

**AN INVESTIGATION OF THE MAIN IMPEDIMENTS
TO THE INSTITUTIONALISATION OF THE ANNUAL
PERFORMANCE APPRAISAL SYSTEM (APAS) IN THE
ZAMBIAN PUBLIC SERVICE**

BY

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LUSAKA

2012

DECLARATION

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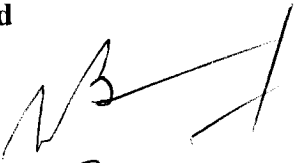
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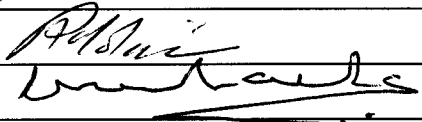
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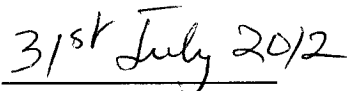
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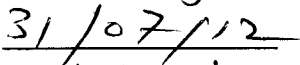
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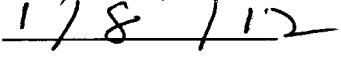




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ABSTRACT

The main purpose of this research was to investigate the main impediments to the institutionalization of the Annual Performance Appraisal System in the Zambian Public Service. Institutionalization of reform programmes such as performance appraisal has proved to be a daunting and challenging exercise for many developing countries, including Zambia. Yet the assumption is that if a robust Performance Appraisal System could be installed worldwide in organizations, tremendous leverage would accrue to it, in terms of not only performance, but also of developing a more engaged and empowered workforce.

The study was primarily qualitative, thus giving the researcher ample time to get an in depth understanding of the key obstacles to the institutionalization of the APAS, from the Focused Group Discussion with human resource sectional heads of all the ministries that have undergone restructuring and are using the new appraisal system, as well as Cabinet Office and the Public Service Management Division (PSMD) being the implementer and architect of all government reform initiatives. The interviews explored participants' experience, both as appraisers and appraisees. For this reason, the interview sample was skewed towards more senior staff.

The results for this research revealed that the prevailing cultural, political and organisational factors in the Zambian Public Service have hindered successful institutionalization of the APAS. Under political factors, there was an all round acceptance amongst the participants in the focused Group Discussions that the government lacks the political will to ensure that civil servants accepted the APAS and created a sense of ownership and commitment towards it. The findings, under cultural factors, revealed that, cultural differences in the supervisor-subordinate relationship affects appraisal results and subsequently becomes a key obstacle to the successful institutionalization of this reform program. Finally, under organisation factors, the following factors were revealed to be key obstacles to the acceptance of the acceptance of the APAS. The PSMD poor communication to line ministries and un sustained APAS training and socialization to the new entrants in the civil service, lack of commitment by top leaders to implement the system and the poor perceptions of the APAS held by both supervisors and subordinates.

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DEDICATION

This dissertation is dedicated to Mum and Dad, Mr. and Mrs. Kanchebele, who have always believed in me and inspired me to aim for academic excellence and my two children, Tyler and Natasha.

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LIST OF ABBREVIATIONS AND ACRONYMS

1. ZPS	Zambia Public Service
2. PA	Performance Appraisal
3. PMP	Performance Management Package
4. ACR	Annual Confidential Report
5. APECS	Annual Performance Evaluation Confidential Scheme
6. APAS	Annual Performance Appraisal Scheme
7. PSRP	Public Sector Reform Programs
8. CSRP	Civil Service Reform Programs
9. GRZ	Government of the Republic of Zambia
10. HRM	Human Resource Management
11. PSMD	Public Service Management Division
12. MDD	Management Development Division
13. PSC	Public Service Commission
14. PM	Performance Management Commission
15. PIT	Performance Improvement Team

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1.0 BACKGROUND TO THE STUDY

All organizations face the challenge of directing the energies of their staff to the task of achieving organizational goals and objectives. In trying to rise above this challenge, there was need to devise an effective means to influence and channel the behavior of civil servants so as to optimize their contributions. The Annual Performance Appraisal System (APAS) constitute one of the major management tools employed in this process. This being the case, one of the critical human resource issues of the 21st century is Zambia's ability to refine and develop an effective Performance Appraisal System for its employees and ensure its successful institutionalization. The APAS was, therefore, formulated in order to enhance a positive and coherent understanding between the employee and supervisor as to what is acceptable job performance which is essential for all employees and management work relationships to survive with the understanding that optimum development and proper utilization of each employee coupled with providing factual, candid and objective answers to performance evaluations is cardinal for organizational success and sustaining a sound employer/employee relations system in the Zambian Public Service.

Heward, J. (2003) in his book institutionalizing performance management, emphasized the importance of performance appraisal. He stated that, the performance appraisal is one of the most central human resource practices and as such, deserves much more attention than is paid to it by national administrations in most developing countries. The challenge for a developing country like Zambia, lies in creating an enabling environment for the successful institutionalization of this important management function. Without civil servants' sense of ownership and commitment towards the current Performance Appraisal System in the Zambian Public Service, institutionalizing a performance driven culture shall, for many years, remain a fruitless exercise.

CHAPTER ONE

INTRODUCTION

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The background to institutionalize the APAS in the Zambian Public Service can be traced back to the very beginning of the implementation of the reform programmes. It is a well known factor that, at the heart of every public sector reform initiative lies a desire to improve government services. The Zambian Public Service has, therefore, been undergoing profound restructuring, trying to directly improve the productivity of employees and ultimately directed towards an improved public service. The successive series of administrative reforms has encompassed changes in structure, management technologies, skills, knowledge, attitudes, systems and procedures. The reforms have concentrated on the adoption of a new mind set and paradigm of thinking. To this end, there have been efforts to inculcate fundamental values such as quality, productivity, innovativeness, discipline, integration, accountability and professionalism so as to create a forward looking, effective and a productive public service.

The Public Service Reform Programme in Zambia which ushered in a new appraisal system dates back to the year 1991, following the landmark general elections which ended the era of the single party system of government. The new government of the Movement for Multi- Party Democracy (MMD) embarked on the orthodox of structural adjustment which the previous socialist inclined government had resisted. In a parallel policy movement intended to carry favor with the International Monetary Fund (IMF), the World Bank and other donors, the government aimed at drastically downsizing the civil service in order to make it more client driven and enhance basic needs delivery to the general population. Hence in 1993, at an elaborate ceremony, the Republican President Dr. F.T.J Chiluba officially inaugurated the Public Service Reform Programme (PSRP). The overall goal of the PSRP launched in November 1993, was to improve the quality, efficiency and lost effectiveness of the services to the Zambian people. It was aimed at strengthening management capabilities, streamlining government operations and improving the service delivery to the people of Zambia.

Within the framework of the PSRP was the need to introduce a Performance Management System that would ensure that organizational and individual performance was assessed using objective measures such as work plans and targets. This was also to guarantee credibility of the appraisal system against which an employee's performance could be rewarded, sanctioned or improved upon.

In the implementation of Performance Management Package (PMP), Strong emphasis had been put on performance appraisal so as to improve the way ministries handled service delivery to the public and performance of workers on the job (GRZ, 1987). The main objective of the Performance Management Package (PMP) was to improve organizational and individual performance through the introduction of:

- a) A new culture of work planning and target setting.
- b) A new instrument for accessing individual performance, the open appraisal system called the Annual Performance Appraisal System (APAS).

With these objectives, the Performance Appraisal System was placed in the wider context of Performance Management, linking the ministries, strategic plans, goals and objectives to each departmental work plan and down to individual workers. The Performance Appraisal System being practiced in governments around the globe did not exist in the Zambian Public Service until the mid 1990's. However, one should not assume that there was no system of measuring organizational performance. During this period, organizational performance was assessed through annual reports and financial statements. Individual and staff performance was assessed through the Annual Confidential Report (ACR). This system of appraisal was, however, fraught with problems and abuses that made its credibility questionable. The inability to carefully measure the performance of the public service affected the overall performance of the administrative machinery throughout the country.

Contributing to the impetus of the PMP was the acknowledgement by the Zambian government in the 1990's of the fact that the civil service Annual Confidential Reporting (ACR) system in individual performance was just a matter of routine serving little purpose (Makambwe, 2001). It was found not only to be closed, secretive and highly subjective but also not results oriented. As it lacked performance focus. The Annual confidential reporting was a more traditional system of reviewing performance based on individual attributes, as seen by the supervising officers such as punctuality and obedience. In addition, the ACR was not directly linked to the identification of

performance gaps and their corresponding training needs in relation to specific targets that were set.

In light of this, the APAS was introduced as a means of managing and improving staff performance and accountability in the Zambian Public Service. Originally, the APAS was found to be an improved system of performance evaluation. It is an open, formal and systematic procedure designed to assist both supervisors and subordinates in the Zambian Civil Service in planning, managing, evaluating and realizing performance improvement with the aim of achieving organization goals. The focus of the appraisal was to do away with previous subjective assessments and encourage openness of administration. enable the employee and the supervisor to meet frequently, discuss the work to be done and review, the performance. The new appraisal system was a mechanism for quantifying and measuring the work being done with a view to improving efficiency and effectiveness in service delivery. Over the years, APAS has been expanded to all the restructured ministries in the government.

Considerable years have passed since the launch of PSRI without the Zambian Public Service experiencing any noticeable improvements in the institutionalization of the current Performance Appraisal System. When the APAS was introduced, civil servants had a lot of expectations about experiencing serious change in performance evaluations in their respective ministries. Unfortunately, there are serious obstacles to the successful institutionalization of this important management function. The main purpose of this research, therefore, was to investigate the main impediments to the successful institutionalization of the APAS in the Zambian Public Service.

1.1 STATEMENT OF THE PROBLEM

The Zambian Public Service has over several years developed various Performance Appraisal Systems and with the coming of the PSRP, the current Performance Appraisal System was introduced and placed in the wider context of Performance Management. However, the APAS lacks a sense of ownership, commitment and acceptance from public servants.

This research proposed to investigate the main impediments to the institutionalization of the current Performance Appraisal System. The research question the study intend to answer therefore was:

"What are the key factors that impede the successful institutionalization of the current Performance Appraisal System in the Zambian Public Service?"

1.2 GENERAL OBJECTIVE

The general objective of the study was to investigate the key factors that impede the successful institutionalization of the APAS in the Zambian Public Service.

1.3 SPECIFIC OBJECTIVES

The following were the specific objectives of the study:

- i. To identify the causes of resistance to the institutionalization of the APAS.
- ii. To identify the challenges faced by both subordinates and their superiors in embracing the current performance appraisal system and creating a sense of ownership towards it.
- iii. To provide suggestions on how best the institutionalization of the performance appraisal system could be improved upon.

1.4 SIGNIFICANCE OF THE STUDY

Inculcating a performance driven culture has been a continuous challenge the Zambian Public Service has been facing. This research has, therefore, been conducted in order to offer valuable contribution to the successful institutionalization of the APAS by harnessing knowledge of the key factors that impede its institutionalization in the Zambian Public Service. It is envisaged that the research findings and recommendations would be of use to PSMD, the main implementers of

PA system, HR heads in all the restructured ministry where the APAS has been introduced thereby help them to:

- a. Professionalize the performance appraisal process in the public service.
- b. Strengthen the capacity of the public service to formulate and implement effective performance appraisals and to ensure accurate and reliable data for management functions.
- c. Help address various institutional and capacity impediments that undermine the successful institutionalization of the PAS.
- d. Invest in the creation of a support base for the Performance Appraisal System which will ensure organizational commitment at all levels which is very important for the successful adoption of the Performance Appraisal System.

1.5 THE HYPOTHESTS OF THE STUDY

The main research hypothesis of this study is as follows: The prevailing Organizational, Cultural and Political factors impede the successful institutionalization of the current Performance Appraisal System in the Zambian Public Service.

1.7 OPERATIONAL DEFINITION

INSTITUTIONALIZATION

Gant (2006:p.40) defines institutionalization as a process by which systems of action acquire capability and competence, public acceptance, operating resources and the stability of a standard way of doing things.

The most extensive use of the concept, however, is found in the work of Berger and Lackmann (1967:21). Institutionalization as defined as a process by which something becomes acceptance over a period of time. The process occurs whenever there if a reciprocal typification of habitual actions. The authors imply actions of individuals in society that at some points become routine, customarily or enduring. In a nutshell, a “habitual action” is an act repeated over and over and hence developing into a pattern which is then reproduced with parsimony. Thus an institutionalization is a set of habitual actions whose formulation is attributed over time in a shared manner to certain actors who begin to perform roles in the social context (Berger and Lackmann 1967.p21).

PERFORMANCE APPRAISAL

There is a lot of literature on definitions of the term Performance appraisal. This study however, stick to the usage of the definitions given by Lansbery and Walsh (1930.20). Lansbery defines performance appraisal as the process of identifying, evaluating and developing the work performance of employees in the organization so that the organization goals and objectives are effectively achieved while at the same time benefiting employees in terms of recognition, receiving feedback, catering for work and offering career guidance.

Lansbery and Walsh (1980:20) also defines performance appraisal as a process by which a superior evaluates and judged the work performance of a subordinate. He stresses that performance appraisal systems include the process and procedures involved in implementing, managing and communicating the events involved in performance appraisal.

1.8 LITERATURE REVIEW

This section is a review of literature on performance appraisal in the public service. The material reviewed in this study primarily consisted of textbooks, magazines and journals providing contemporary commentary on the issue of institutionalization of performance appraisal within a public sector environment. However, the study also examined material specific to the private sector in order to gain a greater overall perspective.

Administrative reforms focusing on implementing Performance Appraisal Systems have been continuously transferred from one state to another. In this respect, Indiana (1947.p24) pointed out that those western reforms on performance appraisal have found their way into the reform agendas of nations in Eastern Europe, Asia and Africa. Josh et al (1997.p89) studied institutionalization of Public Sector performance appraisal in the United Kingdom. Background to his research was that having a technically sound appraisal system and procedure was no guarantee that an organization appraisal process will be institutionalized. He contended that both managers and subordinates must have a shared perception of the purposes and functions of the process and the belief that the appraisal process is useful to them on an individual basis. To this end, he argued that an effective appraisal system is one that satisfies the needs of the parties involved in the process. In addition, an effective appraisal system required that managers not only have the skills necessary to conduct the appraisals but also the willingness to do so. He administered the questionnaire to 357 members of the professional staff of a multi purpose public sector service located in the Midwest. This organization was chosen based on the following criteria: that the organization had a professionally developed and technically sound performance appraisal system that included a formal performance appraisal procedure, formal rater training, a standardized job description based rating instrument and the organization required all managers to conduct an annual appraisal with each of the subordinates. The overall response rate was 71.1% which included 77.1% of managers (n- 47) and 69.9% of subordinates (n- 207). The average organizational tenure of respondents was 10.5 years for managers and 11.8 years for subordinates. In analyzing the data two criteria were employed to assess the performance appraisal's effectiveness. The first criterion was that a significant majority of both managers and subordinates had to agree that the function was being fulfilled by the appraisal process. It had

been suggested that an appraisal system has more validity i.e. accomplish its intended purpose when a significant majority of the organization members have a sense of ownership and commitment towards the system. So 16% of both managers and subordinates responding to the survey constituted a, significant majority in this study. The second criterion used to assess effectiveness pertaining to the level of agreement between managers and subordinates on each function stated above; managers and subordinates must have a shared perception of how well the appraisal process serves its intended functions. The level of agreement between public sector managers and subordinates was accordingly examined. The appraisal was considered ineffective when there was a statistically significant difference in the proportion of managers and subordinates who agreed that the function in question was being served by the appraisal process. His findings revealed that, the organization in this study had a professionally sound appraisal system, provided rater training and required managers to conduct annual reviews of subordinates reporting to them. To a great extent, its approach to the formal appraisal process could be described as quite typical for many public sector organizations. The responses to the results were mixed. The positive findings revealed that both managers and their subordinates believed that the appraisal process allowed employee inputs in their jobs, informs employees of where they stand, helps to clarify the employees performance and objectives and facilitates the discussion of the employees development given the employees needs for feedback, direction, and development. The appraisal process was conversely perceived as being less than effective by both parties as a vehicle for improving the employee motivation, performance and linking merit pay to the employee performance. These findings were particularly noteworthy since two of the most frequently cited reasons for doing performance appraisal included merit pay administration and improving employee motivation and performance. In each scenario, the appraisal system received disastrous ratings especially from the subordinates' perspective. The difference in perceptions between managers and subordinates was also statistically significant in both cases. Finally, when evaluated as a tool to improve the manager subordinate relationship and as a communication tool, the appraisal process received a split review. Managers believed the appraisal process was reasonably effective in both areas while subordinates viewed the process as ineffective.

This dissertation acknowledges the fact that both subordinates and managers considered the appraisal process at this organization to be a worthwhile program despite certain levels of dissatisfaction with specific outcomes of the process. Although this research is highly informative on effective performance appraisal implementation, it is imperative to point out the fact that this study differs from the intended one in that it was conducted in a public organization of a developed country that had a well structured, professionally developed appraisal system.

The researcher's argument is that, performance appraisal in developing countries is totally different. It is unstructured and unprofessionally conducted. The researcher, therefore, drew inspiration to conduct a qualitative research on the institutionalization of the Performance Appraisal System in a developing country like Zambia. No research has been conducted on this topic in Zambia. It is expected that the research findings will help fill in the gaps in literature by investigating how the prevailing cultural, organizational and political factors impede the successful institutionalization of the Appraisal System in the Zambian Public Service. Other authors like Givens (1956) and Andrews (1956.p89) also offer valuable contribution on the topic of institutionalizing the PA system. His argument on the problems faced by Queensland public servants had been that the current performance appraisal strategies did not support the institutionalization of desired organization direction. The purpose of his applied research was to examine the issues associated with performance appraisals and identify proven and suitable methodologies which would result in a process that is credible and equitable and reinforces desired organizational directions. The procedure developed for his research was aimed at overcoming various factors that impede successful institutionalization of the performance appraisal process. This was achieved by evaluating the need for performance appraisals, problems associated with various methodologies and examining the qualities that needed to be measured, both in terms of the individual and organizational and identifying means of improving organizational performance. His research found that the current processes within the Queensland Public Service focused on dealing with diminished performance issues. Subsequently, the efforts of the individual were not aligned with desired organizational direction and little incentive existed amongst managers to challenge current processes or encourage risk taking to improve service delivery. This research recommends that current Performance Appraisal Systems need to be redeveloped to focus on outputs and be structured in such a way as to reinforce desired behavior patterns and to reward rather than just provide for punitive measures. The study

supports these arguments in that public sector performance appraisal system cannot be institutionalized if the prevailing organizational factors do not create an enabling environment greatly needed for the institutionalization process to be successful.

Performance appraisal has been perceived as a management tool, that may be used to direct and control employee behavior, distribute organizational rewards and improve employee work performance or develop employee capabilities. So the degree to which the system is embraced by public servants the world over largely contributes to its success. Tompkins (1970.p89) in his article “*Institutionalizing a performance driven culture*” stated that institutionalization of this important management tool cannot take place without taking into consideration the organizational, cultural and political factors prevailing in a public service. It is clear from reviewing the literature that, when a proper system is in place, a sense of ownership and commitment towards the system is created. In his article, “performance appraisal lets quit appraising and begin reviewing” Barches (1988.p30) stated that the sole intent of every performance appraisal system ,should be to improve performance, to provide feedback on quality of performance and then review progress on the desired improvement of performance. Richmond (2009.p49) contends that feedback should be open, encouraging-based on careful and systematic recording and based on factual data.

When an organization experiences successful institutionalization of the Performance Appraisal System, there is a sense of ownership and commitment towards the appraisal process. Employees demonstrate particularly excellent performance that is of such high quality that organizational goals have been achieved that would have been otherwise. The employee demonstrates mastery of technical skills and a thorough understanding of the mission of the organization and has a fundamental impact on the completion of program objectives. He exerts a major positive influence on management practices, operating procedures and program implementation. He contributes substantially to organizational growth and recognition. The employee is creative, unexpected and uses alternative ways of reaching goals. Difficult assignments are handled intelligently and effectively, the employee produces an exceptional level of performance. He works at a faster pace than that of established schedules with little supervision. He improves the productivity of the workplace and prevents misunderstandings. Conflicts are handled effectively.

represented or explained effectively to a variety of audiences so that desired outcomes are achieved.

Other authors suggest that conducting formal evaluations is one way of laying down a line of communication between employees and supervisors. Therefore, if conducted properly the organization benefits from this performance appraisal exchange. The literature suggests that for the institutionalization process to progress successfully, at organizational level both managers and subordinates should fully understand and appreciate its benefits to the organization as a whole. Stephen P, Robbins (1994.p67) stated that performance appraisals serve a number of uses in the organization. First, management uses appraisals for general personnel decisions such as promotions, rewards, transfers and terminations. Second, appraisals identify training and development needs, not only for individual employees but also the organization as a whole. Third, performance appraisals can be used to validate selection and development programs. Fourth, performance appraisals provide feedback to employees on how the organization views their performance. Most organizations must use the best standards that apply to them. The organizational needs must be clearly stated so that the appraisal program can be designed to meet the needs. The two primary objectives of a well functioning performance appraisal system should be to formally measure the performance of the individual employee and to provide information on how well the system is designed and work .

Another scholar of the social sciences whose views on the importance of organizational factors in the institutionalization of performance appraisal are in agreement with other writers from developed countries is Richmond, H,(2009.p90). He conducted a research in the New Zealand public service on why the south trail fire department abandoned its appraisal system for a new one. He observed that, the problem was that no formal evaluation process existed for employees within the south trail fire department. The purpose of his research was to evaluate the feasibility for the south trail fire department to implement an employee appraisal system and set up systems and procedures to institutionalize it. So a survey was conducted at the south trail fire department in Fort Hares. All company officers and acting officers within the south trail fire department were surveyed. The results of this research indicated that most employees liked the idea of having feedback and input regarding their job performance. The organization also benefited by

represented or explained effectively to a variety of audiences so that desired outcomes are achieved.

Other authors suggest that conducting formal evaluations is one way of laying down a line of communication between employees and supervisors. Therefore, if conducted properly the organization benefits from this performance appraisal exchange. The literature suggests that for the institutionalization process to progress successfully, at organizational level both managers and subordinates should fully understand and appreciate its benefits to the organization as a whole. Stephen P, Robbins (1994.p67) stated that performance appraisals serve a number of uses in the organization. First, management uses appraisals for general personnel decisions such as promotions, rewards, transfers and terminations. Second, appraisals identify training and development needs, not only for individual employees but also the organization as a whole. Third, performance appraisals can be used to validate selection and development programs. Fourth, performance appraisals provide feedback to employees on how the organization views their performance. Most organizations must use the best standards that apply to them. The organizational needs must be clearly stated so that the appraisal program can be designed to meet the needs. The two primary objectives of a well functioning performance appraisal system should be to formally measure the performance of the individual employee and to provide information on how well the system is designed and work .

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using goals and objectives as standards in the performance appraisal system. The major disadvantages appeared to be the subjective nature of current performance appraisal systems and the lack of clear goals and standards. Most departments were looking for ways to improve their current systems of the employees surveyed, 55% of felt that performance appraisal would benefit the fire department. That percentage was higher among all the chief officers surveyed. They all agreed that the goals and objectives of a performance appraisal system must be clearly defined for the appraisal to work. The goals should set a desired standard that an employee should meet based on department policies. His research recommended that the establishment of an employee management committee be done which should develop, design and implement a new performance appraisal system for the south trail fire department. The new appraisal system should strive for consistency and include a review of all job descriptions within the department. In addition, strong employee participation with a periodic review of the new program was seen as key to its success. Therefore, comprehensive training program with serious follow up was deemed critical in getting employees to buy into the process and understand it'. At the political level, a committee was set up to explore legal issues associated with performance appraisals and legislation was put in place to attach sanctions and rewards to the results of performance evaluations. Finally, strong support of the program was encouraged by all of the officers within the department to ensure its health and success.

The above research has offered valuable contributions to this study in the sense that it has provided learning ground for inculcating a performance driven culture in the 'Zambian Public Service'. Firstly, it has pointed out the fact that for the process of institutionalization of PA to progress successfully, there is need for a public service at organizational level to clearly establish the goals and objectives of the Performance Appraisal System. Munroe (1967. P89) defines goals and objectives as methods by which expectations can be measured. Performance appraisal should be linked to organizational, goals and objectives. He argued that clarity of organizational goals and objectives will increase public servants' commitment towards the appraisal system. Goals are something that an employee really aims for in his/her job. The higher and more specific the employee goals are, the harder the employee will try and the higher his performance will be. Maddox (1987. P126) advocated that when establishing goals with employees, it is important to remember that those goals must be reachable. Goals must be observable and measurable by those

who seek to achieve them. Secondly, the researcher also acknowledges the importance of participation for successful institutionalization of the PA system by stakeholders and the general public. Lack of such involvement of and knowledge by the public and other stakeholders means the inability to substantially hold both ministers and public servants accountable to whatever they agreed to achieve in the system. In the eyes of the organizational members and the general public the PA system remains alien. Thirdly, this study has pointed out that if institutionalization is to take place there should be sufficient political will to fully support the system. This argument is a point of departure for this dissertation. In determining how political factors have influenced the successful institutionalization of performance appraisal in the Zambian Public Service, the research attempted to answer the following questions:

1. Is there sufficient political will or legislation put in place to foster the institutionalization of performance appraisal in such a way that it is fully embraced by members of public organizations?
2. Has the coming of Public Sector Reform Programs in any way addressed the various institutional and capacity constraints that impaired institutionalization of the previous Performance Appraisal System?

The researcher is well aware of the fact that reforms such as appraisal systems are at times initiated on the basis of symbolism because symbolism provides legitimacy for the actions of the state. So the question that surely lingers in the readers mind is whether the Public Sector Reform Programs which ushered in APAS are real and had sufficient political will to back institutionalization of this reform program in Zambia or they were just symbolic acts of government. This research sought to provide answers to these questions.

The works of Richmond and King (1990.p89) are also highly informative in emphasizing the influence of politics on institutionalization of performance appraisal. They contended that politics often enters the performance appraisal process without supervisors knowing that they are caught up in a political game. A conscious effort must be made by both the manager and those training him or her in appraisal techniques to keep the process from becoming mired in a political game. Edwards (1999.p90) supported this view by arguing that any serious discussions

of performance appraisal must recognize that organizations are political entities and that few if any important decisions are made without the key actors attempting to protect their own interests. Performance appraisals are no exception. Thus it is likely that political considerations influence managers when they evaluate subordinates appraisal process. This research sought to investigate if the politics of appraisals in a workplace understood in this context are also applicable to the Zambian public organizations. There is very limited literature if any specifically dwelling on politics and performance appraisal in the Zambian Public Service. The researcher therefore sought to investigate how political factors impede the institutionalization of the current Performance Appraisal System.

It is clear from reviewing the literature that when a proper system is in place, Performance Appraisal System can assist an organization in controlling the employees. In the United States of America, the work of Mark Stein, (2003.p45) President and CEO of the partnership of public service, on the institutionalization of the Performance Appraisal System, provided very illuminating information to this research study. This was a non- profit organization, non-partisan, dedicated to revitalizing the federal civil service and transform the way the federal government works. He had concluded "that Performance Appraisal System in any public service could only be effectively used if it was institutionalized, and rested on a trilogy of ideas of fairness, credibility and transparency.

The background to the old performance appraisal system showed that it had failed lamentably in appraising employees . The system never paid any attention to the vital ingredients, of employee involvement and communication. Simply having a performance appraisal system is doomed to fail if the affected employees do not perceive the system to be fair for all regardless of gender, race, religion, political affiliation, marital status or disability. With the old system which heavily discriminated minority groups in America, employees had no confidence in the system as they knew that personal favoritism of their appraisers advantaged or disadvantaged them to a larger extent and this adversely affected their performance.

In order to ensure that future efforts have high likelihood of having a performance appraisal system that is institutionalized, the partnership group offered the following recommendations to the American state of Colorado public service:

1. Create and employ meaningful measures of appraising employees that exhibit fairness, transparency and credibility. This kind of system must not disadvantage certain demographic groups over others. The government accountability notice took the bold set of publicizing these agencies promotions and performance rating by race% gender, disability, veteran status and location. These data exposed a lot of inconsistencies which was typically of the old appraisal system. It revealed a gap between performance appraisal for African-Americans and whites, a disparity that the agency insisted should cease to exist, as all employees should be appraised fairly.
2. Create a mechanism for ensuring that managers are trained and held accountable for unbiased and transparent decisions regarding performance assessments and pay decisions.
3. Engage federal employees and their representatives in the design implementation and assessment of the new performance appraisal system. This was based on the realization that the performance appraisal system that is imposed upon rather than established with federal employees is incapable of furthering the goals of better employee and organizational performance. Rather it yields the opposite effect. The organizational variables pointed out in this study on successful institutionalization of the appraisal system offer valuable lessons for the Zambian civil service. There is need to establish whether public servants in the Zambian public service also feel that the current PA system is simply an imposition thus no need to feel a sense of ownership and commitment towards it.

Seivick (1990.p16) also supported this view on institutionalization of performance appraisal in the USA, he described the process of institutionalization as something that happens to organizations overtime reflecting the organizations distinctive history, the people who have it, the groups it embodies and the vested interest they have created and the very way it has adapted

to the environment. From this perspective, Seivick, identified institutionalization of reform programs such as appraisal, as a process through which organizations become stable so as to be able to fulfill personal or group needs. To him, therefore, institutionalization is about the infusion of value beyond the technical requirements of the task at hand. In this regard, the USA office of the personnel management suggested a list of characteristics as providing a framework of references for effective institutionalization of the performance appraisal system:

- a. Performance is measured against established comprehensive standards which are written in a clear and explicit style and communicated to the employee at entry on the job and at the beginning of the appraisal period.
- b. Performance appraisal information is used for specific purposes, o.g. to determine development needs, awards and retention and not for vague abstract reasons, such as appraisal for promotion potential and unrelated to a particular job.
- c. Appraisal criteria and techniques are appropriate to the specific purposes for which the appraisal is being done.
- d. The information produced is useful for work-related decisions.
- e. Data is objective, reliable and as valid as possible.
- f. Instruments for performance review and appraisal are easy for the participants to understand and use.
- g. Supervisors are appraised in terms of how completely they perform their supervisory duties.
- h. Employees are kept informed about methods and purposes of appraisal.
- i. Employees' performances are kept current.
- j. There is no attempt to satisfy all the management purposes of the appraisal at as a single annual discussion of performance. Systems provide additional opportunity for supervisors and employees to discuss, improve, and plan for job performance.

Seivick's contribution on the institutionalization of performance appraisal is very relevant to this study because it is not restricted to developing countries only. Zambia, as one of the developing countries in Africa, can also benefit from these lessons on institutionalization of this important management tool. The study has brought out key framework references on employee

performance appraisal system that can help in inculcating a sense of ownership and commitment in civil servants towards the appraisal process.

African countries have had their own experiences with performance appraisal. Some countries \ such as Botswana, Lesotho, Mauritius, South Africa and, Zimbabwe embraced change towards a more objective performance appraisal systems (Kareli and Lessie,p1980). The Annual Confidential Reporting System (ACR) that was subjective and based on personality characteristics has slowly been phased out. Owusu's (2007.p45) research in the Ghanaian ' Public Service is of valuable contribution to this study. It was an action based research on institutionalization of a performance driven culture. It was a period of time when organizational performance in Ghana was assessed through annual reports and financial statements audited by the auditor general. He interviewed public servants in order to get an in-depth understanding on the extent to which the system received ownership. His findings reviewed that public servants were dissatisfied with the system as it was fraught with problem and abuses which made its credibility questionable (Aimee, 2001 nkrumah 2005). The inability to measure the performance appraisal of the public organization strongly impacted its performance which also affected the overall performance of the administrative machinery. Through out the country his research concluded that the problems of public organizations performance could not be analyzed without understanding the socio economic and political environment in which the organizations exist and work. Aiyee (2001), Herbst (1993), Huchful (1990) supported owusu's research as they alluded to the fact that the general social, economic and political environment that prevailed in Ghana in the immediate post independence era until the mid 1990s did not contribute to the overall institutionalization of Public Performance Appraisal System, a civil service reform program was implemented with the intention of appraising the service motivation and performance through job analysis, classification and reassignments and the rationalization of staffing levels. The laudable objectives of the program were not enough for it to seriously revamp the service towards its core function, institutionalizing a performance driven culture. Its service continued to rely heavily on the command and control approach to management and to be rule focused in service delivery, while at the same time restricting itself more to policy advice rather than attending also to service delivery. The inability of the PSRP to seriously foster a performance driven culture led to the government to institute a new program: the Civil Service Improvement

Programme. This became the first serious attempt by the government to revolutionise public service organizations by focusing specifically on institutionalizing a performance driven culture similar to those already found in developed countries. A key part of the program dealt with development and signing of the performance appraisal agreements and contracts between the government and senior bureaucrats i.e. chief directors of the various ministries departments and agencies. His argument was that, in spite of this, the program failed to alter the culture of public sector organizations to any appreciable degree. Most of the organizations continued with the old bureaucratic culture that had undermined their performance. Owusu's research has offered valuable contributions to this study in that he has pointed out that institutionalizing a performance driven culture in a developing country is a challenge that has to be understood by taking into account the prevailing environmental, political, social and organizational factors that can impede the institutionalization process, it is however also important to argue the fact that Ghana is in West Africa, therefore the cultural, organizational and environmental factors that have negatively affected successful institutionalization of the PA process might not exactly be similar to Zambia. This study's argument is that Zambia is in Southern Africa with its own distinct cultural factors influencing successful institutionalization of the PA process. There is therefore, need to fill in gaps in literature in this perspective. In addition to how culture relates to organizational performance, Fletcher (1990.p90) stated that the cultural elements of a particular organization to a great extent can negatively influence the institutionalization of the Performance Appraisal System. He goes on to argue that any superior trying to put together an appraisal system for an organization would want to consider the implications of the system on the culture of the organization. This consideration needs to occur at a number of levels including not only what to appraise but also who should do the appraising and feedback when the appraisal is given. For example, an organization that aims for an open and relaxed culture might want managers to give one to one feedback systems. Yet this may not suit an organization that only respects management views. As earlier stated, review of this literature clearly indicates that the cultural factors do indeed play a significant role in influencing the institutionalization of an organization's PA system. This research sought to examine how the prevailing cultural elements of the Zambian public servants have negatively influenced the institutionalization of the APAS.

In reviewing contemporary, thinking on the subject of institutionalization of performance appraisals in southern African countries such as Tanzania and Zimbabwe, a subtle shift in purpose is apparent from the early nineties until present day. Earlier writers such as Stoner (1988, p678) discuss appraisals from a viewpoint of assisting the employee whilst more contemporary writings focus on the benefit to the organization through increased accountability, institutional of change and common organizational directions.

Contemporary thinking on institutionalization of performance appraisal in a developing country deal with the combination of all aspects regarding both the individual performance on task related issues as well as behavioral aspects and progression of organizational ideals. Cherry et al (1978.p90) in this regard, emphasized the importance of leadership in institutionalizing performance driven culture in both the republic of Zimbabwe and Tanzania which offers valuable lessons for this research. She argued that, addressing the challenges facing public sector organizations and placing these organizations in positions of future success, will require people with distinctive and particular knowledge, skills and attributes or competencies. It is often said that organizations that perform well are a reflection of the efforts and success of their staff. Recognizing these efforts and appropriately praising or redirecting them is imperative for organizational success. Curtain (1993.p34) highlights the fact that for the institutionalization process of the PA system to progress successfully in African countries key competencies required are those of leadership stating that Public sector managers at all levels need to be able to display leadership values.

According to Van Wat (2000.p56) effective leadership provides a sense of cohesiveness, personal development and higher levels of satisfaction among those conducting the "work and it provides an overarching sense of direction and vision an alignment with the environment, a healthy mechanism for innovation and creativity and a resource for invigorating the organizational culture. For example, such a leader's attributes can play a pivotal role in mobilizing and gaining the support of staff members. When the leaders are able to convince the employees that the implementation of the performance appraisal system is a prerequisite to achieving the organizational objectives, then the likelihood that the organizational members shall accept and take ownership for the appraisal system will be higher. To demand the desired

behavior for the successful institutionalization of the appraisal system, the leaders need to acquire certain qualities and show behaviors in order for others to follow. Being a developing country, the role played by the top leadership in the Zambian public service at organizational level is very crucial in the institutionalization of the appraisal system. It has to be borne in mind that those responsible for implementing reform initiatives such as appraisals must possess or have access to a wide range of skills, resources, support and knowledge. With this understanding therefore, this research sought to establish to what extent the managerial staff at PSMD and the focal points in all government ministries have acquired the necessary attributes, leadership skill and competence required to institutionalize the APAS in the Zambian Public Service.

The issue of leadership competencies versus a more traditional managerial skill set is argued by curtain (2007.46) in terms of good management being related to order and predictability. Whilst leadership through inspiration, motivation and establishment of common values of staff is able to produce change often to a dramatic degree, the model outlined for workforce management relies heavily on the implementation of leadership principle defined as mobilizing people to deal with current and future challenges. Four key elements are identified for implementation of the performance appraisal plans together with actions and outcomes. The ability to apply these elements must then form the basis of leadership competencies required for the organization and as such form at least part of the basis for performance appraisal considerations. These are:

- a. Organizational leadership.
- b. Leadership of people as individuals and teams.
- c. Management of change and accountability for performance.

Ohemeng (1990.p67) researched on management performance appraisal effectiveness in the Ugandan public service. The current drive to improve management in governments through Public public service reform programs in order to increase efficiency, effectiveness and the delivery of quality service to the public is indeed common to many developing countries including Uganda. The public reforms were conceptualized as soon as the National Resistance Movement (NRH) captured state power on January 25th 1986. The NRM,s argument for this reform was to improve the performance of public servants in order to achieve good governance and optimum\ resource utilization in an accountable and transparent manner. Like in many other

African developing countries' the main tools to effect these changes were the successful implementation of an institutionalized performance appraisal system. The state of affairs during this research was that the public service being the operational arm of government was charged with the task of analyzing and making decisions administering public policy influencing a, development efforts and regulating the balance between state power and state capacity to achieve economic development' The performance of the public service in Uganda has its roots in the colonial era that began effectively in 1908'This was an era where the public servants were foreigners to Africa' The high echelons of the public service were monopolized by colonial agents who served interests that were mostly opposed to the interests of the natives. The post colonial public service that was supposed to serve the citizenry inherited the culture of serving narrow interests that were retained by the new public service elite as a basis for their survival. ohemeng,s research objectives were to determine whether the Staff Development Review (SDR) system was achieving its objectives which were designed to focus line managers/attention on the performance and development of their staff and to determine what participants, experiences were in terms of the nature of the appraisal interview and the behavior of the appraisal and participants, attitude to SDR in terms of performance standards, satisfaction with the system and the perceived benefits. He used two main sources of data which included in-depth interviews, involving seventeen roles chosen to cover a fair spread of functions within the Ugandan Public service. The interviews explored participants' experiences as appraisees. They were accompanied by a self completion survey of all the staff who were appraised using the staff who were appraised using the Starr Development Review Form 1 (SDR1) which broadly speaking included all managers and professional staff. The main concern of this survey was with respondents' experiences as appraises. The case study incorporated the Ugandan public service research methodology on comparative attitudes to performance appraisal for managers and professional staff. The aims of this wider research project were to describe performance appraisals in terms of their purpose, operation and impact to explore the attitudes for managers and professionals towards appraisal and to evaluate the effectiveness of appraisal systems. A self-completion questionnaire was mailed to all staff who were appraised on the SDR I system. The aim was to provide a clearer quantitative evaluation, determine the level of institutionalization of the performance appraisal systems by addressing both the actual experience of SDR and also staff attitudes to appraisal. The survey was designed to provide a

representative assessment of staff attitudes at all levels. The questionnaires mainly focused on the appraisees role. A total of 676 questionnaires were sent out in mid April 1997, Questionnaires were completed anonymously and were returned directly to the researchers in the reply paid envelopes which were provided. Three hundred and sixteen (316) completed questionnaires were received representing a response rate of 47%. The findings of Ohemeng's research on, institutionalization of staff performances appraisal in the Ugandan Public Service revealed the following: most respondents were not clear about the performance standards expected of them although only a little over two fifths felt that the appraisal reflected the important parts of their jobs. Respondents agreed that the SDR was a useful tool which could both integrate and promote flexibility if carefully used. However they expressed reservation that the SDR tended to be retrospective in reviewing past activities and could stress development and activities at the expense of achieving objectives. Most critically, they recognized that managers often lacked tangible incentives or sanctions.

Generally, the findings of Ohemeng's research dwelt on the notion that successful institutionalization of the appraisal system could only be achieved if individual performance- on a job was improved by having definite goals, feedback and complimented by a sound reward system. With these findings, Ohemeng recommended that measures be put in place to ensure that all employees were appraised in a transparent and consistent manner. This included being given feedback regarding their performance and taking action to rectify any weaknesses with the belief that this would lead to a more effective performance and increased productivity. Recommendations were made to the effect that the new appraisal system provided an opportunity for performance related discussions that included the following:

- a. Setting goals and objectives for the employee.
- b. Aligning individual and organizational goals.
- c. Identifying training and development needs.

It was envisaged that the system would result in a fair and valid basis for recognizing and rewarding individual performance. The person or persons doing the appraisal may gain new insights into the person being appraised and vice versa. In the process, the job of the person

being appraised maybe clarified and better defined, the appraiser would also be in a better position to understand the problems faced by the appraiser.

This dissertation appreciates Ohemeng's contribution to the study of institutionalization of PA process in a developing country. However, the study seeks to point out one major weakness, which is the fact that Ohemeng and his research associates hoped to determine the key barriers to the institutionalization of their Performance Appraisal System by focusing only on the role of the appraisee. The study's position is that, both the appraiser and appraisee have valuable roles to play in determining successful institutionalization of the appraisal process. This qualitative research therefore, has been undertaken with the appreciation of the importance of both the roles of the appraiser and appraisee in creating an enabling environment for the institutionalization of the APAS in the Zambian civil service.

1.8.1 ZAMBIAN EXPERIENCE

The Zambian public Service faces the challenges of creating a culture that accommodates the fundamentals of the institutionalization of performance appraisal which requires a mentality that embraces the fact that developmental appraisal is a universal management function, without which no real indication can be gained of the productivity, growth and development within an organization. According to the research findings of the impact assessment study of the PSRP and PSCAP conducted in 2001, (50%) of the 198 public officials interviewed were subjected to performance appraisal against 33.8% who reported that they were not. In addition, the national baseline survey conducted in Zambia in 2003 established that 32.90% of the civil service country wide had never been subjected to performance evaluation (GRZ 2004). These statistics in this research do not point out to what extent civil servants subjected to the new performance appraisal system had created a sense of ownership and commitment towards it. This research has been carried out to fill in the gaps in literature in this direction. Nyirenda (1990,20) conducted a research earlier on the impact of the implementation of the annual performance evaluation confidential statement. At the time, the Zambian Public service was doing away with the Annual Confidential Report and introducing a new performance appraisal system, a completely different way of evaluating civil servants. Twenty one years ago, the main objectives of the Annual

Performance Evaluation Confidential Scheme were stated as follows: Manpower planning, utilization, development and organizational effectiveness.

The primary objective of the APECS scheme was to create an inventory of the talent or otherwise of the employees in the Zambian Civil Service. The scheme's objective was intended to be applied to all managers, supervisors, and professionals, technical and administrative officers. The main objective, therefore, was based on the premise that there was need to ensure that the best possible use is being made of all the human resources available at work. So both the manager and the subordinates had a basic need to evaluate performance with a view to improve performance at the individual, team and organizational levels. The findings of Nyirenda' s research revealed that the APECS scheme lamentably failed primarily because the Zambian Public Service was not yet ready to embrace the needs of a successful Performance Appraisal scheme that is: the knowledge, skills and mindset required for an objective impersonal performance evaluation scheme. Although Nyirenda's work is highly informative, it was carried out 21 years ago and before the Public Sector Reform Programs were instituted. As such, there is need to update literature on the current state of affairs with regard to the investigation of the key factors that impede the institutionalization of the current Performance Appraisal System in the Zambian Public Service after the PSRP.

Furthermore, in 2003, Mate wrote a thesis on Performance Management Package in the Zambian public service. He provided very illuminating information regarding the current performance appraisal. He investigated whether the Annual Performance Appraisal System (APAS) was linked to rewards, sanctions, training and skills development and also the extent to which the technical and financial resources have been made available to facilitate full implementation..His findings revealed the following: Civil servants in the Zambian Public Service are generally demotivated as performance appraisal is not directly linked to rewards, sanctions, training and skills

development. It is merely seen as another government routine. This study appreciates the contribution of Mate's works on Performance Appraisal Systems in Zambia. However, it is vitat to point out the fact that Mate's research, essentially focused on the motivational aspect of performance appraisal. Other than this specific area on performance appraisal in Mate's work, he does not comprehensively cover other cardinal factors that impede the institutionalization of the

Performance Appraisal System set out in this study.

This study has been conducted to provide the reader with an in-depth analysis of how the prevailing organizational, cultural and political factors impede the institutionalization of the PA System in the Zambia Public Service. The study seeks to acknowledge the fact that, whilst it touches on the motivational aspect of performance appraisal on organizational factors, it is not its main focus because this research dwells on many other cardinal factors that negatively influence the institutionalization of this important management function. The argument is that, several years have passed since the launch of the Public Sector Reform Programs and since Mate's research was conducted consequently there has been an increase in the number of restructured ministries which have introduced the APAS, there is, therefore, need to fill in the gaps in literature on the key factors hindering the institutionalization of the APAS.

1.9 RESEARCH METHODOLOGY

1.9.1. RESEARCH DESIGN

This study primarily used a qualitative design. The qualitative method was preferred because it allowed for the in-depth analysis of the comments and perceptions that civil servants in the Zambia Civil Service hold regarding the current Performance Appraisal System. This essentially created an enabling environment for the gaining of insights and direct understanding from targeted interviewees on the key factors that impede the institutionalization of the APAS.

Creswell (1997:17) asserted that, the nature of the research question determines the type of methodology to be used. This study was interested in exploration and descriptions. The inquiry proposed to answer "what" in the question:

“What are the main factors that impede the successful institutionalization of the Performance Appraisal System in the Zambian Public Service?”

This according to Cresswell (1997:17) is typical in qualitative research. Furthermore, qualitative research emphasizes the researchers' role as active learner rather than expert who passes judgment on participants.

I.9.2. DATA COLLECTION TOOLS

In order to get a true picture of the key factors that impede the successful institutionalization of the APAS in the Zambian Public Service, the following were used as data collection tools:

- a) Focused Group Discussions.
- b) Examination of secondary documents.
- c) Observations

a) Focused Group Discussions

b) In depth examination of secondary documents

Primary data collected in this research study were supplemented with information from secondary sources. Below are some of the documents that were studied during field work: the official handbook of the 1989 APECS guide, the 1995 APAS guide, official letters and circulars sent to government ministries by PSMD, cabinet papers regarding performance appraisal and training materials used in the presentations of APAS in the restructured ministries. The APECS and APAS annual evaluation reports from PSMD, the architect and implementer of the system were also consulted

c) Observations

Being a civil servant, the researcher had a chance of observing how performance appraisal is conducted in her work place, it was a very interesting exercise as the observations created an enabling environment for the researcher to get informed views and attitudes fellow colleagues hold towards the performance appraisal system. Of importance to this research study were the following observations, first, being a new entrant in the civil service, there was no induction programme or training held on how to go about with the performance appraisal process. Socialization in this area was not considered a cardinal issue. Secondly, the researcher observed that APAS was not taken seriously by most civil servants as they considered the entire process of

performance appraisal as a routine exercise, pure formality, an attitude which fundamentally hinders the successful institutionalization of the PA process. From these observations, it was clear that without any change in civil servants' attitudes towards the performance appraisal, government's efforts to implement systems reform initiatives such as appraisals will not yield any substantial results. On the other hand, no panacea for this formalism has been identified so far, and formalism in performance appraisal and in human resource management in general in the Zambian civil service will certainly continue to be a problem.

1.9.3 DATA COLLECTION PROCESS

The researcher used Focused, Group Interviews for qualitative data collection. Kruger (1994.10-11) defines the focus group discussion as a carefully planned discussion designed to obtain perceptions on a defined topic of interest and a research technique that collects data through group discussions. Careful planning with respect to participants, the environment and questions to be asked were key issues in order to conduct effective focus groups. Weibister (1994.10)) stated that the principal justification for using focus groups is to capitalize on interaction within the group to facilitate experiential data. The idea behind the focus group method is that group processes can help people to explore and clarify their views in ways that could be less easily accessible in questionnaire surveys. When group dynamics work well, the new participants work alongside the researcher, taking the research into new often unexpected directions. The researcher chose to use this method because it was anticipated that qualitative data would be produced that is; the words, categorizations and expressions that are used by the participants themselves and a focused discussion as the topics are carefully predetermined. The Focus Group Interviews progressed as follows:

a) SELECTION AND RECRUITMENT OF PARTICIPANTS

Devos (1990.20) noted that the selection of the focus group participants will depend largely, on the purpose of the study. Purposive sampling is suggested as selection will be against specific criteria identified by the researcher.

For this qualitative study the researcher used purposive sampling to select 30 participants Senior human resource officers from the 22 restructured ministries. The remaining 8 participants were from cabinet office and PSMD respectively as the main architect of performance appraisal whose specific section is Performance Systems Monitoring and Evaluation Section (PSME). The interviews explored participants' experience both as appraiser and appraisee. For this reason, the interview sample was skewed towards more senior staff. These were senior public servants with a broader understanding and more experience of the Performance Appraisal System and the issues tackled in this research. The main justification for selecting senior human resource officers as participants is that, these are the key APAS implementers in their respective ministries and were, therefore, able to give informed views in their roles as appraisers and appraisees.

Thus, through the in-depth discussions and interviews carried out, they were able to bring to the researchers' understanding of how the prevailing organizational, cultural and political factors impede the institutionalization of the APAS.

b) SIZE OF THE FOCUS GROUP

Traditionally, Focus Group Discussions ranges from six to twelve participants. Kruger cited smaller groups to be popular because they are easier to recruit and host, but conceded that the small size limits the range of experiences available. For 30 participants, there were three Focus Groups formed. The first FDG comprised of 8 participants from cabinet office and PSMD mainly APAS facilitators. The researcher obtained permission from the director PSMES to conduct the study and request the presence of the APAS trainers who were selected for the Focused Group Interview. The response was very encouraging, it is important to understand that at this point in time in the history of Zambia, the institutionalization of the AIAS is of major concern to this department as it is entrusted with the responsibility of inducting civil servants into the APAS. Permission was to this end granted together with a venue and the time when APAS facilitators would be made available for the Focus Group Interview.

For the remaining number of 22 senior human resource officers from the restructured ministries where APAS has been introduced, the researcher split the group into 10 and 12 FDGs respectively. Organizing the human resource officers was easy as the researcher is also a human

resource officer who took advantage of the Senior human resource officers convergence-. point at the Public Management Establishment Control Offices (PMEC) where they gather every month to for salary inputs for their respective ministries. A letter of invitation was sent to each participant and the researcher ensured that they were contacted in advance two weeks before the session. Participants were also reminded about the Focused Group Discussion a day before the session.

d) DESIGNING THE INTERVIEW GUIDE

Before designing the interview guide, the concepts were clearly defined and critical questions that captured the intent of the study were formulated. Shaw (1990:12) asserted that the design of the interview guide is a vital task as it sets the agenda and provides the structure within which the group will interact. The researcher prepared a list of questions based on the themes identified within the research question, as shown in Appendix 1. the following themes were explored:

- a. How political factors hinder institutionalization of the APAS.

Probing questions were asked and interaction stimulated to gather in-depth information explore governments 'involvement in the institutionalization of the APAS

- b. How cultural factors impede institutionalization of the APAS. The issue of Zambian culture was thrown to the discussants so as to gain an in-depth knowledge of how it hinders institutionalization of the APAS.
- c. How organization factors impede institutionalization of the APAS. The groups/views were explored on the organizational variables that don't create an enabling environment for the institutionalization of the APAS.

This preparation enabled the researcher to steer the discussion when needed.

The researcher acted in the role of moderator and tried to create an atmosphere of trust,

friendliness and openness from the moment the participants arrived for the, discussions and interviews. This greatly helped to create an atmosphere of warmth and friendliness and put the participants at ease. Assistant moderators were selected in each particular group to help with the note taking of the key issues. Each human resource officer opened up and was able to share the stumbling blocks to successful institutionalization of the APAS from each ministry. All the participants were concerned about confidentiality, considering the fact that, the discussion involved getting into some sensitive political issues. The researcher however, assured them that all the details of the discussions would remain with the group and was not to be discussed outside. Thus in this way no names were recorded or attached to any of the comments that have been cited in this research..

d) CONCLUDING THE FOCUSED GROUD DISCUSSIONS

At the end of each Focus Group Discussion, a summary of the main points was made by the researcher assisted by the assistant moderators in each group. This summary aided the subsequent analysis. The researcher thanked the human resource officers and APAS trainers for the time spent in brainstorming the investigation of the key factors hindering successful institutionalization of the APAS in their respective ministries.

1.9.4 DATA ANALYSIS

In this study, the qualitative data was analyzed manually. From the information recorded in each Focused Group Discussion, the researcher identified major themes and the emerging sub themes and critically analyzed various expressions with a view to gaining deeper insights into the key factors hindering the successful institutionalization of the Performance Appraisal System in the Zambian Public Service.

1.9.5 STUDY LIMITATIONS

- i. **Financial constraints:** lack of sufficient funding was the main limitation to the research project. At the time this research was started, the sponsoring ministry advised that funds had not yet been released for the research project so personal financial resources were

utilized, a situation which made it practically difficult for the researcher to work within a specified time frame as earlier planned.

1.9.6 LAY OUT OF DESERTATION

The dissertation is divided into four chapters as follows.

Chapter One gives the background information on the institutionalization of the PA system in Zambia and outlines the objectives of the study including the literature review, research design and methodology used.

Chapter Two gives an overview of the PA system in the Zambian Public Service. It gives a historical presentation of the Performance Appraisal System in Zambia.

Chapter Three presents and analyses the findings of this research and the last Chapter concludes the subject matter, provides recommendations and the way forward if the Performance Appraisal System is to be successfully institutionalized in the Zambian Public Service.

CHAPTER TWO:

HISTORY OF PERFORMANCE APPRAISAL IN ZAMBIA

2.0 INTRODUCTION

This chapter gives an account of the history of the Performance Appraisal System in the Zambian Public Service and how it has evolved over the years from independence up to the time of the research. It will be followed by an extensive explanation of the current Performance Appraisal System that is being used in the Zambian Public Service.

2.1 PERFORMANCE APPRAISAL IN THE FIRST REPUBLIC

Since independence, the Zambia Public Service had been using the civil service annual confidential reports to appraise individual performance. It was however generally accepted by both the supervisors and subordinates, that the Annual Confidential Reports (ACR) was just a matter of routine. It was, therefore, not a very effective and useful tool. Both the performer and non performer got a good confidential report. It was a sad fact which contributed to the loss of confidence in the credibility of the Annual Confidential Report.

The administrative committee of enquiry in the performance appraisal above recommended that the reporting system be transformed from the current annual confidential reporting system into a performance appraisal form (GRZ, Personnel Circular No.34 of 1987). As earlier highlighted, in its investigations, the committee of inquiry concluded that in the present circumstances. The Annual Confidential Report System had a number of undesirable features relating to:

- a. Its being a closed non participative system with no feedback to the employee on matters such as strengths and weaknesses.
- b. Training and development needs.
- c. Job performance.

- d. Career development.
- e. It was based on a subjective evaluation of personal attributes and qualities.

Above all, its specific link to salary awards and secret reporting style was more potentially a threatening tool to constructive developmental scheme. The Annual Confidential Report System, therefore, fell into disuse in the Zambian Public Service. The system was found to neither help the civil service in terms of manpower utilization and organizational effectiveness nor individual employees in regard to manpower development. Due to these deficiencies, coupled with the informal conditionality of manpower retrenchment in the civil service, the government issued the personnel division circular number I of 1987 dated 2nd January, 1987 indicating that a new staff reporting system would be designed for implementation in the Zambia civil service. This state of affairs led to the birth of the second appraisal system in the Zambian public service known as the Annual Performance Evaluation Confidential Scheme (APECS).

2.2 THE SECOND APPRAISAL SYSTEM

The process of establishing the new APECS scheme started in earnest in September 1987. The scheme was launched under the professional supervision of an expatriate officer on British technical cooperation terms to the Zambian government, known as the personnel management advisor.

Early in 1989, the scheme was in an advanced stage of implementation with a pilot scheme undertaken using a personnel cadre of less than 0.43% of over 70000 civil service population (GRZ, Cabinet Office Personnel Division).

2.2.1 OBJECTIVES OF THE APECS SCHEME IN ZAMBIA

A well developed performance evaluation scheme was, therefore, formulated with the following objectives.

- a. Manpower planning: covering skills, gaps overlaps, recruitment, transfers and promotions.
- b. Manpower utilization: maintaining the effectiveness of selection and placement
 - a. establishment control and production.
- c. Manpower development identifying training needs gathering data on potential weakness for development of officers and career progression
- d. Operational communications management styles and overall improvement strategy and goals

According to the APECS user guide, the objective of the APECS was to create an inventory of talent of people in the Zambian Civil Service. The scheme's objective was intended to be applied to all managers, supervisors and professional technical administrative officers. The objectives were, therefore, based on the basic premise that there is need to ensure that the best possible use is being made of all the human resources available at work. So both the manager and subordinates have a basic need to evaluate performance with a view to improving performance at the individual, team and organizational levels.

At the organizational level, the Zambian Civil Service as a whole needed to have a clear picture of and satisfied about the best use of its human resources. Consequently, it was hoped according to the user guide that the Zambian Civil Service, through the use of the appraisal scheme, would collect essential information on a number of issues requiring decisions such as:

- a. Do we have the right number and mix of skills qualifications and experience in the right places at all levels?
- b. Where are the skills gaps and overlaps?
- c. What should we be doing about recruitment now and in the future?
- d. How effective are our selection and appointment procedures?
- e. Who needs training in what field and when?

- f. Who is capable of or ready to be promoted?

2.2.2 THE DESIGN OF THE APECS

The APECS scheme was designed to be consistent with the Zambia civil service management in style and culture. The main Features designed into the system were described in the user guide as follows:

- a. Robust and straight forward with minimal report writing.
- b. Useful rather than threatening to both manager and managed.
- c. Action based and result oriented.
- d. Culturally acceptable.
- e. Innovative.

The process was designed to facilitate a helpful, two way dialogue between the manager and the managed on job performance. When designing the APECS scheme, three interdependent areas were included in the evaluation of the worker as follows:

- a. Skills, knowledge and experience.
- b. Management ability and styles.
- c. Interpersonal skills.

2.2.3 METHODOLOGY OF THE APECS SCHEME

The way in which the APECS was designed meant that every notice, required to be evaluated that is; both the manager and the job holder, take an active part in the evaluation process. The APECS process started with the manager first evaluating requirements in the job which he supervised. The manager then evaluated the current level of performance being achieved by the job holder in achieving those job requirements. Both the job requirement and current level of performance were recorded against each statement in a scale ranging from very high to very low without provision for average rating. In this way, the manager could indicate both what the job required and the level at which the job holder was performing in relation to various aspects of

one's job' Similarly, using a separate but identical evaluation form, the job holder evaluated the requirements of one's job and made judgments' on their own level of performance in relation to each of the Statements. The jobholder did this process independently from the evaluation of his manager or supervisor' In this way, a jobholder recorded his/her self evaluation of current performance.

Having completed their evaluations independently, the manager and subordinate prepared together for the evaluation meeting. Both would examine in detail the similarities and differences between their respective evaluations. By discussing the weaknesses, both would identify and agree on what actions are required to be taken to make improvements or to narrow the performance gaps' Then Training needs would be assessed and particular opportunities and problems affecting the job holders' performance would be examined. At the end of the evaluation level, all the decisions made actions and the requirements achieved were recorded on the evaluation form. It was accordingly hoped that through this process, the manager and the job holder would arrive at some answers to the questions listed above. It was accordingly assumed that each year the job holder would be able to know what was required of the jobs since provisions were made in the post evaluation procedure, to review those decisions and to ensure that the changes or actions were carried out. under this arrangement, it was perceived that the civil service would centrally monitor the effectiveness of its functional managements and manpower policies on the circulated APECS user guide.

2,2.4 EVALUATION PROCEDURE

One copy of the signed evaluation form, together with the updated personal details form completed by the jobholder, would be submitted under confidential cover to the permanent secretary, personnel division, cabinet office for retention on the job holders ministry or province, head of department, the appraising manager and the job holder himself. Where necessary a further review would take place within three calendar months from the date of the evaluation meeting. The circumstances necessitating such a review would depend on the size of the performance gap shown against the statements on the evaluation form.

2.2.4 IMPLEMENTATION OF THE APECS SCHEME

It was a common notion that involving people in discussing change that would affect them before it was implemented would usually result in greater commitments to change when it finally arrived. Although no evidence can be deduced, investigations confirmed that very senior level management was actively involved in the decision relating to the procedures of implementing the annual performance evaluation scheme in the Zambia Civil Service. This involvement included workshops and seminars attended by the permanent secretary and some heads of department usually under the tutelage of the head of the civil service, the secretary of the cabinet or one of the deputies. What was however, not apparent was whether or not special consultancies were made with individual interested parties such as the Ministry of Finance and National Planning similarly the Civil Servants Union of Zambia and other interested trade unions did not show or take much interest although they were invited to take part in various activities related to the introduction of the APECS scheme.

As regards the involvement of the individual civil servants and other public workers to be affected by the new appraisal scheme, discussions were conducted involving the personnel division staff in Lusaka, Zambia's capital city. These discussions though limited in sample size, involved a number of issues including the following basic ones:

- a. Concepts: Is the concept of APECS acceptable?
- b. Questionnaire: Are there any further requirements?
- c. Coverage: Are the three skills areas appropriate?
- d. Application: Is the training of learners and evaluators sufficient?
- e. Pilot scheme: Personnel division as the guinea pioneer.
- f. Budget: Printing and other expenses.
- g. These meetings were arranged in groups in hierarchical order and attended by staff from personnel division.

2.2.5 EVALUATION AND INTERVIEW SKILLS TRAINING

According to the APECS user guide, training workshops were organized by the expatriate personnel management advisor" The training programmes were initially focused on the personnel cadre who were involved in the pilot project. The major objectives of the workshops were:

- a. To present the strategic and operational reasons for evaluating performance in the civil service.
- b. To explain the system to be applied at this level and to demonstrate in detail how the evaluation process must work.
- c. To communicate the programme for both training and implementation.
- d. To give opportunity to raise any points on clarification.
- e. To enable participants, when they leave the workshops, to feel confident that they will evaluate job requirements and performance levels in an honest, objective and fair manner.
- f. To teach and practice interviewing skills and to interpret the APAS evaluation statements.

2.2.6 THE PILOT SCHEME

On 30th January, 1989 the permanent secretary personnel division issued a circular addressed to all Lusaka based officials in the personnel cadre and their supervising officials. Some of the contents in the circular read as follows:

“Now that you have attended one of the APECS workshops we can now progress to the live application of the new performance evaluation system. That government then places great importance on a successful outcome you do your evaluations honestly fairly and to the best of your ability. This applies both to your evaluations of subordinates reporting directly to you and to your evaluations of your own job requirements and performance levels. The results would be carefully examined and assessed as they may affect the portion of your future career. That after carrying out the evaluation meetings a copy of the completed evaluation forms together with the employee personal record form should be returned to the permanent secretary not later than Friday, 17th February 1989”.

Despite of the APECS scheme looking promising and starting so well it failed lamentably because of the following briefly outlined factors:

- a. The APECS scheme was introduced without consideration of some very important information required in the appraisal process. This information was about job descriptions and rating skills. As pointed out in the schemes design above, performance standards need to be agreed or decided upon before workers are subjected to appraisal interviews and subsequently judged as high or low performers. The absence of job descriptions, which is the first stage of any appraisal scheme, would not direct the performance appraisal away from the closed system of evaluation of the individual's character instead of actual performance of the job.
- b. Lack of interpersonal communication skills and sufficient training of trainers who were supposed to be responsible for a continuous process of training evaluators. It was not made clear who would be responsible for training evaluators. Although the personnel circular indicated that the scheme would be universally introduced, by the end of 1989, as late as mid 1988, it was not clear as to whether a training programme was in place.
- c. Financial constraints were also cited as one of the major impediments to the successful implementation of the APECS scheme. Extensive financial investments in the form of personal emoluments and departmental expenses were not made available. The above cited hindrances to a greater extent hindered the successful institutionalization of the performance appraisal system, however it is vital to take note of the fact that the coming of the Public Sector Reform Programs (PSRP) marked the birth of a new performance system. The name was changed from the old annual performance evaluation confidential scheme (APECS) to simply the annual performance appraisal system (APAS).

2.3 PERFORMANCE APPRAISAL SYSTEM IN THE THIRD REPUBLIC

The annual performance appraisal system is an integral part of the Performance Management Package (PMP). It was introduced and operationalized in the restructured ministries and provinces. This appraisal system was used for the following purposes:

- 1) To determine the suitability and eligibility for promotion.
- 2) To identify and plan for training needs.

- 3) To determine the suitability of placement of an officer and career development relevant to the potential abilities and talents.
- 4) To improve and upgrade the officers' performance and motivation through counselling.
(GRZ Performance Management Package, Cabinet office, 2004)

In order to facilitate the transition from the old performance appraisal to the new one, measures were taken to train the users in various ministries and departments who will apply the new system. Even though the training was sufficient there was the need to be consistently reminded about the requirements of the new system. To this end, the APAS user guide had been prepared.

2.3.1 THE 1995 APAS USER GUIDE

The APAS user guide contains appropriate guidelines that could serve as a frame of reference. It also seeks to focus on the requirements that should keep managers and supervisors on the ground in the assessment of performance. It was anticipated that in the honest application of the principles managers would realize that the only objective and purposeful approach is characterized by integrity, fairness and fearlessness.

It was envisaged that the marred image of the civil service held over the years would soon be erased and positive ones restored in its place. The cooperation of all civil servants was called for to make the new appraisal system a success. As earlier stated, the APAS is an integral part of the Performance Management Package (PMP) which seeks to introduce the culture of work planning and target setting as well as the new appraisal system.

The design and installation of the APAS was in line with component two of the Public Service Reform Program (PSRP)

The objectives of Component II of the PSRP are:

- a. To improve the efficiency and effectiveness of the public service in the performance of its functions by establishing management systems of accountability and performance in

the public service and developing skills which will enable senior managers to effectively manage the public service.

- b. To put in place an effective personnel appraisal instrument and management information systems to enable the government to compile and manage data useful in making vital personnel decisions at the time of confirmation, promotion, discipline, transfer and retirement of public servants.

The APAS is based on the premise that every supervisor has the responsibility to ensure that the best possible use is being made of all the resources available at work. Among these resources are people. From time to time, and for various reasons, they need to know how well or not so well they are doing at work. This also applied to supervisors as well as the employing organization itself. In this regard, both the supervised and the supervisors have a basic need to appraise performance. This allows questions to be asked and decisions to be made. Actions can then be taken to improve performance at the individual, team and organizational levels. At the individual level some of the issues which are of concern are as follows:

- a. Do I have a correct understanding of my job?
- b. Am I clear about what I am expected to achieve?
- c. Is my supervisor satisfied with my output?
- d. What are my strengths and weaknesses?
- e. What problems do I need to discuss with my supervisor?
- f. What do I need to do to improve on my weakness?
- g. What training do I need and when can I get it?
- h. How do I stand in relation to promotion?
- i. What are my career prospects?
- j. Is there another post where my strengths might be better used?
- k. Am I doing all that can reasonably be expected of me to meet my own needs and those of others?

At the supervisory level, in addition to the questions shown above, the answers to the following questions are relevant:

- a. How well do I know the jobs and the people I supervise?
- b. Are there any particular problems I must address?
- c. Am I doing everything possible to improve the output of the people I supervise?

- d. Have I made it clear to them what is required of their work?
- e. Am I getting what I must have from them to do my own job?
- f. What are the training needs and how are these to be met?
- g. Have I identified and developed likely successors that may be considered for promotion?
- h. What other actions should I undertake in order to improve teamwork and overall performance?
- i. How well am I managing the resources I supervise?

At the organizational level, the public service as a whole needs to have a clear picture of and be satisfied about the use of its human resources. By upraising the performance of its employees – both managers and managed from the top to bottom, downwards the public service will collect essential information on a number of issues which require decisions and control such as :

- a. Do I have the right number and mix of skills, qualifications and experience in the right place at all levels?
- b. How effective are our selection and appointment procedures?
- c. Who needs training in what subjects when?
- d. Who is capable and ready to be promoted?
- e. How well are our procedures for career progression and for successful planning working?
- f. What people would perform better if transferred to other posts?
- g. How well are our supervisors managing the organization?

The APAS was perceived to be a helpful organizational tool conducted once a year and regularly reviewed, it tells both the organization and its employees who work in it how well or otherwise it is being managed and what needs to be done to overcome any weaknesses or problem areas. The APAS is not a threatening weapon, nor is it punitive in its intent. If it was conducted in an open manner with fair mindedness there would be no room for bias or prejudice.

2.3.2 A BRIEF OVERVIEW OF THE APPRAISAL PROCESS

The APAS applies to all civil servants. The way in which the apes is designed means that every officer required to be appraised is involved, both the supervisor and the jobholder take an active

part in the appraisal process. The APAS form has been designed to be as simple as possible. The various items on the appraisal form and the statements are explained in the appendix of the form. The job description and the appraisal form contribute to this process. The supervisor then appraises the current level of performance being achieved by the job holder in meeting the agreed upon target. After the supervisor and the jobholder have completed their appropriate parts of the APAS form, both parties come together for an appraisal interview. During the appraisal meeting, what was achieved and what was not achieved, developmental needs and any follow up action in relation to the appraisees' performance are discussed.

2.3.3 APPRAISALINTERVIEW

An appraisal interview may be defined as an occasion or a meeting which brings together the supervisor and subordinate and accords them the opportunity to sit down in a formal environment and discuss past and expected future levels of job performance and how the differences between the two are going to be tackled. Any special development activities called for, are scheduled as soon as possible. Informal progress checks and counselling throughout the year are held so that an opportunity to discuss progress is created. Feedback is given to the subordinate as it is greatly needed.

THE POST APPRAISAL PROCEDURES

After the appraisal interview the supervisor is responsible for ensuring that one original copy of the signed and completed appraisal form, is submitted under confidential cover to the permanent secretary in the public service management division.

One other copy of the signed and completed appraisal form must be retained by the supervisor, who is responsible for ensuring that it is sent to the job holders file in the department or division concerned" This file is circulated to the permanent secretary and or head of the division or unit, so that appropriate follow up action is taken on the outcome of the appraisal. The third copy of the completed appraisal form is sent to the job holder's ministry headquarters. Job-holders may make a photocopy if they wish.

APAS workshops were conducted in all restructured ministries and provinces where APAS was introduced. These workshops included detailed tutorials using the APAS user guide. Participants had the opportunity to experience a practical session using the appraisal process.

Since 1993, 22 ministries have been restructured to align their management structure to their strategic objective. To this effect, Performance Management Package has been installed in all the restructured ministries thus providing a means of objectively assessing the performance of individuals and departments with a view to improving performance improvement. George Kwatu (2008).

2.4 CONCLUSION

This chapter has reviewed how performance appraisal system has evolved over the years from the time Zambia attained its independence. The introduction of APAS was a key part of the government's commitment to improve performance and service delivery to the public. It was a key accountability instrument for individual employees that emphasize the importance of participation, ownership and transparency through involving employees in objective setting, implementing, monitoring and performance reviewing. In this way, it was envisaged that there would be continuous communication between supervisors and employees understanding with regard to the linkage between organizational objectives and individual objectives.

Several years have passed since the launch of the Public Sector Reform Program which ushered in APAS, the current method of evaluating employees' performance. The question that still lingers in one's mind is: What factors in the Zambian Public Service impede the institutionalization of the Performance Appraisal System? The following Chapter, (Chapter 3) presents the main impediments to civil servants' lack of acceptance and commitment to the APAS.

CHAPTER THREE: KEY FACTORS IMPEDING SUCCESSFUL INSTITUTIONALIZATION OF THE APAS IN THE ZAMBIAN PUBLIC SERVICE

3.0 INTRODUCTION

This research aimed at investigating the main impediments to the institutionalization of the current Performance Appraisal System. The research was intended to enhance the professional development of the Performance Appraisal practice in the Zambian Public Service and to provide an academic development platform for further studies in Human Resource Management in general and Performance Appraisal in particular.

The main research question this study intended to answer, therefore, was:

"what are the key factors that impede the successful institutionalization of the current Performance Appraisal System in the Zambian Public Service?"

3.1 DISCUSION OF HOW TIQE PREVAILING POLITICAL. CULTURAL, AND ORGANISATIONAL FACTORS IMPEDE THE INSTITUTIONALISATION OF THE CURRENT PERFORMANCE APPRAISAL SYSTEM IN THE ZAMBIAN PUBLIC SERVICE

3.1.1. POLITICAL FACTORS

The politics of any national performance appraisal system can be understood at many levels. This study however did not focus on organizational politics. Rather the study addressed political factors understood in the context of the political administration of the state. The study, therefore, focused on investigating how political factors understood in this context impede the institutionalization of the APAS in the Zambian Public Service.

a) Lack of political will to ensure successful institutionalization of the APAS

The public service exists as the principal implementing and functional body of government and as such, an effective and efficient public service definitely improves service delivery and subsequently the image of the government. Managing performance is increasingly important with the public and other stakeholders expecting as the norm and not the exception integrity, transparency and accountability. Government institutions are often held to a higher level of accountability, and understandably so, the public requires value for taxes paid.

From the research findings, the lack of the governments' total support in implementing the APAS was pointed out as a key obstacle to its successful institutionalization in the Zambian civil service. The importance of governments role in ensuring the institutionalization of the APAS was unanimously advocated. Generally, all the interviewees felt that the government had a significant responsibility in as far as the success or failure of the institutionalization of the program was concerned. The discussants further argued that several years have passed since the launch of the PSRP which ushered in the APAS, and the government has done very little in ensuring that civil servants create a sense of ownership and commitment towards it. Over the years, the APAS has not been a priority for the government which now makes civil servants question the relevance of having this reform program and makes them believe that the apes was only a political symbol that was used to legitimize the governments' efforts on improving the public service.

There was an all around acceptance amongst the participants in the Focused Group Discursions that the government lacks the political will to ensure that civil servants accepted the APAS and created a sense of ownership and commitment towards it. The governments' reservations on going to the necessary limits to institutionalize the APAS supplements the argument that the introduction of the APAS was only a political symbol and that the government lacks the determination and the drive to make civil servants embrace this reform program. It is imperative to understand the fact that the adoption of new ideas and techniques does not occur naturally but results from much hard work. It is, therefore,

cardinal for the government to develop workable strategies needed to lead to effective management of this change in performance appraisal techniques.

The Government has laid out the path for administrative reform from different speeches and statements. But much more is expected from Government than merely recommending and introducing reform programs which can currently be argued to be a mere political gesture that represents symbolism. Ever since the 1960's when many African countries attained independence, the preoccupation of the Zambian government has been the reform and revitalization of a performance oriented culture. While performance improvement was the underlying objective of the various programmes undertaken, from the earliest period to date, there is no concrete evidence that these efforts had any significant impact on performance or yielded any substantive results.

Some of the interviewees comments reflecting this viewpoint are quoted below:

"There have been no real actions in the field to implement the APAS effectively"

"Governments' support for the APAS is through speeches only"

"Government's introduction of APAS has not made any real difference because there is no political will to ensure successful implementation. "

"The Government does not seem committed to the implementation process. "

From these results there is a strong inclination among Public Servants to support the idea of more Government involvement in the institutionalization of the APAS.

But what exactly is the nature of government involvement that is being advocated for by public servants? Well, research findings which are presented in the proceeding sections show that the current APAS is plagued by certain vices that cannot be curbed given the current state of the Zambian Public Service. Attention is placed on government's will to truly curtail such allegations so that professionalism will be achieved thereby help create an enabling environment for successful institutionalization of the APAS. When citizens grant sweeping powers to the political

executive in government, they entrust it with the responsibility to make critical decisions about the design and implementation of public policy and use of public funds. In turn they want to prevent abuse by the executive of these powers and also want to ensure that the executive uses its power wisely, effectively and fairly, and that it will be responsive to demands by citizens to change in the ways in which it carries its functions. The APAS was placed in the wider context of performance management which sets the targets and indicators for the defined objectives of a government or organization, gathers information to monitor progress, adjusts plans and active to the results and changes in circumstances and periodically evaluates what the long term impacts are, whether the objectives are still relevant. How performance is defined and measured, what progress is being achieved, what corrective action is being taken and what the longer term results are. These are all questions that should be addressed through processes that are open, transparent and well thought through.

In summary it can be stated that, based on the analysis of this research, the lack of political Will is one of the key stumbling blocks to the institutionalization of the current Performance Appraisal System the Zambian Public Service. As the situation stands today, there is no sufficient political will greatly needed to make civil servants create a sense of ownership, commitment and acceptance of the APAS. The lack of an institutional backing at both ministry and organizational level in the form of a law that would compel organizational members to commit to the PA system, change their behaviours' in such a way as to ensure that their organizations/ members perform has not created an enabling environment for the successful institutionalization of the current Performance Appraisal System. The government should institute a Performance Appraisal System with a strong legal backing approved by cabinet. It is envisaged that, this will force ministers and organisation members to take the system seriously. It will also force organizational members to adapt to the new system in their approach to work, in order to meet stipulated targets with the idea that failure to do so will result in severe sanctions g, as stated in the law, while being rewarded for meeting targets. Through these means the motivations and sanctions that come with the low resistance to change could be overcome. As a result of such accountability processes, the political appointees as well as the leaders in the organizations will be forced to be more accountable and performance-oriented in all their

activities. Continuous scrutiny of the public service will compel the leaders of the organizations to rally their staff in order to reach the organizational objectives more effectively and efficiently.

The lack of political will has trickled down to affect every other government administrative operations such as the lack of substantial financial investment in the APAS training related activities and the governments' failure to learn from the past two failed appraisal systems. These are discussed in detail as follows:

b) Lack of substantial government financial investment in the APAS training related activities.

From the research findings, another key obstacle to the successful institutionalization of the APAS in the Zambia Public, Service is the lack of government financial investment in the APAS training related activities. Currently funding to the PSMD and restructured ministries for

APAS training related activities is very limited such that it is impossible to effectively implement the program, as civil servants in various ministries lack the knowledge that would empower them to create a sense of ownership towards the APAS. The scenario is such that with the coming 2011 elections, there is no money in the national treasury to spend on the APAS activities. Interviewees pointed out the fact that, electoral pressures in Zambia often lead to inappropriate government spending and tax decisions. For example, boosting state welfare spending in the run up to an election, or decisions to bring forward major items of government capital spending on infrastructural projects ahead of an election without the projects being subjected to a full and proper cost benefit analysis. Such kind of the government's activities deprive restructured ministries the substantial financial investment that is ideally supposed to be directed towards the following APAS training related activities if the system is to be institutionalized.

- a. Training appraisers on how to properly implement the system as their knowledge is key to the institutionalization of the APAS in the restructured ministries. This would involve the planning and undertaking of all the activities necessary to support the development,

maintenance and monitoring of the APAS within the ministry, its departments and agencies.

- b. Training newly appointed managers, supervisors with respect to their responsibilities thus covering the APAS induction and socialization process. Providing guidance and information on the APAS related issues to all staff including managers and supervisors. This would involve developing customized APAS material, employee orientation sessions in the ministry and its departments.
- c. Creation and development of institutes for performance appraisal training, the systems of performance appraisal as well as human resources management in general are substantially underdeveloped in most developing countries, the civil servants responsible for these matters are largely unqualified and lack power within the respective organizations. There is need to put into practice functioning mechanisms for education and training of human resource management specialists and in particular of the managers who are currently conducting performance appraisals in the restructured ministries. Importantly, these agencies should be provided with sufficient staff and resources: the investment in training of civil service managers' ability to put into practice performance appraisal schemes can prove highly beneficial in the medium and long term.

It is anticipated that such training would generate awareness among all general public service staff as it would extensively cover the following:

- a. APAS orientation/reorientation programs
- b. APAS communication. (reminders, notices etc)
- c. APAS coaching sessions
- d. Compliance support (technical assistance, guidance with unit and individual work plan development).
- e. Circulation of APAS documents (manuals, hand books templates policies and procedures.

Interviewees pointed out that the funding for institutionalizing performance is always inadequate because of the governments' tendency to look for short term solutions to economic, organizational and administrative problems rather than making considerable analysis of long term implications. The risk is that myopic decision making will only

provide short term relief to particular problems but does little to address problems in the long run. In this regard, it can be argued that, it has not been very realistic to introduce the APAS basically in all the restructured ministries without weighing the financial implications of institutionalizing the system in the Zambian Public Service.

There was an all round acceptance by the human resource officers, that the system has not received the expected sense of ownership simply because of the lack of consistent and intensive APAS socialization and induction programmes in their respective ministries. They agreed to the fact that from time to time they have recruited fresh manpower from various learning institutions who need to know what the APAS is all about if the system is to be institutionalized. It is ironic to think that civil servants would commit and create a sense of ownership towards a system that only exists in theory not in practice.

The successful institutionalization of the APAS would require creating a civil servant who is committed to the public service. This process begins with the socialization efforts when a person enters the public service. Through the formal and informal socialization practices an identity is formed for each public servant that eventually determines the level of commitment required from the employee. When a new staff joins any organization, he/she normally embraces and tries to learn the culture of the organization. Where formal induction programmes are present, the socialization process would become more organized and the Zambian Public Service would achieve following:

- a. All staff members in each restructured ministry would have a clearer understanding of the objectives to be achieved by the organization in a given way.
- b. Every staff member would have an opportunity to discuss regularly with their manager and supervisor the challenges they are experiencing as they do their work.
- c. Every public servant in the Zambian civil service would have a better understanding of what specific outputs their fellow colleagues in their division section are responsible for producing, thereby allowing them to have more productive and effective work relations within a division or section.

It is vital to point out the fact that when the implementation of the APAS begins to yield the expectations as stated, there would be a greater level of acceptance and buy in for the system. It is, therefore, critical that the fundamental principles and values are applied and fostered in how the organization operates.

Away from this, the government's lack of substantial financial investment in the newly introduced Performance Related Pay (PRP) is yet another key obstacle to the institutionalization of the Performance Appraisal System in the Zambian Public Service. Interviewees indicated that civil servants are failing to create a sense of ownership over the APAS because of the misgivings they have about ARP. Appraisal Related Pay is a method of payment where an individual employee receives increases in pay based wholly or partly on the regular and systematic assessment of job performance. The current pay structure is arranged in such way that organizations have established zones within their respective ministries to enable them to be used in a flexible manner. A new employee, for example, would start at a point within the recruitment zone depending on the level of experience and qualifications attained. Individual ARP relates pay progression /increases or bonuses to assessed performance of individuals. Progress through a notch may be dependant on either one or a number of factors such as APAS results, a fixed annual increment t, called automatic annual notch, length of service, attainment of qualification etc. The rate and limits of progression through the pay brackets are determined by performance ratings. There are basically three propositions that are frequently advanced to justify ARP.

- a. It is an effective motivator because it provides a financial incentive due to its element of rewarding people according to the level of performance they achieve .
 - b. It conveys a clear message to employees that the organization believes in and indeed demands a high level of performance from everyone and is prepared to pay for it.
 - c. It is right and proper to be related to the contribution made by individuals to achieving organizational objectives rather than paying people for attendance.
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- i. From the research findings, Government's introduction of ARP has generated some anxiety and resistance to the institutionalization of the apes as with any new

system which involves financial reward because of the following inconsistencies that were pointed out :

- d. Inadequate criteria to measure performance or criteria which is not easily understood, communicated and accepted.
- e. The absence of regular feedback and the absence of a right mix of extrinsic and extrinsic rewards.
- f. The lack of an appropriate quantum of pay which should be subject to performance criteria. Firstly, civil servants believe APAS results are very subjective since they are the main determinant of who moves to the next notch level. Secondly, the difference between the notch levels in the new public service payroll structure is too minimal, such that with the current economic crisis, high cost of living prevailing in the country, civil servants could have been motivated to embrace ARP, if the government had heavily invested in the program financial. As the situation stands there is lack of sufficient finances in the annual budget to provide worthwhile financial rewards. The perception is that whatever financial increase is given, it is not worth awarding good performance looking at the high cost of living in the country today.
- g. The absence of periodic evaluations of the scheme.

Appraisal Related Pay is a critical challenge to successful institutionalization of the Performance Appraisal System in that, if not suitably designed and introduced sensibly into an environment where trust is high and there is readiness to adapt to change, employees resist the appraisal systems altogether. As it is, ARP has failed to motivate civil servants to embrace the APAS but has rather left them demotivated. This factor has greatly hindered institutionalization of the APAS. There are many doubts about the credibility of the scheme. A carefully developed scheme should minimize the scope for complaints about subjectivity in assessment and divisiveness in operation.

A systematic, fair and effective appraisal scheme is the backbone to the introduction of ARP. Effective communication and the involvement of those affected are essential in assisting the management of change and in helping to reduce misunderstanding and encourage trust. As it is Zambian Public Servants today in restructured ministries are

skeptical about the motives for the introduction of ARP, their attitudes will only become more receptive if their fears are addressed.

Discussants pointed out the following suggestions that would make ARP effective thereby create an enabling environment for the institutionalization of the APAS.

- a. There must be commitment to ARP from senior managers.
- b. Adequate resources and suitable training should be provided.
- c. All public servants involved must receive full and clear information about how the scheme will operate.
- d. The scheme should be carefully designed, simple to operate and should encourage consistency and objectivity.
- e. There should be an appeals procedure, the scheme should be regularly evaluated.

Fairness, equity and transparency are some of the foundation principles of the new Performance Appraisal System. It is, therefore, imperative to ensure that in every facet of apes these principles are guided and applied in order to build confidence and commitment to the new performance culture. The potential effect on motivation and trust is too significant to allow bias or privilege to influence how employees are financially rewarded for considerable performance on the job. Needless to say that, there are a number of consequences that come about when public servants have not fully accepted an appraisal system. Research findings revealed that, naturally, civil servants reject the performance ratings and the institutions that generated it. The consequences include a rejection of the validity and usefulness of appraisal information and the unwillingness to accept the validity of personnel decisions based upon appraisal information. It is important to note that in order to be effective, an appraisal system needs to be perceived by workers as acceptable, fair, relevant, applicable to everyday work, and a mutual collaboration between management and workers.

A Performance Appraisal System which meets this criteria is likely to have the greatest impact on workers' satisfaction with the appraisal process and their motivation to improve performance.

c) The government's failure to learn from the past failed appraisal systems

Although administrative reforms have been going on for years, an attempt to learn from the successes and failures of the past efforts in an organized manner is arguably non-existent in the Zambian civil service. Interviewees pointed out that, this scenario poses a key obstacle to the institutionalization of the APAS in that the same mistakes the government made in the past with the unsuccessful implementation of the performance appraisal system are being repeated. A practical example is that, the lack of funding for appraisal related activities has not begun today, the problem existed even during the APECS days and lamentably failed to create a performance-driven culture in the Zambian civil service. The pursuit of self-interest amongst both politicians and even civil servants, rather than operating on behalf of the citizen, leads to a misappropriation of funds which could have been directed towards investment in institutionalizing the performance appraisal system. The question, therefore, is: if this has been the case for sometime, what guarantee is there that the APAS will be successfully institutionalized if at all the government has not changed its strategies and approach in the institutionalization, process of reform programmes? The study's argument, is that, the same lack of funding and many other obstacles that led to the failure of the APECS system have contributed to the unsuccessful institutionalization of the APAS. Up until now, even with the coming of the PSRP Zambian Public service is still experiencing these critical challenges in making Zambia embrace the system. It is like the Zambian government consistently forgets its image every time it looks into the mirror of implementing effective performance appraisal system for its civil servants. However it cannot be refuted that there has been total failure in learning from the past two failed appraisal systems, change is there but the process has been very slow.

The research findings amount to the conclusion that the role of Government in the institutionalization of PA should be characterized by a Political statement on Administrative Reform backed by tangible action. The government has to take the lead and exhibit optimum desire, drive and commitment in providing checks and balances with regard to public service performance. As the situation stands today, the Zambian public sector faces many challenges in meeting the expectations of the society for increased efficiency, accountability

and transparency in respect of the services provided by it. All these have to be achieved in a more globalised environment with all its manifestations and limited financial resources to meet the demand. Public servants have come to expect increasingly higher levels of service from the public sector.

A promise was made to serve public servants in a courteous, efficient and professional manner while optimizing the use of available resources. The public sector must, therefore, set itself apart by developing a reputation of being run by a competent, professional and ethical cadre of staff.

The Zambian government ought to consider itself a trend setter, set examples of handwork and dedication that others aspire to follow.

3.1.2. CULTURAL FACTORS

Culture according to Tertian (1985, p85) is defined as the integrated sum total of learned behavior traits that are manifest and shared by members of society. Culture, therefore, according to this definition is not transmitted genealogically, it is also not innate, but learned. Facets of culture are interrelated and it is shared by members of a group who define the boundaries. Organizational culture is derived from societal culture. This is clearly seen in the influence of culture on the institutionalization of the APAs in the Zambian Public Service.

Zambian culture is a unique amalgamation of the cultural traits, traditions and customs of the numerous tribes who have made Zambia their homeland. Clearly, from the analysis of this research, some common cultural elements shared by Zambians do not create an enabling environment for the successful institutionalization of the APAS. They are critical barriers to civil servants' acceptance of the program. All the participants in the three focused group discussions agreed on the fact that, cultural interactions in the Zambian Public Service have adversely affected some managerial functions such as Performance Appraisal, subordinates career development, formal and informal supervisor/subordinate communication and mentoring.

Societal cultural factors such as respect for elders have spilled over into inter-personal relations within the government bureaucracy. Administrative reforms such as PSRP, have led to younger

individuals with higher qualifications occupying senior positions within the Zambian Public Service.

As such, it can be argued that a unique feature across the whole of the public service is the respect that most youth and educated professionals have for older and long-serving public servants.

This state of affairs however has seen the emergence of new operational problems arising from cultural factors. Respect for one's elders, though noble, is a hindrance to successful institutionalization of the performance appraisal system, especially in the case "of superior-subordinate interaction. A majority of the interviewees held the view that, although high importance is given to rank, great respect is shown towards long serving officials and unfortunately this does interfere with the appraisal process. If a superior is uncomfortable with giving a negative performance appraisal out of respect for his subordinate's age and years of service, he is subsequently compromising the appraisal process by placing attention on chronological aspect of work experience and age over performance. The latter being a key factor in the achievement of organizational objectives. A practical example here is the respect indigenous Zambians have for in laws. When a young manager is faced with situation of working with in-laws in the same environment, it would be practically impossible to hold appraisal interviews with ones' in-laws as such kind of interaction would be considered a taboo. Such kind of strong cultural attachments are not easy to uproot in the Zambian Public Service, as such, they greatly impede the institutionalization of the APAS.

It is important to note that the performance of the public sector affects every aspect of life in our nation. An effective public sector is a critical element in the development of a country and the quality of life experienced by its citizens, residents and visitors. With the introduction of APAS in the restructured ministries, there was need to seriously address these common cultural elements as they do not create an enabling environment for the institutionalization of the Performance Appraisal System. Zambia, therefore, needs to have a competent, motivated, professional and forward thinking public sector working on its behalf with integrity. In order to make this happen, the public sector must engage the minds of each and every public servant by

ensuring that their contribution and potential is understood and channelled into doing productive things that foster institutionalization of the Performance Appraisal System despite of their cultural differences.

According to the research findings, it is characteristic of the *Zambian Public Service* to find friends, relatives and siblings working in one organization. This state of affairs makes it extremely difficult to appraise employees especially when the supervisor has to give unfavourable appraisal results. Interviewees pointed out the fact that respect for elders, stereotyping and biases associated with loyalty to ones' kinship, friendship and family members have led to certain superiors unfairly allocating marks that employees do not deserve. Due to the dependant nature of categorization and the inherent problems of subjective observation and biased recall, supervisors' attributions of subordinate performance will be significantly influenced by the positive or negative stereotypes supervisors hold for their subordinate. A critical analysis of cultural effects on the performance evaluation process showed that managers consistently assigned higher ratings to subordinate of their own culture. The result of a manager's evaluation of a subordinate can have far reaching consequences within an organization. For example performance evaluations have been shown to assist in such organizational practices as determining reward decisions such as pay increases or promotions, providing feedback for the employee concerning how management views performance, ascertaining the effectiveness and selection of placement of identifying and diagnosing training and development needs, and offering information upon which budgeting and human resource planning can be based. Due to the significance of the evaluation process, the difficulties and conflicts that occur because of the cultural differences of the supervisor and subordinate will not only have an effect on subordinate job satisfaction, but on overall employee morale and turnover.

In summary, it is the position of this study that cultural differences in the supervisor.-subordinate relationship will increase the likelihood of disagreement and subsequently impede the successful institutionalization of the apes. To significantly reduce a manager's tendency to stereotype minority subordinates the *Zambian Public Service* can provide attribution training whereby supervisors are made aware of their cognitive biases and the dysfunctional outcomes these biases generate in institutionalizing a performance driven culture. This training process

must include information concerning specific attribution efforts made by leaders resulting from actor observer bias, in-group versus out group discrimination, the biases caused by stereotyping members of cultural minority groups and the biases experienced by psychological distance. The training may alleviate some of the conflicts that perpetually arise in culturally diverse organization settings.

3.1.3. ORGANISATIONAL FACTORS.

a) The role of the public service management division.

The role of the PSMD is to facilitate administrative reforms such as Performance Appraisal. The PSMD spearheads the APAS in the Zambian Public Service, this has led to the setting up of a section specifically to handle performance appraisal issues known as Performance Systems, Monitoring and Evaluation Section. It operates as a facilitator and architect of administrative reforms and as such it plays a key role in ensuring the successful institutionalization of PA. This is a challenging task requiring extensive competence and expertise.

Research findings revealed that, the PSMD does not provide enough training for the evaluators frequently. It is only done once in a while. The inadequate and unstained training of public servants in the restructured ministries for the purposes of improving performance and intensifying familiarity with the APAS is one of the key barriers to the institutionalization of the programme the new entrants who have joined the public service from various, Colleges and Universities need to undergo APAS induction programmes from time to time, but because this is not happening, there is a serious lack of commitment, acceptance and a sense of ownership toward the whole programme. However, the main argument from the Focussed Group Discussion specifically for APAS facilitators from the Performance Systems Monitoring and Evaluation Section was that, it is no fault of their own that training in the individual ministries is not provided frequently, they' attributed the problem to the government's failure to provide funding specifically for training evaluators in the restructured ministries Majority of the interviewees revealed that there were very few

workshops that had been held on effective implementation of APAS in the civil service. In fact, participants were of the view that with the coming of the HIV /AIDS pandemic, financial resources and time have all been diverted to the conducting of HIV/AIDS workshops as opposed to directing the same energies in the institutionalizing of the APAS. The argument, therefore, is that the lack of expertise and competence of the appraisers in the respective ministries is a critical drawback to the successful implementation of the appraisal system.

Furthermore, it was revealed, that the PSMD has not been effective in its communication with line ministries. Physical follow up has not been conducted mainly due to the lack of physical and financial resources. This has resulted in decisions relating to feedback on performance evaluations carried out in the ministries taking long to be made to the detriment of both ministries and individuals (PSMD 2001)

It should be noted that the PSMD does not currently have powers to employ sanctions for non- compliance. It would be recommended that the PSMD have an official follow-up system to ensure that the information given is used in the government organizations. The Performance Appraisal System require on-going review and corrective action. It is, therefore, important to systematically and regularly review organizational activities to make sure that processes and practices can be used to assess the health operations of the APAS.

b) Employee Perceptions and Behavior

The perceptions civil servants have of the APAS in the Zambian Public Service, are very cardinal for its successful institutionalization. It is imperative, therefore, to understand the fact that the APAS can only be effective to the extent that managers and subordinates have a shared perception of its functions and purpose and the degree to which it meets the needs of both groups. Participants' in the FDGs brought to light the following common perceptions civil servants have of this important management tool in their respective ministries which seriously

impede its successful institutionalization. According to the research findings,

- (i) Civil servants perceive the APAS to be a very demotivating management tool and the basis of their lack of motivation were stated as follows:
 - a. Other HR decisions like rewards, training and promotions are not directly linked to the results of the Performance Appraisal Process.
 - b. APAS has no sanctions attached to it, there is no punishment given for noncompliance.
 - c. The newly introduced Appraisal Related Pay lacks the transparency, fairness and equity thus the lack of faith in the whole idea of linking pay to performance.
 - d. The implementers are perceived to be incompetent and lack the expertise to encourage civil servants to do appraisals. It was generally agreed that supervisors lack experience and relevant training to effectively conduct meaningful appraisals. When appraisals are conducted, there is often a lot of bias and subjectivity involved in the ratings by the superiors. There is practically no motivation to embrace the system thus the lack of acceptance and a sense of commitment towards it.

Interviewees comments reflecting this sub theme are stated as follows:

“Promotions in the Zambian Public Service are not necessarily based on performance but other factors such as tribe and favouritism or bias greatly contributed to promotion decisions no matter how badly one performed at work.”

“Career advancement in the form of promotion should always be linked to performance. In other words, only high performers should be entitled to promotion and increment. The culture where promotion is a mere routine task carried out at predetermined times should be done away with. Only high performers move up the organizational ladder”.

"There is nothing motivating about ARP, if the government had no money, it shouldn't have even introduced it altogether. "

Performance appraisal must not be seen in isolation from other human resource management functions but should be seen as more of a strategic performance management tool to include staff development needs, career aspirations and the identification of personal strengths and weakness as well as assisting with human resource planning and development of organizational competence. Effective performance appraisal systems links performance ratings to organizational rewards. Organization rewards must link greater rewards to superior job performance. When employees feel that performance rates are inaccurate or a function of politics, they tend to perform only to minimum standards, be absent more often, engage in theft or quit.

Although monetary rewards are the main motivators, other non-financial benefits can be introduced on a regular basis. Employees need to know that their performance is noted and efforts recognized. Below is a list of recommended non-financial incentives that will raise motivational levels and help in the successful institutionalization of the Performance Appraisal System:

1. Verbal Praising and complimenting in front of other members of staff.
2. Certificate and Award for the Employee of the Month in front of other members of staff.
3. Certificate and Award for the Employee of the Year in front of other members of staff.

However, it has to be stressed that not all employees give much value to such small symbolic gestures. Nonetheless, since such motivating strategy can have a positive effect on at least some of the staff, it would be worth exploring in the Zambian context.

- (ii) Furthermore, civil servants perception of the guaranteed job security in the civil service is another serious impediment to the institutionalization of the current Performance Appraisal System. Over the years, it has been discovered that a job in the public service is more secure than in the private sector. However, the high level of job security in the ZPS has also brought about a relaxed attitude among employees towards work. This scenario is a hindrance to the institutionalization of the APAS in the sense that civil servants know for sure they will not be fired for underperformance.
- (iii) The APAS is perceived to be more of a routine exercise than a developmental tool, a perception that does not create an enabling environment for the institutionalization of the Performance Appraisal to thrive. Due to the lack of accountability and the guaranteed job security in the public service, most government employees have a lesser-faire attitude towards their work.
- (iv) Civil servants perceive the APAS to be a substandard method of evaluating their performance due to the following problems in the way it is designed.
 - a. Most of the indicators used for measuring the performance of the employees are not quantifiable in nature thus making it difficult to measure the performance.
 - b. There's unavailability of the job descriptions for many employees. Most of the objectives in government organizations are unchallenging, unrealistic and untimely reviewed and un-updated thus the lack of clarity in performance standards.
- (v) Finally, civil servants perceive the APAS to be a non participatory managerial and developmental tool in the Zambian Public Service. The lack of their active participation in appraisal formulation and development was cited as one of the major stumbling blocks to the institutionalization of the APAS. Genuine performance appraisal participation is a process that can mitigate many of the dysfunctions of traditional PAS as well as engender

a more ethical and humane human resource management decision making process. The conceptual base supporting the efficacy of participatory performance appraisal framework centers upon its cognitive and affective benefits. From a motivational standpoint, employee participation is a key element of intrinsic motivational strategies that facilitate worker growth and development. Intrinsically motivating employment entails jobs that possess task significance, skills variety, task identity, performance feedback and worker autonomy. It is an effective tool for enhancing job related autonomy, a necessary precondition for employee growth. Appraisal participation, therefore, provides employees with a voice into the appraisal process. It empowers them to rebut documentation or verbal feedback with which they disagree. If civil servants in the Zambian Public Service have confidence in the current Performance Appraisal System then the institutionalization of the Performance Appraisal System would progress successfully. Furthermore, civil servants would frequently set higher performance standards when they are made to feel that they possess the requisite level of autonomy, authority and resource support. Furthermore, greater employee participation generates an atmosphere of cooperation and employee support which encourages the development of coaching or counseling relationship thereby reducing appraisal related tension, defensive behavior and rater/ratee conflict.

Inculcating a performance driven culture in the Zambian Public Service requires a leadership cadre that is also infused with national ethos, well trained and experienced and has demonstrated abilities over the years in their field of endeavors. This being the case, the present day crisis in the Zambian Public Service lies in finding administrative leaders who can give new dimensions to administration in line with the much needed commitment and ownership to reform programmes such as developmental appraisals. Research results revealed that the lack of commitment on the part of top leaders in the Zambian public Service to ensure that APAS is implemented without fail is a serious impediment to its successful institutionalization. Most of the interviewees felt that senior executives were not very supportive of the PA system as opposed to a few who argued that their leaders were working hard to ensure that APAS was institutionalized in their respective ministries.

Most of the interviewees revealed that, the level of commitment of the top leadership in various government organization, to the performance appraisal process, is very low. This being the case there is simply no zeal or determination to effectively implement programmes such as appraisals. The situation is such that, the senior executives are usually out of their offices for one reason or the other. Management's greatest challenge in the institutionalization of the performance appraisal system, lies in providing committed leadership, to guide and direct the work of the group as a whole toward desired objectives. Generally, most top level executives are not so committed in trying to improve the performance levels of public servants in their respective organizations. Most of them have the energies directed towards other activities that they do outside their civil service jobs. Their main objective is to survive in a harsh economic environment. With this kind of attitude, therefore, when the leaders are not able to make others share and follow the vision of creating a better Zambian Public Service and create an enabling environment for performance appraisal to thrive, the result is a serious lack of ownership and commitment towards the PAS by public servants. Successful institutionalization of the performance approval system in the Zambia Public Service would demand that top leaders fully understand the importance of the PA system in their respective organizations and create a supportive environment for appraisal work. There is, therefore, need to completely have a change of attitude towards reform programmes such as appraisals. Senior executives should lead by example so that subordinates can embrace the PA system in the Zambia Public Service.

Furthermore, from the research findings, there was an all-round acceptance amongst discussants that there was a very poor communication and feedback system between subordinates and there supervisors.

Open communication creates a conducive environment where performance appraisal can be institutionalized successfully in that organizational problems are confronted and solved thereby overcoming issues that could diminish job satisfaction and motivation.

The interviewees indicated that, it was important to have open communication as opposed to the one way communication that currently characterizes superior-subordinate relationships in the Zambian Public Service. An open relationship between superior and subordinate is cardinal to

making the Performance Appraisal System effective. Thus based on the research findings, open communication and feedback between superiors and subordinates is close to non-existent in the Zambian Public Service, this explains why the APAS, an open system of appraising civil servants, is facing the serious challenge of lack of acceptance. Communication is a two-way traffic, it does not only mean the authority of communicating decisions or instructions to the subordinates. The subordinates also have to communicate facts and information to the authority in the organization. Communication thus means interchange of thoughts and partaking of ideas and a sense of participation and sharing.

Greyson (2000, p40) stated that communication lines should be regarded as an important part of the appraisal process. Otherwise what would be the point of carrying out appraisal interviews without effectively giving the subordinates feedback on their performance?

APAS trainers indicated that top leadership support for effective appraisal practices can be demonstrated through written and oral communications with managers in memos, video taped messages and company newsletters. Top executives can also show support by practicing the same appraisal practices when they appraise fellow managers. This study has clearly indicated that, when top managers do not practice what they preach, lower level managers emulate those practices instead of stated policies.

To conclude this section on how organizational variables impede the institutionalization of the PA system in the Zambian Public Service, it can be argued that, a critical aspect of any public sector reform programme is the focus on human resource development and utilization. This aspect is essential, as it is the activities of employees which are harmonized in pursuit of the goal of the state. Towards this end, employees of the public service must possess the necessary technical, interpersonal and conceptual skills required for effective performance of their functions. Developmental appraisals require that employees have the information pertaining to their jobs performance, expectations, standards and criteria for evaluation. Of importance to the institutionalization of the current Performance Appraisal System as the research has indicated, is the timely feedback on performance and the establishment of corrective mechanisms. For

successful institutionalization of PA to be attained in the Zambian Public Service, knowledge of the following features should be harnessed:

- Successful institutionalization of the PA system requires supervisors to communicate job standards and other expectations to employees before the APAS begins. By doing so, civil servants would know what constitutes good performance and the supervisor can then more objectively assess performance. Civil servants are inclined to accept suggestions for improving and maintaining feedback on a continuous basis. The supervisors' primary responsibility is to coach and collaborate in an individual's development. Two major forces in an employees' development must be given full consideration to achieve maximum results.
 - a. Civil servants must recognize the responsibility of their immediate supervisor as that of an active coach and partner in providing job related assistance.
 - b. The supervisors must recognize and be concerned with the individual employee's personal aspirations, motivation and career growth needs.
- Successful institutionalization of the appraisal system requires civil servants' participation in establishing the achievement measures for their jobs. To do a better job, they should know what is expected of them and where assistance can be obtained when needed. Without civil servants active involvement and participation in the appraisal process, fruitful institutionalization cannot take place.
- APAS being a change programme means that civil servants are required to be open for changes that could lead to higher organizational performance. Career pathing and counseling must be a part of the performance review cycle. Currently such things are not happening in the Zambian Public Service. By focusing on performance accomplishments, more precise guidance can be given to civil servants about the achievement of agreed upon milestones.

CHAPTER FOUR

CONCLUSION AND RECOMMENDATIONS

4.0 INTRODUCTION

The main objective of this study was to investigate the main impediments to the institutionalization of the current Performance Appraisal System. A secondary goal was to explore the challenges faced by both superiors and subordinates in accepting the APAS and to provide suggestions on how best the Performance Appraisal System can be improved upon.

The APAS as a reform programme, was meant to open, formal and systematic procedure designed to assist both employees and employers in planning, managing, evaluating and realizing performance improvement in the Zambian Public Service with the aim of achieving its goals. It is based on the premise that the clarification of co-operate objectives and the institution of measures in pursuit of these objectives are all it takes to energize the Zambian Public Service and orient it towards creating a results oriented culture in order to ensure organizational commitment towards the institutionalization of the PA system. However, despite the governments' efforts in introducing APAS in all the restructured ministries, it has not been in a position to create an enabling environment for the successful institutionalization of this important reform programme.

The research findings in this study have comprehensively shown how the prevailing Cultural, Organizational and Political factors in the Zambian Public Service impede the successful institutionalization of the APAS. Generally, these factors have not created an enabling environment for the institutionalization of the APAS but have generated opposite expectations in that they have all lead to the low commitment, lack of accountability, acceptance and a sense of ownership towards the APAS in the Zambian Public Service.

It would, therefore, be true to argue that, an effective Performance Appraisal System demands a thorough reform process which can only be achieved by a paradigm shift in organizational culture and mind-set which should be supported by both senior management and political heads

with the collaboration of all stakeholders. The following suggestions have been made offering recommendations on how institutionalization of the APAS can be improved upon. It is envisaged that, taking the recommendations presented in this research would lead to the successful progression of the institutionalization of the APAS in the Zambian Public Service.

RECOMMENDATIONS FOR SUCCESSFUL INSTITUTIONALISATION OF PERFORMANCE APPRAISAL IN ZAMBIA

Recommendations have been formulated to the following stakeholder groups:

- 1. The PSMD
- 2. Senior executives in the Public Service

4.1.1 PUBLIC SERVICE MANAGEMENT DIVISION (PSMD)

The PSMD is the driving force behind all government reform programs. The Performance Systems Monitoring and Evaluation Section has been set up to enhance public service performance management.

For this reason, there is need for this section, to advocate for funding from the government for the training of evaluators and actively work hand in hand with senior executives in all ministries in order to ensure that performance appraisal system is institutionalized in the Zambian Public Service.

There is need to conduct more workshops on successful implementation of the performance appraisal system. As study findings have revealed, more training of trainers' workshops will enable the evaluators be better equipped with effective appraisal implementation.

The workshops should be based on appraisal skills training for the managers in all the restructured ministries. From the study findings, it is obvious that the ability of the supervisor to adeptly appraise his or her subordinates is critical to the successful implementation of performance appraisal system. Performance appraisal training must focus on helping managers develop specific appraisal skills and confidence in their ability to effectively evaluate others.

These skills should include goal setting, communicating performance standards, observing subordinate performance, coaching and providing feedback, completing the rating form, and conducting the appraisal review without training often lead to ineffectiveness, frustration and dissatisfaction which has been the case in the Zambian Public Service.

4.2.1 SENIOR EXECUTIVES IN THE PUBLIC SERVICE

The specific goals of the performance Appraisal System for each restructured ministry should be defined, clearly developed and articulated. This is what will enable managers appraise criteria that supports organizational goals. As it is now, it is practically impossible. Also, clear goals increase managers' motivation to conduct appraisals properly and boost their interest in performance management. When managers know that information collected during appraisals is likely to affect decisions about employee development, planning, performance improvement, compensation and performance planning, they will be motivated. Without clearly defined goals, managers may simply go through the motions of conducting appraisals and performance management. Zukas (1980: P40), proposed the following recommendations for senior executives in the Public Service for successful institutionalization of the performance appraisal process.

1. There is need for human resource officers to work on employee-manager involvement in systems design as this is critical. Effective appraisal systems include input from managers and employees about appraisal practices and the criteria used to appraise performance. Involvement of employees at all levels increase the acceptance of the system and increase cooperation. When employees are allowed to participate in the design of the appraisal system their sense of ownership increases. Attempts to save the by-passing of employee and manager input can short circuit the ownership of the system, lower the systems credibility, and in the end produce a system that does not meet staff needs.
2. There is need to develop user friendly and job related effective appraisal forms that are simple and easy to understand. Performance criteria rating procedures and feedback should be expressed in terms that are focused and meaningful for both managers and employees. It is essential that the forms assess the degree to which employees perform their job duties and achieve specific organization goals. Forms that include matters

unrelated to performance of essential job functions are deficient in the measurement of important activities performed within a job function. Forms should be designed to aid communication between managers and employees about behavior work processes, involvement of managers and employees in the design of the forms and procedures is the best way to ensure that an appraisal system has these important attributes. Unclear, poorly focused and cumbersome forms and procedures decrease ownership of the system and negatively affect essential trust and communication between the supervisor and subordinate.

3. Managers should provide their direct reports with on-going informal performance evaluation feedback. Currently, this is not being done in the Zambian Civil Service. Effective appraisal systems do not consist solely of once a year formal performance reviews as it is with the APAS. Failure to provide on-going informal feedback allows minor, easily correctable, problem, to grow into more serious ones.
4. Raters must be motivated to conduct effective appraisals. This study has revealed that even the raters themselves in the restructured ministries are not motivated to conduct effective performance appraisal as it is perceived to be a mere government routine or formality nothing much. An organization will never achieve effective appraisal practices if the managers are not motivated to follow procedural guidelines and use information from training to conduct effective written and face performance reviews. Unmotivated managers can undo even the best performance appraisal system because they most directly impact the overall quality of the appraisal process and the motivation of employees to perform. Managers must be motivated to conduct effective appraisals when their supervisors conduct effective appraisals on them. Effective appraisal of managers by their supervisors signals the importance of appraisals in the organization and models proper procedure. In addition, a manager's motivation to conduct effective appraisals is based in part on how effectively they execute their role in the appraisal process and how well they coach their employees. Failure to motivate supervisors to conduct effective appraisals can lead to poorly documented and poorly run appraisals in which ratings of subordinates are inflated or deflated for expediency or in pursuit of personal agenda. This in turn tends to reduce employee faith in the performance of the appraisal system, motivation to perform and willingness to accept and pursue organization goals. Even a

properly designed system will fail if these suggested managerial practices are not followed. The manager responsible for employee performance must be proficient at these activities if appraisals are to get desired results.

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APPENDIX 1

Table 4 SUMMARY OF THE FUNDAMENTAL PRINCIPLES AND VALUES OF THE APAS IN ORDER TO ENSURE ADHERENCE, COMMITMENT AND CREATE A SENSE OF OWNERSHIP TOWARDS IT.

Principles and values	Role of HRM in ensuring adherence
<p>Effective communication</p> <p>Employees at all levels must have a clear understanding of the purpose of their job responsibilities and what outputs they are expected to produce</p>	<p>Ensure that every staff member has and signed their job description.</p>
<p>Feedback</p> <ul style="list-style-type: none"> • Feedback on performance must be given regularly. The process is a way. • Managers and supervisors must be aware of any work related challenges and ideas for resolving work related problems being experienced by their staff. 	<p>Regularly monitor the communication and feedback system (at least quarterly) to ascertain whether managers and supervisors are communicating with their staff, and vice versa.</p>
<p>Objectivity</p> <ul style="list-style-type: none"> • Evaluations must be made against clearly stated and documented performance standards stated in your work plan. • Performance standards are to be developed by the manager / supervisor in collaboration with staff members. <p>Performance standards in individual work plans should be S.M.A.R.T</p> <ul style="list-style-type: none"> • Specific (what is to be achieved) • Measurable (how will the standard be evaluated as achieved) • Attainable • Resourced – must have the resources for its achievement. • Time bound – must be achieved within a specified time period. 	<p>Sample work plans (across divisions) at the start of the performance appraisal cycle to test the clarity of the performance standards.</p>
<p>Transparency</p> <ul style="list-style-type: none"> • There should be no surprise at the time of the end of the year evaluation, if the other principles have been observed. • Evaluations for all the staff are based on the results achieved by an individual, after 	<p>Human resource officers should ensure interim evaluations have been done and documented and also monitor the implementation agreed corrective action / development.</p>

receiving feedback on performance during the year and the application of the appropriate corrective action.	
Fairness During the year the decisions and actions related to the achievement of performance standards, are made with due regard to changing circumstances and resources. Individuals will not be penalized because of resource insufficiency or changing circumstances beyond their control, that render them unable to achieve a target to the required standard. The employee must discuss the matter with the supervisor who will be required to make appropriate adjustments to accommodate the change.	Remind and monitor the adherence to their recording of agreed changes to the work plan where such change is necessary.
All employees are to be treated equally and have equal and appropriate access to benefits, training, and resources to achieve the performance standards set.	Monitor the implementation of agreed development interventions/corrective action. Encourage and seek feedback from employees and provide advice where necessary.
Mutual trust Discussions about performance are to be conducted with due regard to accepted principles of courtesy, respect and an understanding of each other's roles and responsibilities.	Ensure that managers/supervisors and staff are fully aware of their roles and responsibilities. provide them with guidelines for the actual conduct of the interim and final appraisals

APPENDIX 2 INTERVIEW GUIDE

a) INTERVIEW GUIDE

To the interviewees,

The purpose of this Focused Group Discussion, is to investigate the key factors that impede institutionalization of the APAs in the Zambian Public Services.

There are no right or wrong answers. It is your opinion that I am interested in, as your views are key to providing a clear understanding of the main factors impeding institutionalization of the APAS in the restricted ministries.

Rest assured that your views will be treated with complete confidentiality as no names will be mentioned.

Thank you,

LYDIA LUKWESA KANCHEBELE

SECTION A.

- 1. What is the purpose of a performance Appraisal System?
.....
.....
.....
- 2. Has the Government introduced of APS helped created a performance oriented culture in your ministry?
.....
.....
.....
- 3. How important do you think is the role of Government in institutionalized the APS?
.....
.....
.....
- 4. Has the Government offered budgetary support for APS training activities in your ministry?
- 5. The APS is a high priority for the PSME has the present government been supportive and committed in ensuring that the system is institutionalized in the restructured ministries. State the reason for the answer.
.....
.....
.....
- 6. The public service faces many challenges in meeting the expectation of the society for increased efficiency and accountability, and transparency in respect of the services provided by it. Has current Government exhausted all the means in ensuring that APS is institutionalized?

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.....
.....

7. How is the newly introduced Appraisal Related pay affecting civil accepted of the APS?

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.....
.....

8. What do you think are some of the dissatisfactions with Arp and how has this affected the institutionalization of the APAS.

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

9. Suggest some of the ways Appraisal Related pay can be used in making civil servants embrace the APAS.

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

10. Do you think the Government should use sanctions in ensuring compliance in implementing the system.

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

SECTION B

11. Do you think superiors encounter problems with regard to appraising long-serving and older staff? If yes, explain how the nature of the problems encountered affect the APAS ratings.

.....

.....

.....

12. The APAS is an open and formal way of evaluating employee performance, how do our culture elements affect the appraisal of older and long serving staff.

.....

.....

.....

13. How does having friends, relatives and siblings working within the same government organization affect credibility of the APAS results.

.....

.....

.....

14. What is stereotyping? In your experience of conducting APAS, explain how stereotyping and cultural bias influence the APAS results.

.....

.....

.....

15. Why do you think are the reasons for the prevalence of friends, kinsmen, relatives siblings working in the same organization.

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.....
.....

16. How does friendship, kinship and loyalty influence chances of getting a favourable appraisal in the ZPS?

.....
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.....

SECTION C.

17. Do you think that the APAS is beneficial for improving the individual and organizational performance in your ministry?

a. If your answer to (11) is yes , please explain why

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

18. If your answer to (14) is no explain why you think so?

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

19. What is the most common type of superior-subordinate communication in your ministry?

Is it top down or bottom up? Explain your answer.

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

20. How do you think the communication and feedback system in your ministry affects the effective implementation of the APAS .

.....

.....

.....

21. How would you rate the (professional) commitment level of employees in the public service?.....

22. Does the existing job security in the ZPS tend to reduce commitment to high performance?.....

.

23. How does the guaranteed job security for sector jobs hinder the extent to which public servants have accepted the APAS?

.....

.....

24. Does the PSMD fully comprehends the practical and day-to-day work related problems that government organizations encounter?

.....

.....

.....

25. If your answered (31) Is NO, please explain why:

.....

.....

.....

26. Do you think the government organizations have the required capacity to implement the appraisal system in their respective organizations? Explain your answer.

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

27. Ever since APAS was introduced in your ministry has the PSMD provided enough training and support to implement the system?

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

28. Do you think that there are better ways that PSMD can use to implement the system more effectively in your ministry?

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

29. Kindly state the alternative ways PSMD can use to implement the appraisal system.

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

30. What are the causes of demonization with the current system of appraising civil servants in the Zambian Public service.

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

31. State the reasons why you think APAS reward system should be revisited.

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

32. How important do you think monetary reward is to make the system effective?

What are some of the rewards that can be given in place of monetary rewards?

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

33. Planning work and setting targets is a relatively new style of work in the Zambia public Service. The appraisal system is based on such principles. Previously public servants worked without being evaluated. State whether you feel such a change will be effective in the Zambian Performance Appraisal System.

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

34. If your answer to (29) is yes, please explain why

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

35. If your answer to (29) is no, please explain why

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

36. State how important it is to involve civil servants participation in appraisal formulation/development.....

.....
.....

APPENDIX 3 INDIVIDUAL WORK PLAN

NAME OF
JOBHOLDER:.....WORKPLANPERIOD:.....
JOB TITLE:.....
DEPARTMENT/SECTION:.....
JOB PURPOSE (As in the Description)
.....
.....
.....
.....
.....

KEY RESULT AREAS	PRINCIPAL ACCOUNTABILITIES	TARGETS	SCHEDULE OF ACTIVITIES

APPENDIX 4 DEPARTMENTAL WORKPLAN

WORKPLAN PERIOD:.....
DEPARTMENT/SECTION:.....
LONG-TERM OBJECTIVE: (As stated in the strategic plan)

.....

.....

.....

.....

.....

.....

ANNUAL OBJECTI VES	TARGE TS	SCHEDU LE OF ACTIVITI ES	DEPARTMEN T/ ORGANISATI ONS CONTRIBUTI NG TO PROGRESS	PERSONN EL INVOLVE D	ESTIMATES OF MATERIALS SUPPLIES EQUIPMENT AND SERVICES		
					ITE M	QUANTI TY	COST(K)

APPENDIX 4: DEPARTMENTAL WORK PLAN

WORKPLAN PERIOD:

DEPARTMENT/ SECTION:

LONG – TERM OBJECTIVE: (As stated in the Strategic Plan)

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

L IVES	TARGETS	SCHEME OF ACTIVITIES	DEPARTMENTS /ORGANISATION CONTRIBUTING TO PROGRESS	PERSONNEL INVOLVED	ESTIMATES OF MATERIALS SUPPLIES EQUIPMENT AND SERVICES		
					ITEM	QTY	COST

**APPENDIX 5 ANNUAL PERFORMANCE APPRAISAL SYSTEM (APAS)
FORM**



REPUBLIC OF ZAMBIA

ANNUAL PERFORMANCE APPRAISAL SYSTEM (APAS) FORM

CONFIDENTIAL

APAS FORM 1

ISSUED BY: THE PERMANENT SECRETARY

PUBLIC SERVICE MANAGEMENT

DIVISION

PLEASE READ THESE INSTRUCTIONS CAREFULLY:

1. This appraisal form is confidential and an official record (i.e. not to be communicated to unauthorized persons)
2. No officer should attempt to use this form unless he/she is well acquainted with the detailed instructions of the appraisal process given in the APAS USER GUIDE and the APPENDIX to this form.
3. As the supervisors and their respective subordinates complete this form, they should bear in mind that the information they are providing is subject to open discussion
4. The appraisal should complete part 1. Human Resource and Administration should initiate the process by ensuring that the APAS forms are given to officers to be appraised.
5. Both the supervisor and job-holder must separately and independently complete their appropriate parts of the APAS form, excluding part 4. A date must then set by the

supervisor for the appraisal interview, which should normally be within 24 hours from the date of completion of the form.

6. At the end of the appraisal interview the job-holder should provide his/her comments as required in part 4.
7. After the appraisal interview, 3 copies of completed forms must be made and distributed as follows: one copy to be retained by the department/division, one copy to retained by the ministry and one copy to be sent to public service management Division. Job holders wishing to retain form should be allowed to photocopy it.
8. Appropriate follow-up action should then be taken on the outcome of the appraisal
9. All entries on the APAS form must be made in ink

PART 1: PERSONAL PARTICULARS (to be completed by Appraisal but initiated by the human resources and Administration Department)

ANNUAL PERFORMANCE APPRAISSAL FOR PERIODE:

Month)	_____	20	_____	To (month)	_____	20	_____
						STAFF	<div></div>
						PMEC EMPLOYEE No: (AS IT APPEARS ON P	<div></div>
SURNAME:		_____		OTHER NAMES		_____	
JOB TITLE				_____		SALARY GRADE	
DATE OF APPOINTEMENT TO PRESENT POST: _____							
MINISTRY/PROVINCE: _____							

DEPARTMENT: _____							
STATION: _____							

PART 2: WORKPLAN AND PERFORMANCE (To be completed by appraisee or supervisor as indicated)

Purpose of the job (To be completed by Appraisee)

Key results Areas and principals Accountabilities (To be completed by Appraisee)

KEY RESULT AREA	PRINCIPAL ACCOUNTABILITY
1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	

Targets set during appraisal period and rating (The Appraisee completes the first two columns for KRA and targets, as agreed with supervisor while the rating be completed by the supervisor using the key* below)

KEY RESULT AREA	TARGET	RATING
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		

*KEY: Above target = 3 On Target = 2 Below Target = 1 Overall target rating** =

** Overall rating is totally rating divided by the number of targets

Comments by the Appraisee on Targets;

- a) Achieved:
- b) Not Achieved:

Signature:.....

Date:.....

For public
Service
Management
Division
official use
only