation is one of the most central human resources practices (Ferris et al.,2008:146). Macedonia (2007) allowing for facts track career development has been suggested by an independent expert group.

Kitay and Lasbury (1997) carried out a study in Albania, examine performance appraisal towards employee performance, they suggested that with the growth in pay, for performance schemes. Flexible employment practices, training, and broader job structures will help to improve the performance of employees while at the same time increasing the flexibility of labour. These factors increase motivation to workers; this will obviously increase the performance of the organization as well as production.

Klun (2010) found that employees require the most significant factors of job satisfaction to ensure good performance and production in the organization. These factors include cooperation between employees and co-workers, status within the

organization, training opportunities, good performance feedback, working conditions (include modern technology, office equipment and premises).

Freedom and independence at work place as well as opportunities for professional development, these factors motivate employee to perform better in the organization. Employees who are not motivated do not perform well, this increase absenteeism and high rate of turnover.

Beer (1981), study conducted in Pakistan explained that the common outcomes of an effective performance appraisal process, are employees learning about themselves, employees knowledge about how they are doing, employees learning about what management value. Also the outcomes of effective performance appraisal are improvement in the accuracy of employees.

### **2.5.2 Factors which affect the implementation of OPRAS in Eastern Europe**

In the study conducted in central and Eastern European countries by (Koubek and Brewster 1995), found that the works on performance appraisal and overall human resources management are mainly based on works arguing for sensitivity to specific local conditions. However, they mentioned a number of factors which affect the implementation of OPRAS in Eastern Europe which should be taken into account;

- i) Situational factors, Internal and External environmental pressures and changes;
- ii) Team factors, the quality of support provided by colleagues, system factors, the system of work and facilities provided by the organization;

- iii) Personal factors, the individual skills, competence, motivation and commitment; and
- iv) Leadership factors, the quality of encouragement, guidance and support provided by Managers and team leaders

The work by Jenel (2001) shows the several empirical studies (Allen and Rush, 1998; Borman and Motawidlo, 1993 et al ; ) they showed that, it is not possible to maintain performance of the organization without motivating employees. These studies indicate that the motivation of employees followed by improved employee's performance and better performance of the organization.

Segal (2000) revealed that the use of vague qualities and irrelevant measurement criteria, use of useless check lists for evaluation. Monologues instead of dialogues in feedback sessions reluctance of appraisers to offer feedback, supervisors misguidance to appraiser (Nurse, 2005), inaccuracies at supervisor or end (Harvath and Andrews, 2007).

### **2.5.3 Studies in Africa**

Early researchers in appraising systems find a traditional (confidential) performance appraisal system as a good practice. In Nigeria, Adu (1970) observes that, the fact that a staff is aware that, he or she is going to be evaluated confidentially at the end of the year on his work; should stimulate him or her to maintain high standard and, therefore, help in maintaining efficiency. He further observed that it is useful in the more effective and health approach to promotion programmes. However in past one decade or so, researchers are in favor of open performance system in place of traditional appraising system, and accusing it of being too subjective, inflexible, not result oriented, etc.

In Uganda, Mwanjabala (1987) on his part blames lack of planning as a root cause of policy implementation failure. He cites an example of Human Resource deployment policy, which the policy failed because of that phenomenon. He added that, implementers jump into implementation without proper planning.

However Mwanjabala (1987) further argues that since most of the implementers are part and parcel of policy making body, such implementation is not supposed to fail. He also insists that planning aspect should include all those who are to implement the policy.

#### **2.5.4 Performance Management System in Tanzania**

Performance Management System in Tanzania is embedded in Public Service Perform Programme. The component is the major policy in PRSP. Its implementation will form the basis of the strategic focus of the programme to improve quality, efficiency and effectiveness of services and performance throughout the public service on a continuous and sustainable basis into the next millennium. The component is designed to underpin the medium term strategic theme of the programme.

The overall objective of the component is to institutionalize a performance management system throughout the public service. The specific objectives of the performance management component are:

- i) To install a Performance Management System (PMS) in all government Ministries, Departments and Agencies (MDAs);
- ii) To promote strategic use of the available public financial resources through effective operationalization of the PMS and performance budgeting in MDAs;

- iii) To empower MDAs to improve their performance by availing incentives and developing their Organizations capacity;
- iv) To facilitate backward linkage with the various sector reforms by ensuring that these are factored into the formulation of MDAs strategic plans; and
- v) To create forward linkages to further ministry restructuring, as well as decentralization of specific services to local government by emphasizing the role of Ministries in setting nationwide public services standards.

#### **2.5.4.1 Stages of Performance Management System Cycle in Tanzania Public Sector**

Tanzania Public sector performance management system has been realigned with the second corporate plan 2003/4-2007/8, which emphasizes strongly on the performance measurement. Performance review is within the framework of the sector realignment process for performance excellence and ultimately high quality services to customers.

In Tanzania there are several stages of performance management system such as strategic planning, annual planning and performance budgeting, evaluation of plan and budgets, execution of plans, monitoring, evaluation and reporting.

#### **Stages of PMS Cycle**

##### **i) Strategic Planning**

As a first step in the Performance Management Systems (PMS) cycle of the organization it is required to set the direction through a strategic planning process. Planning will cover at least three year horizon and requires each MDA's management to:

- (i) Undertake and or clarify their organizations mission and vision for the future, set goals for and agree on changes needed (key result areas) to achieve the vision; and
- (ii) Assess the extent to which current functions and activities match each MDA's mission, vision and goals; identify poorly performing or duplicated functions and activities; agree upon new functions and activities and which existing activities should be discontinued.
- (iii) Define strategic performance measures and indicators (key result areas) to monitor progress and for public reporting purposes. Thereafter agree on a strategy for collecting and assessing measures and indicators; prepare a resourcing plan (for the first year only); and apply for resources from the Performance Improved Fund (PIF) or allocate them from the MDA budget for data collection. The Performance Management Unit (PMU) will provide guidance and training in the areas assessment and benchmarking;
- (iv) During the first strategic planning process, collect baseline data on current standards of service delivery which provides a basis on which to set targets and gauge performance in future ;
- (v) Draft a strategic plan with an overview of the MDA's mandate, vision and mission, and operating environment ; and
- (vi) Communicate plans with stakeholders to ensure common understanding of the MDA's strategic direction plan may be communicated through focus groups or section meeting or less formally through newsletters.

## **ii) Annual planning and performance budgeting**

At this stage, at divisional level start after strategic planning is finalized, and is expected to run together with the existing budget process, MDAs will be expected to identify priorities for the next financial year taking into account budget ceilings and external sources of financing available anticipated from this process include objectives and targets, outputs performance indicators, activities and output – based budgets.

## **iii) Evaluation of plan and budgets**

At this stage, the MDAs assess the plans and budgets set in the preceded stage.

In terms of plans, the Strength, Weakness, Opportunities and Threats (SWOT) analysis is conducted in order to make the plans environmental friendly and reality.

The objectives or targets set, are assessed to ensure they are specific, measurable, achievable, responsive and time frame. This will make easy in setting performance indicators. With Specific, Measurable, Attainable, Realistic and Time (SMART) objectives, the plans are likely to be achieved.

MDAs will tally the planned activities with the budget available, and try to prioritize activities so that all plans are set within the budget ceiling. Generally, at this stage, both plans and budget are assessed so as to tally and make the plans realizable.

## **iv) Execution of plans**

During this stage MDAs execute plans and budgets on activities such as rationalizing including contracting out. MDAs will then need to; in the context of PIF, specific interventions that during the implementation of MS look projects;

- (i) What output that they expect to achieve during the year, together with activities required to ensure that outputs can be met, in addition to the

resources needed to carry out the activities. Particular emphasis would need to be given skills and preparation of budgets for activities.

- (ii) Thereafter, MDAs will need to prioritize activities so that they are within the resource envelope available. Budgets should include information which highlights outcomes or outputs and by type of activity the resources (e.g. skills) is going to be used.
- (iii) Finalize plans and budget; and develop and issue the “social pact” which should track to the national model in terms of content and style. It will also be important during this stage that employees are able to understand how they will contribute to achieving targets. This will only be achieved by setting objectives for each individual, based on the staff appraisal process whereby individual performance is linked with each MDA’s goals and objectives.

#### **v) Monitoring, Evaluation and Reporting**

Both in the year and at the end of the year, methods that should be used to evaluate performance include:

- (i) Repeat service delivery survey to assess customer satisfaction;
- (ii) Impact assessment studies of new policies and procedures implanted;
- (iii) Financial and value of money audits by the controller and Auditor – General and Staff appraisals; and
- (iv) Reporting on their success with respect to achieving key results highlighted during the annual planning and budgeting process. The report should be linked to the key result areas identifying success and shortfall. In addition, the report should provide; a summary of voted shortfall. In

addition the report should provide; a summary of voted appropriations and allocation from the PIF' a comparison of total planned spending to actual costs incurred; and explanations of variances in cases where actual performance differs from performance targets;

- (v) Recognizing and rewarding individual performance;
- (vi) Improve procedures so as to accommodate any feedback from monitoring functions; and
- (vii) Review strategic plans, in particular MDAs mission, objectives and budgets to ascertain whether decision made during planning are still appropriate and where needed MDAs to make the necessary revision ([www.utumishi.go.tz.20/09/2008](http://www.utumishi.go.tz.20/09/2008))

#### **2.5.4.2 Phases of Performance Management System in Tanzania**

Performance Management is implemented in phases as a component of PSRP. Phase one of the programme performed between years 2002 – 2004, inter-alia dealt with installing performance management system. One of the programme components is performance management. In order to achieve that strategic objective, the government introduced open performance appraisal, as an intervention.

Instituting performance management culture (2005 – 2008) is the second phase of the programme. During this phase results oriented management practices including the cascading of objectives with ministries performance contracting and performance appraisal system will be extended throughout the public service. In this phase the full restoration of effective public financial management systems and closer linkages between budget and performance objectives is concern.

The last phase is instituting quality improvement cycles. This was launched in 2009. Among other things, the phase focused on introducing Total Quality Management (TQM) through quality improvement cycles. From Total quality Management perspective, traditional evaluation methods damage quality and teamwork because of the focus on supervisors evaluating individuals; they may “strip people of their sense of control” and make employees compete against each other. The evaluations should provide feedback to individuals so problems may be corrected and higher performance can be rewarded (Rigg,1992). In this phase client orientation and accountability for results had become the norm. An efficiency review programme designed to encourage continuous improvements in service delivery had been extended throughout the service ([www.utumishi.go.tz](http://www.utumishi.go.tz).22/9/08)

### **2.5.5 Open Appraisal System in Tanzania**

The public service in Tanzania has been viewed as a liability to the tax payers rather than an asset. This is because low productivity, erosion of work ethics, indiscipline, blatant violation of rules, regulations and procedure weak control and corruption have been observed as common feature in the service. Among the concerns identified to the problem is that, the performance appraisal system currently used is too subjective, non participatory and is poorly managed to be of any assistance in the adopted results-oriented and merit-based Civil Service Management (GOT: 1999).

OPRAs as an integrated system focuses on building a shared vision, understanding and agreement about results to be achieved, and the approach, deployment assessment and review of activities for continuous improvement in standards of service delivery. The introduction of this system aims at improving the quality of public service in Tanzania (PO– PSM: 2004).

In Tanzania context, surveying the appraisal system, Nungu (1998) identifies lack of openness as being among the problems in traditional performance appraisal system. Commenting on CSRP.

Kisomba (2007) in his study of factors limiting effective implementation of OPRAS in Ujiji Kigoma, found that, absence of organizational strategic plan, non-understanding of the vision of the organization, little knowledge of the importance of OPRAS, past experience on poor response in acting on evaluation issue, separation of powers and political accountability, inadequate communication between the council management and staff and lastly is non reviewed job descriptions and hence failure as to individual goals.

Cosmas (2007) made a study on the problems of implementing OPRAS in the public service in Tanzania. The study was done in the President Office Public Service Management. The problems he identified include lack of resources, lack of participation, overlapping of authority between PO-PSM and Public Service Commission; other problems were Poor communications channel, lack of realistic plans.

Mutahaba (2010) said that, the implementation of OPRAS has number of challenges which limit its viability in contributing to improving the delivery of public services. The first challenge is inadequate and un-sustained training offered to public servants, budgetary constraints, the second challenge is related to the fact that the PMS elements at the institutional level is not effectively linked to the government wide PMS that is based and supports the realization of outcomes articulated in the MTSF.

The third challenge has to do with the implementation of the appraisal system at both senior management level and individual employee level. The fourth challenge is unclear objective, poor interpreted goal as well as frequency interruption from politicians this generally reduce the effectiveness of OPRAS. Two independent studies which reviewed the effectiveness of appraisal system in local government systems pointed out that both staff and managers were dissatisfied with the way systems are working which limited the realization of the intended results –enhanced productivity of the employees.

## **2.6. Measures to improve OPRAS**

Cosmas (2007) argues that government should make sure that there is availability of resources both human and financial that are needed to implement OPRAS. According to Cosmas, there must be effective communication between the target beneficiaries and the implementers of policy programme.

Rugumyambeto (1998) says that “the instrument for evaluating job performance are going to be changed from present instrument for evaluating job performance are going to be changed from present confidential report to an Open job performance assessment”.

Further more the study by Kahalwe (1999) emphasized on the employee participation in the performance appraisal exercise for the appraisal to be effective.

Matagi (2000) observed that Open appraisal system contribute to high performance in the organizations. Bana (2009) in his study argued that, Employees performance appraisal should, among things serve as a tool for identification of the employees training needs. Performance appraisal should serve as a means to an end, hence

should not become an end in itself. Training and development plans for employees should be developed and implemented in order to enhance their capacity. This should enable employees to perceive appraisal as a useful tool in their career and a source of healthy 'psychological contract. They should know what is in the OPRAS for them. Kisomba (2007) argued that, members of staff should be trained on vision, mission and objectives of units, department and the council as whole, the council should facilitated and capacitated to establish its strategic plan and develop objectives that are SMART. Management should make sure that all members of staff have reviewed job descriptions and restructure jobs to cater organizational objectives. The empirical studies reviewed above show the need for the open, flexible, result oriented and participative appraisal system. This will play a supportive role for efficient and effective performance in public service. Now the open performance appraisal system has been slowly and, in some places, unsuccessfully implemented. This situation raises the question, what are the challenges and prospects of the implementation of OPRA in local government authorities.

#### **2.5.4 Lessons learned from the Literature Review**

The implementation of Open Performance Appraisal is very important for establishing performance goals and standards, reviewing actual performance and monitoring individual and organizational performance. It is a major innovation that the supervisor and subordinate are now able to sit together at the beginning of the year and agree on what will be done during the period.

The strategies that will be used to accomplish the set objectives, the resources that will be required and made available and the means by which the accomplishment of the set objectives will be objectively verified. There may be leaders and staff who

may not support the new innovations; there is a need for continuous effort to make them support the new innovation.

Moreover, new innovations in organizations tend to create anxiety and the desire to see immediate results and changes as soon as possible. Evolution is the best way of introducing new innovations in the organizations like Public service rather than revolution.

The process of implementing OPRAS must be supported by deliberate strategies for Institutionalization of the system like positive reinforcement and training.

OPRAS should among other things serve as a tool for identification of the employee's training needs. It must serve as a means to an end itself. Training and Development plans for employee should be developed and implemented in order to enhance employee capacity. This would make employees to perceive OPRAS as a motivating and useful tool in their career and a source of healthy psychological contact. They should know what is in the OPRAS for them.

Finally, in order for OPRAS to be meaningful, should provide a means to recognize and reward good performance and manage under performance. Recognition or reward for performance include salary progression guided by performance or non-pay reward system, performance reward system should be used as positive reinforcements in order to enable employee buy into the imperatives of OPRAS.

#### **2.5.5 Policy Review in Tanzania**

The public service introduced a number of processes and mechanisms in order to facilitate the institutionalization of a performance management system. The specific

tools for performance management include strategic and operational planning, client services charters, service delivery surveys, self-assessment programmes, performance budgets, the introduction of Open Performance Review and Appraisal System (OPRAS) and Comprehensive Monitoring and Evaluation (M&E) system.

The Installation of OPRAS in Tanzania public service Institutions was in Consonance to the public service management and Employment Policy of 1999 and the Public Service Act No.8 of 2002. These two instruments facilitated the institutionalization of performance management systems in the public service. The Act provides an enabling legal Framework for managing performance in the public service. These instruments were important in order to give performance initiative in the public service a legal status. The policy and legislation was important instrument to facilitate a gradual creation of performance- accountability culture in the public service.

Despite the introduction of OPRAS through the Act, still there is a growing critique which hinders those intentions of the Act. Firstly, they are seen as adding more pressure to a short-term view among MDAs Managers which may well hamper performance in the public service over a longterm. Secondly; they are often proffered in a very prescriptive fashion, with many writers advocating a single best way for performance management, to the neglect of important variables such as degree of Centralization and Unionization.

The real danger is that performance management, including the employees' performance appraisal system cannot be simply borrowed from one organization and applied in another so as many advocates appear to suggest. If PMS has to work the

first important step is to change the focus from appraisal to performance planning, review and development (URT, 2003).

### **2.5.6 Summary**

This chapter analyzed literature review concerning performance appraisal, performance management, OPRAS theory, conceptual framework and research gap. This chapter further provided a detailed empirical literature review and lastly the policy implications were examined. The literature found out that, the purpose of performance management is to get better results from the organization, teams and individuals by understanding and managing performance within an agreed framework. As well in practice the literature observed that, to meet the purpose of performance management, there is a need for open, flexible result oriented and participative appraisal system which will play a supportive role for efficient and effective performance in Public service.

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## **CHAPTER THREE**

### **RESEARCH METHODOLOGY**

#### **3.1 Introduction**

This chapter describes the research methodology that includes area of the study, Research Design, Target Population, Sample and Sampling Procedures, Data Collection methods and Tools, data processing, analysis and presentation, ethical issues and validity and reliability of the study as well as summary of the chapter.

#### **3.2 Area of the study**

This study was carried out in Handeni District Council, Tanga Region. The area has been chosen due to the reason that, there has been a number of claims that the OPRAS is not used accordingly. The District is located at the East West of Tanga Region. It is bordered by Kilindi, Korogwe, Muheza and Bagamoyo Districts.

The economic activities taking place at Handeni District Council include the following; agricultural activities which are the main economic activity in the District, other activities are small scale industry, fishing and mining. The current projected population is 330,310 based on the Opportunities and Obstacles to Development data. (O&OD) conducted in 2009.

Handeni District Council is one of the eight administrative Districts that make up Tanga Region. Administratively Handeni District Council is divided into 7 divisions, 21 wards, 112 villages and 987 Hamlets.

### **3.3 Research Design**

This research was conducted through a case study design. This was because under this design a study unit, Handeni District council was comprehensively studied.

It allowed in-depth understanding of a research problem. It is also flexible in data collection method and less expensive as it does not require the researcher to move from one organization to another for the purpose of conducting study.

### **3.4 Target Population**

The target population included the staff members allocated at various departments of the Council and its coverage involved supervisors who assume line responsibilities and their subordinates.

### **3.5 Sample and Sampling Procedures**

#### **3.5.1 Sample size**

The sample size for this study was 100 respondents on which 13 were heads of departments including District Executive Director, 6 heads of sections and other employees in the council at all levels that is; divisions, wards and villages. The sample size was obtained by using formula  $n = \frac{N}{1 + N(e^2)}$  developed by Krishna (2003) where n is sample size, N is the total number of households, and e is the level of precision. For example,  $e = 10\% = 0.1$

#### **3.5.2 Sampling Methods**

The sampling methods used in this study were simple random sampling and judgmental sampling.

### **3.5.2.1 Simple Random Sampling**

According to Kothari (1990:74), the results from sampling can be assured in terms of probability i.e. we can measure the errors of estimation of significance of the results obtained from a random sample. Thus this fact brings out the superiority of random sampling design over the deliberately design that it ensures the law of statistical regularity which state that ‘If on an average the sample chosen is a random one, the sample have the same composition and characteristics. This was the reason why random sampling was considered as the best technique of selecting a representative sample.

In selecting a sample in this study every element was assigned a number and then put them in a box and mix them thoroughly and then the sample was selected by picking up one piece of paper without looking the required piece of paper one after another without replacement hence 80 respondents were obtained. In doing so the researcher was sure that each of the remaining numbers on a piece of paper has an equal chance of being selected. The researcher opted to use simple random sampling because of its advantage that each element in the population is given an equal chance or opportunity of being selected.

### **3.5.2.2 Judgmental Sampling**

This is the sampling procedure which is used when selecting a sample that meets a certain criteria of the study. In this procedure certain groups of respondents were selected due to the relevance of their characteristics or knowledge of the study. And 13 heads of departments including District Executive Director and 6 heads of sections were selected as they were conversant with the subject.

Since not all employees at Handeni District Council were very conversant with the operation of implementation of OPRAS.

This method was used in this study for the purpose of getting specific information also to supplement information which was obtained from questionnaire.

### **3.6 Data Collection methods and Tools**

Both primary and secondary data sources were used. The interviews and questionnaires were used to obtain the primary data while various organizations' documents and library were used as sources of secondary data.

#### **3.6.1 Interview**

This involved face to face, oral conversations with the respondent. Both structured and unstructured interview were applied in extracting information on the subject matter. Informal discussion was held between the researcher and respondents from the council such discussion information to supplement the two sources above. This tool was chosen due to its flexibility, it has a high response rate compared to questionnaires and it is easy to control the environment as the researcher is setting it according to the situation.

The interview was carried where questionnaires were used. These were prepared and distributed to the respondents for the purpose of soliciting facts on the subject matter. Both closed ended and open-ended questions were asked in both English and Kiswahili language for convenience of respondents who could not communicate well in one of the languages. As the emphasis was to get useful information on the subject matters.

### **3.6.2 Documentary review**

This method dealt with documented information. The researcher looked for documents relevant to the subject matter. The researcher consulted personal files of employees in the study population, performance records from heads of departments, any documents related to OPRAS implementation.

The council documents were used as sources of data collection, this based on the rules, regulations and by- laws of the council.

## **3.7 Data Processing, Analysis and Presentation**

### **3.7 .1 Data processing**

Data were cleaned well before carrying out the analysis. The process was done in order to eliminate unusable data for example; the researcher may find two or more questions that really provide the same data. Hence she had to decide which one was worth for coding and storing. Also the researcher maybe received contradicted data from related questions.

Hence the researcher has to verify and reject wrong process. In this study data processing involved data editing, data classification and coding, data translation and tabulation. The collected data were edited to detect errors and omissions and thereafter were coded prior to analysis. After being coded, the data was stored in electronic storage by using statistical software package including Ms- Word and Excel to enter data and perform analysis.

### **3.7.2 Data Analysis**

Processed data were finally analyzed using SPSS and excel. These were chosen due their ability to allow qualitative and quantitative data.

### **3.7.3 Results presentation**

Results from the analysis were eventually presented in forms of charts, tables and figures. These helped the researcher to discuss them and come up with conclusion of the study.

### **3.8 Ethical Issues**

This study had ethical approval from the University of Dodoma. The researcher also explained the purpose of the study in each session in order to create awareness to the respondents as well as to assure them that the findings were used for the academic purposes only. There was no information to be used for unethical reasons.

The research maintained the confidentiality of the information given by respondents all the time of the research period and analysis.

### **3.9 Validity and Reliability**

Validity refers to the degree to which the instrument measures what it is supposed to measure (Brink, 2006). The researcher focused on content validity which is the degree to which the item in an instrument adequacy the universe of the content.

The researcher gave the questionnaires to the respondents from Handeni District Council so as to verify and validate the questions and objectives. The reviewers supported the assertion that the components of the questionnaires accurately reflected the investigation of the challenges and prospects of the implementation of OPRAS in Handeni District Council. A pre-test was conducted to obtain information for improving the questionnaires and assessing the feasibility of the study.

### **3.10 Summary**

This chapter has described the methods which were used in the study. The study applied qualitative research methods. The study was conducted in Handeni District Council where 100 respondents were selected from both men and women. Validation of the instruments was ensured as standardized instruments were used. Data from the completed surveys were analyzed through descriptive and influential statistical procedures using the statistical Package for the Social Science (SPSS) Version 16

## **CHAPTER FOUR**

### **RESULTS, DATA ANALYSIS AND DISCUSSION**

#### **4.1 Introduction**

This chapter presents data analysis and discussion of the study findings. The Statistical Package for Social Sciences was used for analyzing the data. The findings answer the general objective of the study which was to analyze the challenges and prospects of the implementation of OPRAS in Handeni District Council in Tanga.

The specific objectives were; (i) to determine the level of awareness of OPRAS among employees at Handeni District Council; (ii) to assess the extent to which the council implements OPRAS; (iii) to investigate the challenges of the implementation of OPRAS; and (iv) to determine some ways to improve the implementation of OPRAS in Handeni District Council.

#### **4.2 Demographic characteristics of the Respondents**

##### **4.2.1 Gender**

It was found out that, out of 100 respondents 56 were men which is 56% and 44 were female which is 44%. This means that there was a large number of female respondents at Handeni District Council compared to men. This was due to the fact that, a large number of women are transferred from other districts to Handeni following their husbands. Table 1 below shows the gender distribution of the respondents.

**Table 1: Gender distribution of Respondents**

<b>Sex</b>	<b>Frequency</b>	<b>Percent</b>
Female	56	56%
Male	44	44%
<b>Total</b>	<b>100</b>	<b>100%</b>

Source: Fieldwork survey, 2012

#### **4.2.2 Age-Group of the Respondents**

Age is very important in determining the labour force required for various activities in the organization. The age distribution of respondents was presented in four age - groups. The result showed that, 20 (20%) of the respondents were in the age-group between 18 and 30, 50 (50%) of the respondents were in the age-group between 31 and 40, 20 (20%) of the respondents were in the age-group between 51 and 60 as shown in Table 2.

This shows that the majority of the respondents 50 (50%) were between 31 and 40 years which is actually a prime age- group in terms of labour provision. Also the findings showed that 20 (20%) of the respondents were between 41 and 50 years and were heads of departments and sections who have experience and awareness of OPRAS, and the last group of respondents is between 18 and 28 who are young people, productive and therefore it requires good mechanisms to assist them to perform their duties.

**Table 2: Age-Group of Respondents**

<b>Age-Group</b>	<b>Frequency</b>	<b>Percent</b>
18-30	20	20%
31-40	50	50%
41-50	20	20%
51-60	10	10%
<b>Total</b>	<b>100</b>	<b>100%</b>

Source: Fieldwork Survey, 2012

#### **4.2.3 Marital Status of the Respondents**

The research findings show that 41(41%) of the respondents were single and 50 (59%) of the respondents were married and none of the respondents was widow or divorced. This indicated that a large number of the respondents were married so they work hard to increase their income as they have responsibilities to their families. Also the council preferred to employ married people to avoid unnecessary transfers.

**Table 3: Marital Status of Respondents**

<b>Marital Status</b>	<b>Frequency</b>	<b>Percent</b>
Single	41	41%
Married	59	59%
<b>Total</b>	<b>100</b>	<b>100%</b>

Source: Fieldwork Survey, 2012

#### **4.2.4 Education Level of the Respondents**

The respondents were required to reveal their level of education. The findings showed that, 30 (30%) of the respondents in Handeni were holding certificates, 40 (40%) of respondents were diploma holders, 18 (18%) of the respondents were bachelor degree holders and only 12 (12%) of the respondents were holding a

masters degree. From the table below one can conclude that the level of understanding regarding the whole process of OPRAS and language used in OPRAS form is not a problem to supervisors but it is a big problem to most of the supporting staff and other subordinates. This is expected as most of Tanzanians school dropout is at these levels of education (Census, 2002).

**Table 4: Education Level of the Respondents**

<b>Level of Education</b>	<b>Frequency</b>	<b>Percent</b>
Certificate	30	30%
Diploma	40	40%
First Degree	18	18%
Masters	12	12%
<b>Total</b>	<b>100</b>	<b>100%</b>

Source, Fieldwork Survey, 2012

#### **4.2.5 Occupation of the Respondents**

The findings show that 1(1%) respondent was District Executive Director, 3 (3%) respondents were Human Resource Officers, 10 (10%) were Record Management Assistant 4 (4%) were Internal Auditors, 2 (2%) were legal officer, 30 (30%) were education officers, 20 (20%) were nurses, 5 (5%) were Doctors, 15 (15%) were Village Executive Officers, 10 (10%) were Ward Executive Officer. The findings revealed that the large numbers of respondents 30 (30%) were education officers and nurses were 20 (20%) who were not much aware with the system of performance appraisal. Therefore Human Resource Officers have extra load of training their employees on good system of performance appraisal.

**Table 5: Occupation of the Respondents**

<b>Occupation</b>	<b>Frequency</b>	<b>Percent</b>
District Executive Director	1	1%
Human Resource Officer	3	3%
Assistant Record Management	10	10%
Internal Auditors	4	4%
Legal Officers	2	2%
Education Officers	30	30%
Nurses	20	20%
Doctors	5	5%
Village Executive Officers	15	15%
Ward Executive Officers	10	10%
<b>Total</b>	<b>100</b>	<b>100%</b>

Source; Fieldwork Survey, 2012

#### **4.2.6 Work Experience of the Respondents**

Table 5 below shows that 3 (3%) of the respondents have between 21 and 25 years of experience, 11 (11%) were between 11 and 15 years of experience and 22 (22%) were between 6 and 10 years of experience. Indeed, 21 (21%) of the respondents had longer experience in the work station which is between 16 and 20 years compared to those respondents who had 1 and 5 years of experience. This shows that most of the staff were still new to their positions.

**Table 6: Work experience of Respondents**

<b>Experience in Years</b>	<b>Frequency</b>	<b>Percent</b>
1-5 years	43	43%
6-10 years	22	22%
11-15 years	11	11%
16-20 years	21	21%
21-25 years	3	3%
<b>Total</b>	<b>100</b>	<b>100%</b>

Source: Fieldwork Survey, 2012

### **4.3 Objective One: Awareness of OPRAS by the Employees**

#### **4.3.1 Rate of Awareness of OPRAS by Employees**

From the findings it was revealed that 42 (42%) of the respondents in Handeni District Council were aware that OPRAS programme was introduced for the good intension of improving the organization and employees performance, they also had enough knowledge on OPRAS. They said that OPRAS is one among the criteria for promotion which results to good performance while 58 (58%) were not aware.

The findings showed that more than half 58 (58%) of the respondents were not aware at all with OPRAS due to the fact that they were not involved in setting objectives and criteria for appraisal process. Therefore, the Council has to ensure that all employees are aware of OPRAS in order to enhance its implementation. The element of effective participation of all employees in the OPRAS process is necessary to create awareness.

**Table 7: Rate of Awareness of OPRAS by Employees**

<b>Response</b>	<b>Frequency</b>	<b>Percent</b>
Yes	42	42%
No	58	58%
Total	100	100%

Source: Fieldwork Survey, 2012

#### **4.3.2 Applicability of OPRAS**

In this area it was intended to find out applicability of OPRAS at Handeni District council. Table 8 below shows that, 28 (28%) of the respondents viewed that OPRAS is applicable as they fill OPRAS forms and they are appraised using those forms, it is used as a criteria for promotion for good performers and punishment for poor performers.

They also said that OPRAS is used to measure the objectives achieved quarterly and yearly and 72 (72%) of the respondents said that OPRAS is not applicable at Handeni District Council.

According to the questionnaires filled by the respondents and interview conducted to few respondents they argued that, OPRAS is not applicable due to poor prioritization, poor policies and budgetary constraints which hinder the implementation of OPRAS. Previous studies also showed that OPRAS is not applicable due to shortage of funds (Fute, 2011).

**Table 8: Applicability of OPRAS**

<b>Response</b>	<b>Frequency</b>	<b>Percent</b>
Yes	28	28%
No	72	72%
<b>Total</b>	<b>100</b>	<b>100%</b>

Source: Fieldwork Survey, 2012

### **4.3.3 Attitudes and perception of employees towards OPRAS**

In this area it was intended to find out the attitudes and perception of employees towards OPRAS within Handeni District Council. The findings showed that 56 (56%) of the respondents were having negative attitudes towards the tool, they said that OPRAS is too subjective. And 34 (34%) of the respondents saw OPRAS as a helpless tool; In terms of practicability, 34 (34%) respondents interviewed from the department of education, viewed OPRAS as a helpless tool to them due to the nature of their job, and therefore asked for other appraisal systems or continue with the previous system.

The reason given was that, it was difficult to the nature of their work to set objectives. They gave an example that, for a teacher grade III A, one of his or her task was to assess pupils' development, and such a duty is difficulty in setting objectives. Therefore to them OPRAS was impracticable and helpless, only 10 (10%) of the respondents indicated positive attitudes towards OPRAS. Most of these respondents were heads of departments with the council.

From the interview with heads of departments it was revealed that OPRAS was a good thing as it allowed employees involvement and therefore put them in position to know their works performance whether it was good or bad, and take collective measures. Further, they added that its practicability depended on the availability of sufficient funds for general operations and more sensitization so as to change the

mind set of employees from the formerly used confidential appraisal system. Table 9 below showed the response of the respondents.

**Table 9: Attitudes or perception of employees towards OPRAS**

Response	Frequency	Percent
Employees have negative attitudes	56	56%
Employees have positive attitude	10	10%
OPRAS is helpless to employees	34	34%
Total	100	100%

Source: Fieldwork Survey, 2012

#### **4.3.4 Attending OPRAS training**

According to questionnaires distributed to all 13 supervisors or 13% of the total respondents had already received advanced training concerning OPRAS. On the other side 30 (30%) respondents in the group of subordinates respondents received initial training concerning OPRAS. They viewed that OPRAS was not well understood. One respondent was of the view that, ....the seminar conducted in a day for a very short time to Handeni District Council employees was not understood. Moreover 57 (57%) subordinates had never received training regarding OPRAS.

The study discovered that the council's budget for training is insufficient, hence it is difficult to conduct intensive training regarding OPRAS and its applicability to all normal staff, also there is lack of time for OPRAS training. As a result OPRAS is unsuccessful as indicated in the table 10 below.

**Table 10: Attending OPRAS training**

Training	Frequency	Percent
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None	57	57%
Initial training on OPRAS	30	30%
Advanced training	13	13%
<b>Total</b>	<b>100</b>	<b>100%</b>

Source: Fieldwork Survey, 2012

#### 4.3.5 Rate of awareness of OPRAS in departments and sections

Under this section the study wanted to capture if the respondents were aware with OPRAS in their departments and sections and the results in table 11 below show that, the majority of the normal staff were not clearly aware of the whole process of OPRAS which is 68 (68%) of the respondents. They viewed that there was no enough training concerning OPRAS and also they were less involved in the formulation of the policy. At the same time only 32 (32%) of all respondents were aware with OPRAS.

According to the information obtained in the study it has been revealed that the majority of the supervisors who include policy-makers are conversant with OPRAS as they had reserved training concerning OPRAS and also they were involved in the policy formulation.

This indicates that there is a need for Human Resources Officers to create awareness to all employees on the importance of OPRAS through training programmes.

**Table 11: Rate of awareness of OPRAS in departments and sections**

Response	Frequency	Percent
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Yes	32	32%
No	68	68%
<b>Total</b>	<b>100</b>	<b>100%</b>

Source: Fieldwork Survey, 2012

#### **4.4 Objective Two: The extent to which the Council implements OPRAS**

##### **4.4.1 Level of implementation of OPRAS**

Under this section, the study sought to receive the opinions and views of the respondents on the level of the implementation of OPRAS, Research findings in table 12 shows that 42 (42%) of the respondents proved that the system is just at the initial stage and they had only once seminar regarding OPRAS with the aim of spreading information by educating subordinates about the new system. Basing on the interview with District Human Resource Officer (DHRO), the implementation of OPRAS in Handeni District Council started in 2005.

However, the heads of departments revealed that the actual implementation of the programme commenced in 2007. He also said that, the implementation of the OPRAS programme in the council is a response to the Circular Letter number 2/2004 from PO-PSM (President's Office Public Service Management). The Circular Letter directed all Ministries, Departments, Agencies and Councils to start implementing Open Performance Review Appraisal System.

However, apart from the Circular Letter number 2/2004 the implementation of OPRAS in HDC was guided by the Council Strategic Plan 2006/2007 which was drawn from the HDC long-term strategic plan 2005-2015. For example, in order to improve the work performance and service delivery in the council, the department of Administration and Personnel through capacity building provided training to twenty one (21) staff members by the year 2010/2011.

On other hands 58 (58%) of the respondents said OPRAS is not implemented in the Council. They said that, OPRAS is not implemented at the Council as most of the employees are not aware and they don't even know how to fill OPRAS forms. This indicated that the implementation of OPRAS at Handeni District Council is still low because high percentage of respondents disagreed on the implementation of OPRAS at Handeni District Council.

The implementation of OPRAS was not well managed due to poor policies, poor prioritization, lack of staff awareness on the process and lack of institutional seriousness with OPRAS and budgetary constraints.

**Table 12: Level of implementation of OPRAS**

<b>Response</b>	<b>Frequency</b>	<b>Percent</b>
Yes	42	42%
No	58	58%
<b>Total</b>	<b>100</b>	<b>100%</b>

Source: Fieldwork Survey, 2012

#### **4.4.5 Involvement of employees in the training of OPRAS**

The study wanted to know the extent of involvement of the subordinates in the training of OPRAS at Handeni District Council.

According to the questionnaires, responses from 17 supervisors which is 17% of the total respondents, were involved as they received training on OPRAS, 30 (30%) respondents were partially involved because they did not receive any initial training,

only through departmental meetings and 53 (53%) respondents were not involved at all. They knew OPRAS through filling the forms as shown in the Table 13 below.

**Table 13: involvement of employees in the training of OPRAS**

<b>Response</b>	<b>Frequency</b>	<b>Percent</b>
On job training at council hall	17	17%
Through department meetings	30	30%
Through filling OPRAS forms	53	53%
<b>Total</b>	<b>100</b>	<b>100%</b>

Source: Fieldwork Survey, 2012

#### **4.4.6 Involvement of subordinates by their Leaders in conducting OPRAS**

According to questionnaires distributed to the respondents, 79 (79%) of the total respondents were not involved in conducting Open performance Appraisal by their supervisors, and 21 (21%) respondents were involved. It was also observed that most of the supporting staff were not motivated to implement OPRAS since they were not involved in its preparation and were not even involved in receiving relevant training for its effective implementation.

Table 14 shows subordinates' responses towards lack of involvement in conducting Open Performance Appraisal.

**Table 14: Involvement of subordinates by their Leaders in conducting OPRAS**

<b>Response</b>	<b>Frequency</b>	<b>Percent</b>
Yes	21	21%

No	79	79%
<b>Total</b>	<b>100</b>	<b>100%</b>

Source: Fieldwork Survey, 2012

#### 4.4.6 Involvement of subordinates in setting objectives

The table 15 shows that, only 13 (13%) of the respondents were involved in setting objectives and setting criteria to be used in appraising them. While 87 (87%) of the total respondents were not involved in the whole process of setting objectives and criteria to be appraised. They argued that, this was due to inadequate knowledge about Open Appraisal System and multiple roles, but also the supervisors did not take trouble to introduce the appraisal activity to their subordinates due to lack of seriousness of the supervisors.

From documentary review, observation and opinion from interviewees, for effective implementation of OPRAS, the normal staffs need to be involved in the following areas:-

- (i) Preparation of institutional strategic action plan and operational plan providing opinions when a certain policy is prepared (before implementing) and allocating resources in connection with one's activities in relation to job description.
- (ii) Setting of objectives and targets which are realistic and applicable in line with the organizational strategic plan.

**Table 15: Involvement of subordinates in setting objectives**

Response	Frequency	Percent
Yes	13	13%
No	87	87%
<b>Total</b>	<b>100</b>	<b>100%</b>

Source: Fieldwork Survey, 2012

#### **4.4.7 Leaders giving performance feedback to the subordinates**

Under this section the study wanted to capture if there is any kind of feedback given to the employees after the appraisal process and the results in table 15 shows that, 15 (15%) of the respondents got feedback of their performance while 85 (85%) of the total respondents were not receiving any feedback from their supervisors, on the previous year's performance. The findings showed that lack of enough knowledge on the appraisal system; skills and effective practice of the appraisal system hinder the feedback process to the employees.

**Table 16: Leaders giving performance feedback to the subordinates**

<b>Response</b>	<b>Frequency</b>	<b>Percent</b>
Yes	15	15%
No	85	85%
<b>Total</b>	<b>100</b>	<b>100%</b>

Source: Fieldwork Survey, 2012

#### **4.4.7 Relevance of OPRAS to the council**

The findings show that 47 (47%) of the respondents said that, OPRAS is relevant because if it is practiced effectively it will increase production in the organization as well as improve the performance of employees which will help them get promotion. In other hands 40 (40%) of the respondents argued that OPRAS is relevant only for filling workers reports and 13 (13%) of the respondents argued that OPRAS is relevant because it provide motivation to employees as those who perform better can go for study tour as a motivation.

The system therefore seemed to be very important for the development of the organization; the Council should ensure effective and serious implementation of the OPRAS.

**Table 17: Relevance of OPRAS to the council**

<b>Response</b>	<b>Frequency</b>	<b>Percent</b>
Promotion	47	47%
Getting incentives and study tours	13	13%
Filling worker reports	40	40%
<b>Total</b>	<b>100</b>	<b>100%</b>

Source: Fieldwork Survey, 2012

#### **4.4.8 Quarterly performance reports of the employees over a given period**

In this area, the aim was to assess if OPRAS reviewed the quarterly performance reports of the employees over a given period of time at Handeni District Council. Table 17 below show that 38 (38%) of the total respondents said that, the quarterly performance reports of the employees were given over a given period of time.

While 52 (52%) of the respondents said that, there were no any quarterly performance reports of the employees given over a given period of time. This implies that the implementation of OPRAS is still low and no seriousness of the supervisors is made to ensure that OPRAS is implemented effectively.

**Table 18: Quarterly performance reports of the employees over a given period**

<b>Response</b>	<b>Frequency</b>	<b>Percent</b>
Yes	38	38%

No	52	52%
<b>Total</b>	<b>100</b>	<b>100%</b>

Source: Fieldwork Survey, 2012

#### 4.4.9 Measurement of OPRAS on actual performance and targeted performance

In this area it was intended to find out if the performance appraisal judges the gap between actual performance and the target performance. The findings in table 18 showed that, 48 (48%) of the total respondents agreed that, the performance appraisal judges the gap between actual performance and the target performance while 52 (52%) of the total respondents disagreed that, the performance appraisal judges the gap between actual performance and the target performance.

The findings showed that, respondents disagreed because OPRAS is not well implemented in the Council due to lack of seriousness of the supervisors, lack of enough funds, poor prioritization and lack of awareness on the system itself as shown in the table below;

**Table 19: Measurement of OPRAS: actual and targeted performance**

<b>Response</b>	<b>Frequency</b>	<b>Percent</b>
Yes	48	48%
No	52	52%
<b>Total</b>	<b>100</b>	<b>100%</b>

Source: Fieldwork survey, 2012

#### 4.4.10 OPRAS strengthened the relationship between Employees and Management

Table 19 shows that, 29 (29%) of the respondents agreed that OPRAS help to strengthen the relationship and communication between employees and top management and employees on the other hand, and 71 (71%) of the total respondents

disagreed that, OPRAS helps to strengthen the relationship and communication between employees and top management.

According to the research findings, this is due to the fact that there was no openness on the appraisal system; employees were not involved in setting the objectives, supervisors did not sit with their subordinates to discuss their performance and still there were secrets in appraising employees.

The Council therefore has to ensure effective implementation of OPRAS in order to reduce those problems.

**Table 20: OPRAS strengthen the relationship between Employees and Management**

<b>Response</b>	<b>Frequency</b>	<b>Percent</b>
Yes	29	29%
No	71	71%
<b>Total</b>	<b>100</b>	<b>100%</b>

Source: Fieldwork survey, 2012

#### **4.4.20 OPRAS and training needs**

The study wanted to know if OPRAS diagnosed the strength and weakness of the employees so as to identify the training and development needs at Handeni District Council. It was observed that, 49 (49%) of the total respondents said that OPRAS diagnosed the strength and weakness of the employees so as to identify the training and development needs while 51 (51%) of the total respondents said, OPRAS does not diagnose the strength and weakness of the employees so as to identify the training and development needs.

It was found out that a large number of the respondents said OPRAS does not diagnose the strength and weakness of the employees so as to identify the training and development needs as it is not implemented effectively due to lack of seriousness of management on the implementation of OPRAS.

**Table 21 OPRAS and training needs**

<b>Response</b>	<b>Frequency</b>	<b>Percent</b>
Yes	49	49%
No	51	51%
<b>Total</b>	<b>100</b>	<b>100%</b>

Source: Fieldwork Survey; 2012

#### **4.4.12 OPRAS and decision making on training, promotion and demotion**

It was observed in table 21 below that 39 (39%) of the respondents agreed that OPRAS assist in the other personal decision like training, promotion and demotion while 61 (61%) of the respondents disagreed that OPRAS assists in the other personal decisions like training, promotion and demotion. The findings revealed that, most of the employees 61% are not aware with OPRAS as there is no seriousness in its implementation, there was poor prioritization, and financial crises. Also employees do not fill OPRAS forms as they found them to be helpless to them.

**Table 22: OPRAS and decision making on training, promotion and demotion**

<b>Responses</b>	<b>Frequency</b>	<b>Percent</b>
Yes	39	39%
No	61	61%
<b>Total</b>	<b>100</b>	<b>100%</b>

Source: Fieldwork survey, 2012

#### **4.5 Objective Three: To investigate the challenges of the implementation of OPRAS**

##### **4.5.1 The main factors hindering the implementation of OPRAS system**

In responding to the question on factors that hindered effective implementation of OPRAS at HDC, employees came up with different views. It was observed that 28 (28%) respondents mentioned inadequate resources, 21 (21%) respondents mentioned lack of proper working tools, 19 (19%) respondents mentioned lack of commitment and seriousness, 13 (13%) respondents mentioned poor communication and 7 (7%) respondents mentioned lack of realistic plans and employees participation.

**Table 23: Factors hindering the implementation of OPRAS by Multiple Response**

Factors hindering effective implementation of OPRAS	Frequencies	Overall %	Individual %
Inadequate resource	88	88%	35.2%
Lack of awareness	23	23%	9.2%
Lack of commitment and seriousness	42	42%	16.8%
Lack of proper working tools	54	54%	21.6%
Poor communication	31	31%	12.4%

Lack of realistic plan. employees participation	12	12%	4.8%
Total	250	250%	100%

Source: Field Work Survey, 2012

According to the respondents, the following are the leading factors which hinder the implementation of OPRAS in Handeni District Council;

#### **4.5.1.1 Inadequate Recourses**

It is obvious that recourses in terms of funds, working tools and training opportunities are required for effective implementation of OPRAS at Handeni District Council.

According to the questionnaires distributed a large number of respondents 28 (28%) selected inadequate resources compared to other factors. They argued that the Council is facing budget deficit as they receive insufficient recourses from Central government while the Council has insufficient sources of revenue.

In such a way it becomes difficult even for the employees to fulfill their set objectives especially where financial recourses becomes the centre for the operation of every activities in their respective working section.

#### **4.5.1.2 Lack of proper working tools**

Since the new appraisal system is performance oriented, the availability of proper working tools is important.

Through questionnaires distributed, 21 (21%) respondents identified lack of proper working tools as a problem they face in the Council. They also said that, some of the

working tools are inappropriate. The Council has no enough budget for purchasing new working facilities due to few and limited recourses (funds) which therefore hinder the effective implementation of OPRAS in the Council.

#### **4.5.1.3 Lack of commitment and seriousness in OPRAS exercise**

It was observed that lack of commitment and seriousness towards OPRAS was among factors with big number of respondents 19 (19%) which hinder effective implementation of OPRAS in HDC. For example, the directive given in the Circular Letter number 2/2004 and Public Service Regulations 2003, Regulations number 22 – 28 were not effectively adhered to in the Council.

This follows the fact that OPRAS requires performance review in half year period, however it was observed that up to the end of December, 2011 out of 167 OPRAS forms from Administration Department only 70 forms were reviewed and the rest which comprised 97 of all forms were not reviewed without any apparent reason for not doing so.

#### **4.5.2. Factors influencing effective implementation of OPRAS**

The research findings in table 23 indicated that 27 (27%) of the respondents said that, one of the factor influencing effective implementation of OPRAS was Financing OPRAS process. This means that, the Council should finance OPRAS process in order to make its implementation possible.

As well,26 (26%) of the respondents argued that need assessment is very important in order to the specific areas for training and 21(21%) of the respondents suggested that training employees on OPRAS is important or can create awareness hence simplify the implementation. Some 11 (11%) of the respondents explained that

availability of working facilities can contribute effectively on the improvement of Handeni District Council. While 9 (9%) of the respondents argued further that establishing institutions by the PMO-RALG for facilitating various training including OPRAS can contribute to the improvement of the process.

In addition 6(6%) respondents explained that monitoring and evaluation of activities done by employees can contribute to the improvement of OPRAS.

**Table 24: Factors influencing effective implementation of OPRAS**

<b>Factors influencing effective implementation of OPRAS</b>	<b>Frequencies</b>	<b>Overall %</b>	<b>Individual %</b>
Training employees	60	60%	22.2%
Financing OPRAS process.	85	85%	31.5%
Establishing institutions	18	18%	6.7%
Need assessment	75	75%	27.8%
Working facilities	20	20%	7.4%
Monitoring and Evaluation	12	12%	4.4%
Total	270	270%	100%

Source: Field work Survey, 2012

The study implied that, the large percent of respondents argued that Financing of OPRAS process, Needs assessment and Training of Employees can influence effective implementation of OPRAS.

#### **4.5.2.1 Financing of OPRAS process**

Basing on the questionnaires, it showed that large number of respondents 27 (27%) selected financing OPRAS as a factor influencing the effective implementation of the process. They said that, more resources have to be directed to the implementation of OPRAS so as to ease its implementation.

They also argued that, Central government should increase funds to the Local government Authorities in order to meet the aim of implementing OPRAS effectively.

#### **4.5.2.2 Needs Assessment**

Basing on the questionnaires, about 26 (26%) respondents selected Need Assessment as a factor influencing effective implementation of OPRAS. They said that, Needs Assessment could influence the effective implementation of OPRAS by providing proper needs of the employees for example proper training concerning OPRAS, proper working tools and conducive environment.

#### **4.5.2.3 Training Employees**

According to the questionnaires distributed, 21 (21%) of the respondents chose training to employees as a factor which influences effective implementation of OPRAS. They proposed that, more training should be conducted to both appraisers and appraisees.

They proposed to be trained on individual accountability, agreed objectives, agreed performance targets, agreed performance criteria, and agreed resources. This also should be done to all other staff and particularly for the newly recruited staff.

#### **4.5.3 Contribution of OPRAS on service delivery**

All respondents were requested to indicate whether the adoption of OPRAS had contributed to the good service delivery (Overall productivity and efficiency of employees) at Handeni District Council. The table below described that; large

number of respondents 79 (79%) argued that the good services delivery by the employees at Handeni District Council was not facilitated by adoption of OPRAS.

While 21 (21%) of the respondents argued that, OPRAS contributed to the good services delivery. Even one respondent in the interview commented the following:

*“OPRAS is unrealistic, and it is just a formality the same had no any incentives to motivate employees in their performance”.*

During interview of some employees, another respondent argued that,

*“There is no enforcement mechanism in place; therefore the efficiency of employees that led to good service delivery was due to other motivational tools including self effort and commitment of employees to their respective work.”*

Therefore these findings tell that, most of the respondents disagreed that OPRAS contributes to the good service delivery at Handeni District Council.

**Table 25: Contribution of OPRAS to the good service delivery**

<b>Response</b>	<b>Frequency</b>	<b>Percent</b>
Yes	21	21%
No	79	79%
<b>Total</b>	<b>100</b>	<b>100%</b>

Source: Field work survey, 2012

#### 4.5.4 OPRAS links to rewards or benefits decisions

Table 25 indicated that, 72 (72%) of the total respondents, argued that, the current system (OPRAS) did not provide concrete information that could assist in other organizational decisions such as reward decisions including merit increase, promotion and other rewards, only 28 (28%) of the total respondents agreed that OPRAS link to rewards or benefits decisions.

**Table 26: OPRAS links to rewards or benefits decisions**

<b>Respondents</b>	<b>Frequency</b>	<b>Percent</b>
Yes	28	28%
No	72	72%
<b>Total</b>	<b>100</b>	<b>100%</b>

Source: Field work Survey, 2012

#### 4.5.5 OPRAS provides clarity of expectation and responsibility of the functions of employees

Table 26 shows that, 60 (60%) of the respondents argued that OPRAS did not provide clarity of expectation and responsibility of the function to be performed by the employees. On the other hand 40 (40%) of the respondents accepted or agreed that it provides clarity of expectation and responsibility of the functions to be performed by employees.

**Table 27: OPRAS provides clarity of expectation and responsibility of the functions of employees**

<b>Response</b>	<b>Frequency</b>	<b>Percent</b>
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Yes	40	40%
No	60	60%
<b>Total</b>	<b>100</b>	<b>100%</b>

Source: Field work Survey, 2012

#### **4.5.6 Positive contribution of OPRAS in other human resources functions**

Table 27 shows that 68 (68%) of the respondents disagreed that OPRAS evaluates and judges effectiveness of other human resource functions of the organization as recruitment, selection, training and development while 32 (32%) of the respondents agreed that OPRAS evaluates and judges effectiveness of other human resource functions of the organization as recruitment, selection, training and development.

The finding showed that, the majority of the respondents 68% argued that, the current system did not provide concrete information that could assist in other human resources functions of the organization such as ;recruitment, selection, training and development.

**Table 28: Positive contribution of OPRAS in other human resources functions**

<b>Response</b>	<b>Frequency</b>	<b>Percent</b>
Yes	32	32%
No	68	68%
<b>Total</b>	<b>100</b>	<b>100%</b>

Source: Field work survey, 2012

#### **4.6 Objective Four: Efforts towards improving OPRAS in HDC**

The study wanted to know, efforts taken to improve the situation in Handeni District Council.

Handeni District council's employees proposed that, more training should be conducted to both supervisors and subordinates

Appraisers group includes all heads of departments, sections, and units. Indeed 68 (68%) respondents proposed more training to be offered to both supervisors and subordinates that is; appraisers and appraises, while 32 (32%) of the respondents proposed to be taught on individual accountability, agreed objectives, agreed performance targets, agreed performance criteria, and agreed resources.

They also said, this should be done to all other staff and particularly for the newly recruited staff.

They further argued that, there must be timely review of activities and well defined and assigned activities in order to avoid ad-hoc activities. Employees therefore suggested different ways to improve the OPRAS in Handeni District Council but the large number of respondents 68 or 68% more training to be conducted in order to create awareness to employees on the the tool to avoid resistant to its implementation.

**Table 29: Efforts towards improving OPRAS in Handeni District Council**

<b>Respondents</b>	<b>Frequency</b>	<b>Percent</b>
Yes	32	32%
No	68	68%
<b>Total</b>	<b>100</b>	<b>100%</b>

Source: Fieldwork Survey, 2012.

#### 4.6.1 Subjects to be trained in Handeni District Council by multiple respondents

Table 29 shows that, 50 (50%) of the respondents argued that individual accountability should be taught so that every individual could understand his or her responsibilities especial in the implementation of OPRAS as a tool for improved performance. Indeed 40 (40%) of the respondents argued that agreed objectives should be taught to all employees so that they can understand them before signing the forms, this could enhance the effective implementations of the OPRAS as the employees are aware with the set objectives where 40 (40%) of the respondents said that, agreed recourses should be understood by all employees so that they can avoid un effective implementation of OPRAS due financial crisis.Indeed,30 (30%) of the respondents to suggested more training to be offered on Agreed Performance criteria, this could help the in the implementation of the tool as the criteria are well understood while 30 (30%) of the respondents suggested more training to be conducted on the agreed performance targets to avoid resistance in the implementation of OPRAS as a tool to increase performance of the employees.

**Table 30: Courses to be trained by multiple respondents**

<b>Responses</b>	<b>Frequencies</b>	<b>Overall %</b>	<b>Individual %</b>
Individual accountability	50	50%	26.3%
Agreed objectives	40	40%	21.1%
Agreed Performance	30	30%	15.8%
Agreed Performance criteria	30	30%	15.8%
Agreed resources	40	40%	21.1%
Total	190	190%	100%

Source: Fieldwork Survey, 2012

#### **4.7 Summary**

This chapter presents the findings and data analysis on the challenges and prospects of the implementation of OPRAS in Handeni District Council. The major findings on the four objectives reflect that the employees were not aware of OPRAS which made its implementation be very difficult. This was due to lack of involvement in setting objectives and agreed performance, lack of proper working tools, lack of commitment and seriousness in OPRAS exercise, lack of realistic plan and employees participation.

Moreover employees did not receive sufficient training on OPRAS due to lack of enough funds and time to implement the process, and poor prioritization. The study observed that Needs assessment and good working facilities could improve implementation of OPRAS, and seriousness of the management seem to be alternative ways to improve implementation of OPRAS.

## **CHAPTER FIVE**

### **CONCLUSION AND RECOMMENDATIONS**

#### **5.1 Introduction**

The main objective of the study was to examine the challenges and prospects of the implementation of OPRAS in Local Government Authorities the case of Handeni District Council in Tanga. And specific objectives to determine the level of awareness

of OPRAS among employees at Handeni District Council, to find out the extent to which the Council implements OPRAS and to investigate the challenges and prospects of achieving the objectives of OPRAS at Handeni District Council. The chapter covers the conclusion which is based on major findings and suggests recommendations which are given to Handeni District Council and to the Central Government. Moreover, the chapter identifies areas for further research.

## **5.1 Conclusion**

Basing on the information gathered through questionnaires and interview, one may conclude by saying that,

First, the implementation of OPRAS in Handeni District Council is not effective as large number of employees about 58 (58%) said that, they were not aware with OPRAS and they were not involved in setting objectives and criteria for appraisal process.

Second, that the applicability of OPRAS in Handeni District Council showed that, 72 (72%) of the respondents said that, OPRAS is not applicable this was a result of many factors such as poor prioritization, poor policies, budgetary constraints and shortage of funds.

Third, the knowledge of OPRAS is still insufficient as it was found that about 57 (57%) of the respondents had never received any training regarding OPRAS, only 13 (13%) of respondents who were heads of departments were given chances to attend training concerning OPRAS. This indicated that, OPRAS cannot be successful unless all staff receive adequate training concerning the tool.

Fourth, that there were several factors that hinder the implementation of OPRAS such as inadequate resources, lack of awareness, lack of commitment and seriousness, lack of proper working tools, poor communication, lack of realistic plans and lack of employees participation. Therefore, the District fail in the efforts for implementing OPRAS due to these factors.

Fifth, that there were numbers of factors influencing effective implementation of OPRAS like, training employees, financing OPRAS process, establishing institutions, need assessment, working facilities and monitoring and evaluation. This is to say, if these factors are adhering to, they can contribute to the improvement of the process.

Lastly, there are some ways which were proposed by respondents in order to improve the system in Handeni District Council, these include training, timely review of activities, availability of financial resources and team work.

Generally, despite the Government efforts to introduce OPRAS it has not been in a position to develop a real and effective Open Performance Appraisal System in Handeni District Council .Effective Performance Appraisal System demands a thorough reform process which can only be achieved by a paradigm shift in organizational culture and mindset which would be supported by both senior management and political heads with the collaboration of the all potential stakeholders.

## **5.2 Recommendations.**

Basing on the research findings emerged from the study the following recommendations and the way forward are made.

First, education on OPRAS as a new system is required to make all public servants aware so that they can know its advantage over the old confidential system. This also will do away with the perceptions that the OPRAS is not fit to certain departments.

Second, the council should explore other sources of fund, especially for development expenditure rather than depending on donor support. More over when the resources are available within the council, the management should make sure that there is equal distribution of resources to all individual employees, departments, units and sections.

Third, heads of departments and supervisors should see the importance of the subordinates to be involved in participating with the open mind in the whole process of OPRAS, especially in objectives and goal setting as well as performance criteria instead of just instructing, for example, how to fill the forms.

Fourth, the Government should make sure that there is availability of resources both human and financial that are needed to implement OPRAS. This will avoid unnecessary delays or cancellation of some activities due to lack of funds. Also it should provide support in order to increase training budget for special program me on OPRAS.

Fifth, awareness creation is also very important in conscientizing the people to demand service and accountability. This could be achieved if the government and other non-governmental organizations and other interest groups mout campaign to

educate people on the right to access public services in specified timeframe as well as their entitlement to a quality and timeliness service.

Sixth, sensitization should be done especially to the reported difficult areas where most of the employee are not conversant these areas are like, preparation of strategic, action and operational plan of the institution, setting SMART objectives in line with the institutional strategic plan and deciding development measures in relation to one's career.

Seventh, The council should make sure that, those factors which hinder the effective implementation of OPRAS should be solved in order to improve the performance of employees and increase commitment to their work and therefore easily the implementation of the tool.

Lastly, the improvements of OPRAS in Handeni District Council will take place when the suggested areas from respondents are put into action and advice that the system of performance appraisal should be straight forward, simple to use and understanding without any unnecessary question.

### **5.3 Areas for further Research**

The aim of the study was to examine the challenges and prospects of the implementation of OPRAS. The study could not cover all aspects in relation to OPRAS. Further research therefore should be on the following topics

- i. The applicability of OPRAS to public sectors and the weakness of the system.

ii. Assessment of the strengths and weaknesses of the system and implementation techniques of OPRAS in public sector.

iii. The comparative analysis of closed and open system of appraising employees in Local Government Authorities

iv. The role of Civil Service in influencing the adoption of OPRAS in public service organs and agencies.

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## APPENDICES

### QUESTIONNAIRE FOR MEMBERS

#### Part I: Personal Information (Profile of Respondents)

Department-----

##### 1. Gender

(A) FEMALE ( )

(B) MALE ( )

##### 2. Age group

(A) 18-30 ( )

(B) 31-40 ( )

(C) 41-50 ( )

(D) 51-60 ( )

3. Marital status

(A) Single ( )

(B) Married ( )

(C) Widow ( )

(D) Divorced ( )

4. Education Level

(A) Certificate ( )

(B) Diploma ( )

(C) First Degree ( )

(D) Masters ( )

(E) Any other specify-----

5. Position (Occupation) -----

6. Experience at job

i. 1-5 years ( )

ii. 6-10 years ( )

iii. 11-15 years ( )

iv. 16-20 years ( )

v. 21-25 years ( )

vi. >30 years ( )

**Objective One**

1. For how long have you been employed in Handeni District Council?

.....

2. OPRAS is one system of appraising employee. Are you aware of it?

a) Yes ( )

b) No ( )

If yes, how did you become aware of OPRAS?.....

.....

.....

If no, how are you appraised annually at work? .....

.....

.....

3. Is OPRAS applicable in your work station?

a) Yes ( )

b) No ( )

If yes, how?.....

.....

.....

If no, why? .....

.....

.....

4. What are the attitudes/perception of employees towards OPRAS in your departments/section/units?

.....

.....

.....

5. What sort of training have you attended on OPRAS?

None, why?.....

Initial training on OPRAS     

Advanced training     

How was the knowledge used?

.....

.....

.....

6. What was the outcome of OPRAS exercise/appraisal? How many were trained and how many were promoted.

Outcomes	2004-2008	2009-2012
Training		
Promotion		

7. Are employees in your section/department/units aware of OPRAS?

a) Yes     

b) No     

If no, why?.....

.....

.....

**Objective Two**

8. How employees were involved during the training of OPRAS at Handeni District Council?

.....  
.....  
.....  
.....

9. Have you ever been involved in conducting open performance appraisal with your supervisor?

- a) Yes ( )
- b) No ( )

If yes, how many times?

- a) Once ( )
- b) Every year ( )
- c) After every 6 months ( )
- d) Non of the above ( )

10. Do you participate in setting of objectives and criteria for which you have been appraised?

- a) Yes ( )
- b) No ( )

If yes, how?

.....

.....  
.....

11. Do you happen to get performance feedback regarding your past performance after evaluation?

a) Yes ( )

b) No ( )

If no, what do you think could be the reason?

.....

12. To what level did the council manage to implement OPRAS?

.....  
.....

13. On evaluating OPRAS what has been established and what has been achieved?

.....  
.....  
.....  
.....

14. Is the system suitable for the council?

a. Yes ( )

b. No ( )

15. Does OPRAS review quarterly performance reports of the employees over a given period of time?

a. Yes ( )

b. No ( )

16. Is the performance appraisal at you organization judge the gap between actual performance and the target performance?

a. Yes ( )

b. No ( )

17. Does OPRAS help to strengthen the relationship and communication between superior and subordinates on the one hand and management and employees on the other hand?

a. Yes ( )

b. No ( )

If yes, how?

.....  
.....

18. Does the OPRAS in your organization diagnose the strength and weakness of the employees so as to identify the training and development needs of the future?

a. Yes ( )

b. No ( )

If yes, give examples

(a) Training needs identified

.....

.....  
.....

(b) Development needs identified

.....  
.....  
.....

19. Do you think the current performance appraisal system in your organization provides information to assist in the other personal decision like training, promotion and demotion in the organization?

c. Yes ( )

d. No ( )

**Objective Three**

20. What are the main factors limiting/hindering the implementation of OPRAS system?

.....  
.....  
.....  
.....

21. What the main factors influencing effective implementation of OPRAS system?

.....  
.....

.....  
.....

22. Is there any financial problem in the whole exercise of implementing OPRAS?

.....  
.....  
.....  
.....

23. Is there any effort towards improving OPRAS in your work station?

- a. Yes ( )
- b. No ( )

If yes, what are those efforts?

.....  
.....

24. What should be done to improve OPRAS in your council?

.....  
.....  
.....  
.....

25. Which benefits have you achieved by use of OPRAS?

.....  
.....

.....

26. Which costs have you encountered by the use of OPRAS?

.....  
.....  
.....

27. Does the adoption of OPRAS contribute to the good service delivery to the community by your organization?

- a) Yes ( )
- b) No ( )

If yes, explain how/why?

.....  
.....

28. Does OPRAS link to rewards or benefits decisions including merit increase, promotion and other rewards?

- a) Yes ( )
- b) No ( )

29. Do you think OPRAS provides clarity of expectation and responsibility of the function to be performed by the employees?

- a) Yes ( )
- b) No ( )

30. Does the OPRAS evaluate and judge effectiveness of other human resource functions of the organization such as recruitment, selection, training and development?

- a) Yes ( )

b) No ( )

If yes, give examples

(a) Recruitment

.....  
.....  
.....

(b) Selection

.....  
.....  
.....

(c) Training

.....  
.....  
.....

**THANK YOU**

*TFN 832*



**UNITED REPUBLIC OF TANZANIA**

**OPEN PERFORMANCE REVIEW AND APPRAISAL FORM**  
(To be filled in Triplicate)

From: July ..... to June .....

This Form replaces all other appraisal forms in the Public Service Institutions. It is intended to meet the requirements of the performance management system and development process.

**NOTES ON HOW TO FILL THIS FORM:**

1. This Form must be filled by all employees in the Public Service Institutions. For principal officers and above, at the end of the year, once fully completed, the original should be sent to the Permanent Secretary (Establishments), duplicate to the respective Head of organisation and triplicate to the public servant concerned. All other employees (senior officers and below) original copy should be sent to the Chief Executive Officer of the organization, duplicate to the parent ministry of the specific cadre and the triplicate to the public servant concerned.
2. Where appropriate, each box shall carry only one letter or figure. Letters to be in capitals.
3. Personal/Agreed objectives are derived from the Organisation's work plan (Strategic plan, Annual operating plans or Action plans) and are expected to be implemented in the current year.

4. Sections 2, 3 and 4 of this Form shall be filled by the Appraisee in consultation with the Supervisor and sections 5-6 in the presence of a third party if necessary.
5. Please note that appraisals that are rated as 1 are the best performers and appraisals rated as 5 are the worst performers. These should be brought to the attention of top management and usually to the attention of the Chief Executive Officer of their respective Organisation.

**SECTION 1: PERSONAL INFORMATION**

Vote Code	<input style="width: 100%;" type="text"/>	Check Number	<input style="width: 100%;" type="text"/>				
	Vote Description						
Sub Vote	<input style="width: 100%;" type="text"/>	Present Station	<input style="width: 100%;" type="text"/>				
	Sub-vote description						
Name in Full	<input style="width: 30%;" type="text"/>	<input style="width: 30%;" type="text"/>	<input style="width: 30%;" type="text"/>				
	Surname	First name	Middle name				
			<table border="1" style="width: 50px; height: 50px; border-collapse: collapse;"> <tr> <td align="center">M</td> <td></td> </tr> <tr> <td></td> <td align="center">F</td> </tr> </table>	M			F
M							
	F						
			Gender				
Academic Qualification	<input style="width: 100%;" type="text"/>						

Duty Post	<input style="width: 100%;" type="text"/>	Substantive Post	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
Date of First Appointment	<input style="width: 100%;" type="text"/>	Date of Appointment to present post	<input style="width: 100%;" type="text"/>	
	D D M M Y Y Y Y		D D M M Y Y Y Y	
Salary Scale	<input style="width: 50px;" type="text"/>	Period served under Present Supervisor	<input style="width: 50px;" type="text"/>	Date of Birth
				<input style="width: 100%;" type="text"/>
				D D M M Y Y Y Y
Terms of Service	<input style="width: 80px;" type="text"/>	<b><i>No..of Months</i></b>		

**DD= Day, MM= Month, YYYY= Year, F= Female, Male= Male**

**SECTION 2: PERFORMANCE AGREEMENT**

*To be filled by the Appraisee in consultation with the Supervisor*

<b>2.1 S/N</b>	<b>2.2 Agreed Objectives</b>	<b>2.3 Agreed Performance Targets</b>	<b>2.4 Agreed Performance Criteria</b>	<b>2.5 Agreed Resources</b>

2.6 Appraisee

2.7 Supervisor

**SECTION 3: MID-YEAR REVIEW (DECEMBER**

.....)

*To be filled by the Appraisee in Consultation with the Supervisor*

3.1 S/N	3.2 Agreed Objectives (As per Section 2)	3.3 Progress Towards Target	3.4 Factors Affecting Performance

**SECTION 4: REVISED OBJECTIVES (if any)**

4.1 S/N	4.2 Agreed Revised Objective(s)	4.3 Agreed Performance Targets	4.4 Agreed Performance Criteria	4.5 Agreed Resources



**SECTION 5: ANNUAL PERFORMANCE REVIEW & APPRAISAL (JUNE  
.....)**

**To be filled by the Appraisee and the Supervisor**

5.1 S/N	5.2 Agreed Objective(s)	5.3 Progress made	5.4 Rated Mark		
			App- raisee	Super visor	Agreed Mark
<b>Overall Performance Mark:</b> <i>This should reflect the overall performance and achievement of agreed objectives in Section 5</i>					

**Rating:**

- 1 = Outstanding performance      2 = Performance above average      3 = Average performance  
 4 = Poor performance              5 = Very poor performance

**SECTION 6: ATTRIBUTES OF GOOD PERFORMANCE**

**To be filled by the Appraisee and the Supervisor**

6.1 S/ N	6.2 MAIN FACTORS	6.3 QUALITY ATTRIBUTE	6.4 RATED MARK		
			Appraise e	Superviso r	Agreed Mark
1	WORKING RELATIONSHIP S	Ability to work in team			
		Ability to get on with other <i>staff</i>			
		Ability to gain respect from <i>others</i>			
2	COMMUNICATI ON AND LISTENING	Ability to express in writing			
		Ability to express orally			
		Ability to listen and <i>comprehend</i>			
		Ability to train and develop <i>subordinates</i>			
3	MANAGEMENT AND LEADERSHIP	Ability to plan and organize			
		Ability to lead, motivate and resolve conflicts			
		Ability to initiate and innovate			
4	PERFORMANCE IN TERMS OF QUALITY	Ability to deliver accurate and high quality output timely			
		Ability for resilience and <i>persistence</i>			
5	PERFORMANCE IN TERMS OF	Ability to meet demand			
		Ability to handle extra work			
6	RESPONSIBILIT Y AND	Ability to accept and fulfil <i>responsibility</i>			
		Ability to make right decisions			
7	CUSTOMER FOCUS	Ability to respond well to the <i>customer</i>			
8	LOYALTY	Ability to demonstrate <i>follower ship skills</i>			
		Ability to provide ongoing support to supervisor(s)			
		Ability to comply with lawful instructions of supervisors			
9	INTEGRITY	Ability to devote working time exclusively to work related			
		Ability to provide quality services without need for any			
		Ability to apply knowledge abilities to benefit Government and not for <i>personal gains</i>			
<b>Overall Performance Section 6</b>					

**Rating:**

1 = Outstanding performance    2 = Performance above average    3 = Average performance  
4 = Poor performance                      5 = Very poor performance

**SECTION 7: OVERALL PERFORMANCE (AVERAGE OF SECTIONS 5 & 6)**

COMMENTS BY APPRAISEE (if any):

**SECTION 8: EMPLOYEE REWARDS/DEVELOPMENTAL MEASURES/SANCTIONS**

The supervisor will recommend the most appropriate reward, developmental measures or sanctions against the appraisee in accordance to the level of agreed performance targets.