

EVALUATION OF THE PERFORMANCE
MANAGEMENT PACKAGE (PMP) IN THE ZAMBIAN
CIVIL SERVICE

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Njekwa Mate

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DECLARATION

This dissertation represents my own work, and has not previously been submitted for a degree, diploma or any other qualification at this or another university.

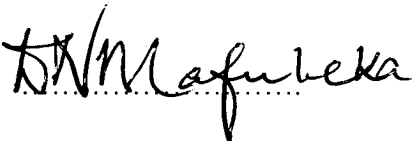

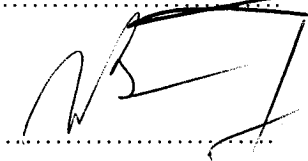
Name: NJEKWA MATE

Signature: 

05/06/06

CERTIFICATE OF APPROVAL FORM

This dissertation of Njekwa Mate is approved as partially fulfilling the requirements for the award of the degree of Master of Public Administration by the University of Zambia.

Examiners	Date	Signature
Internal Examiner	5/6/06.....	
Internal Examiner	5/6/06.....	
Supervisor	5/6/2006.....	

ABSTRACT

This study was aimed at evaluating the Performance Management Package (PMP) in the Zambia civil service. More specifically, it examined the key elements of the PMP and its implementation and attempted to determine the extent to which work plans and targets have been established and were adhered to in the Zambian civil service. The linkages between performance appraisal and the application of rewards, sanctions, training and skills development were also explored.

In order to do so, a stratified random sample of 236 civil servants drawn from three ministries (i.e. Agriculture and Co-operatives, Local Government and Housing and Finance and National Development) and two government institutions (i.e. Cabinet Office and the Public Service Management Division) were interviewed using a semi-structured questionnaire. In addition to this were two members of the Performance Improvement Team (PIT) at the Ministry of Local Government and Housing (where the team was found to be in existence). For these two PIT members at the Ministry of Local Government and Housing an unstructured questionnaire was administered so as to get more qualitative data.

The results presented in this study show that although the PMP launch, briefing meetings and installation workshops had been carried out in the sampled organisations, no further work had been done to ensure that every employee had a work plan to follow and targets to achieve against which their performance could be evaluated. This was mainly due to inadequate financial and physical resources, on the one hand, and lack of visionary and committed leadership to continue with the PMP implementation, on the other. In addition, the government has never conducted a review of the PMP implementation in the ministries and institutions.

Similarly, although 78 percent of the respondents had work plans created for their jobs only slightly over half of them (i.e. 55.5 percent) claimed that their work plans were completely followed or adhered to. The main reasons cited for the failure to adhere to work plans were poor funding, increased workloads due to manpower shortages and the absence of strict follow-ups by managers to ensure that work plans were being followed. As regards performance appraisal, slightly over half of the respondents (i.e. 53.8 percent) had the view that the

PMP had introduced or helped put in place a more objective annual performance appraisal system (APAS). Furthermore, the study also found weak linkages between APAS and the application of rewards, sanctions, and training and skills development in the civil service today. As a result of this, the majority of the civil servants interviewed (i.e. 58.5 percent) argued that the administration of the performance appraisal system in the civil service today was just a matter of routine and served very little purpose. The study noted the absence of any reward or incentive schemes and sanctioning mechanisms in the organisations visited that are required to effectively manage performance.

Therefore, as a way forward, the government can, among others, adopt the following measures to improve the implementation of the PMP: reduction of the five-step implementation strategy to make it more cost effective and easy to apply; provision of financial and physical resources at all levels of the PMP implementation process; introduction of a PMP implementation monitoring and evaluation mechanism; development and implementation of a clear rewards or incentives policy; resolution of the current dilution of authority over human resources and its management in the civil service; educating all civil servants on performance management and its importance.

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LIST OF ABBREVIATIONS AND ACRONYMS

ACR	Annual Confidential Reporting
APAS	Annual Performance Appraisal System
CDEs	Classified Daily Employees
CSRs	Civil Service Reforms
CSRPs	Civil Service Reform Programmes
DK	Don't Know
DTEVT	Department of Technical Education and Vocational Training
ERPs	Economic Reform Programmes
<i>f</i>	Frequency
GRZ	Government of the Republic of Zambia
HIPC	Highly Indebted Poor Country
HQs	Headquarters
HRM	Human Resource Management
IBRD	International Bank for Reconstruction and Development
ICTs	Information and Communication Technologies
IDA	International Development Association
IMF	International Monetary Fund
KRAs	Key Result Areas
LANs	Local Area Networks
MACO	Ministry of Agriculture and Cooperatives
MAFF	Ministry of Agriculture, Food and Fisheries
MDD	Management Development Division
MFNP	Ministry of Finance and National Planning
MLGH	Ministry of Local Government and Housing

MMD	Movement for Multi-party Democracy
MPMC	Ministerial Performance Management Committee
NA	Not Applicable
NIPA	National Institute of Public Administration
NS	Not Sure
NR	No Response
PIT	Performance Improvement Team
PM	Performance Management
PMP	Performance Management Package
PMS	Performance Management System
PSC	Public Service Commission
PSCAP	Public Service Capacity Building Project
PSMD	Public Service Management Division
PSRs	Public Service Reforms
PSRP	Public Sector Reform Programme
PSTC	Permanent Secretaries Technical Committee
ROM	Results Oriented Management
SAPs	Structural Adjustment Programmes
SPSS	Statistical Package for the Social Sciences
TEVETA	Technical and Vocational Education Training Authority
UK	United Kingdom
UNZA	University of Zambia
USA	United States of America
WANs	Wide Area Networks
ZAWA	Zambia Wildlife Authority

ZCCM

Zambia Consolidated Copper Mines

CHAPTER ONE: INTRODUCTION

BACKGROUND

In most African countries, the overall objective of Civil Service Reform Programmes (CSRPs) has been to improve the effectiveness and performance of the civil service and ensure its affordability and sustainability over time (Mulikita 2001). The main aim of these reforms is to improve the quality and delivery of public services to the population and enhance government's capacity to carry out core functions. 'Civil Service Reforms (CSRs) are essentially key components of Structural Adjustment Programmes/Economic Reform Programmes (SAPs/ERPs) intended to eliminate constraints which impede the civil service's capacity to function as an agent of progress and change' (Mulikita, 2001: 15).

In Zambia, the overall goal of the Public Service Reform Programme (PSRP), launched in November 1993, was to improve the quality, efficiency and cost-effectiveness of the public services to the people of Zambia. It was aimed at strengthening management capabilities, streamlining government operations and improving the delivery of services to the people of Zambia. The programme was to be implemented within a period of three years.

Within the framework of the PSRP was the need to introduce a performance management system that would ensure that organisational 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. Thus, the Performance Management Package (PMP) was introduced to achieve that.

The PMP is an on-going assessment and not a "once a year event" as it was designed to introduce a new Performance Management System (PMS) in the civil service following the restructuring process. The Package was four phased to include the following: (i) performance planning; (ii) delegation/coaching; (iii) reviewing/monitoring, and; (iv) evaluation (GRZ, 1997).

All staff was to be involved and ensure its implementation. The PMP was to be linked to skills development, rewards and sanctions if it was to make

improvements on performance in the civil service. In addition, the package was to be operated as a genuine partnership between jobholders and their supervisors. The process of implementation was to be continuously monitored by the Human Resources Management Departments of the ministries where the package had been introduced and installed.

In the implementation of the PMP strong emphasis has been put on performance so as to improve the way ministries concerned are delivering services to the public and the performance of workers on the job (GRZ, 1997). Lastly, performance appraisal would be placed in the wider context of performance management linking the ministry's strategic plan, goals and objectives to each department's work plan and down to individual workers.

The implementation strategy of the PMP has five steps that have to be followed strictly for it to succeed and produce results in the civil service. These steps, according to GRZ (1997), are outlined below:

Step One: Launch Meeting

The first step in the PMP implementation strategy involves the Permanent Secretary and staff of the Management Development Division (MDD), and Public Service Management Division (PSMD) meeting with the ministerial PSRP Implementation Committee where an overview of the PSRP process, that is, Management Audits, Strategic Planning, development of new structures and result-oriented job descriptions, is discussed. Following this is an outline of the way forward, in broad terms, addressing areas such as the PMP installation activities, process re-engineering and focused training. Furthermore, the role of the ministerial PSRP implementation committee is redefined and its name changed to the Ministerial Performance Management Committee (MPMC).

Step Two: PMP Briefing Meeting at Department/Provincial Level

This was expected to commence within a week of the launch meeting and it would involve: (i) an overview of the PSRP processes and outcome; (ii) an introduction, in broad terms, of the way forward, including the PMP; (iii)

introduction of work planning and target setting format, and; outlining the role of the MPMC (GRZ, 1997).

Step Three: PMP Installation Workshop

This step in the implementation strategy involves conducting an installation workshop for all ministerial stakeholders. This meant ministerial management teams being given assistance on how to develop and implement the work plans, target setting and operationalise the new Performance Appraisal System (APAS). The workshop should end with the constitution of Performance Improvement Teams (PITs) that are expected to work closely with the MDD and PSMD to realise agreed upon work plans.

Step Four: Follow-up Meetings

This involves making follow-ups and reporting what is being done and what is not being done to ensure that the PMP objectives are followed or adhered to. These are in the form of weekly visits by officers from MDD and PSMD to monitor the agreed work plans.

Step Five: Review of the PMP Implementation Process

Reviewing the PMP implementation in each ministry is important because it provides information about the progress, identifies the main achievements and constraints of the implementation process, and also provides some learning lessons from past experience during the implementation process. Reviews also provide useful information about the way the Package was designed, monitored and implemented and how resources were utilised. For stakeholders, a review rationalises how stakeholder's funds and other inputs were used. This is important for accountability purposes and for future financial support.

For the PMP to succeed in the Zambian civil service there was need for a number of things to be put in place and some activities performed. Firstly, the permanent secretaries in the ministries where the PMP has been introduced were tasked with the overall responsibility of the PMS activities. Secondly, new staff had to be selected and appointed through competitive interviews. Thirdly, the

Performance Improvement Teams (PITs) had to start operating in the concerned ministry/division. And lastly, the Management Development Division (MDD) and Public Service Management Division (PSMD) were to provide support services and facilitate the institutionalisation of the PMP (GRZ, 1997).

Contributing to the impetus of the PMP was the acknowledgment by the Zambian government, in the late 1980's, of the fact that the civil service Annual Confidential Reporting (ACR) system on 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. ACR was a more traditional system of reviewing performance based on individual attributes as seen by the supervising officer such as punctuality and obedience. It was hence criticised for emphasising too much on formal review and static indicators like 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. Coupled with this was the ineffective administration of the ACR, which gave no room for importing the necessary human resource management skills and practices into the civil service. Therefore, the credibility and objectivity of the ACR was eroded (Makambwe, 2001).

It is in light of the above that efforts were made, in 1993, to come up with new instruments for measuring individual performance in the public service. The PSRP, launched on 3rd November of the same year, therefore, reinvigorated the need for improved PMSs. A Permanent Secretaries Technical Committee (PSTC) was set up to finalise work on a new appraisal system and draw an implementation plan. A year later in 1994, the need for further work to simplify the performance appraisal system and make it more user friendly was felt and hence in 1995, officers from MDD and PSMD made consultations with Zambia Consolidated Copper Mines (ZCCM) and Coopers and Lybrand so as to, among other things, learn from the performance appraisal systems found in the private sector. By 1996, further work by the commonwealth secretariat with MDD/PSMD to design a PMP was done and

an appropriate system conducive to the civil service was approved for implementation (Makambwe, 2001).

The main objective of the PMP was to improve organisation and individual performance through the introduction of:

- (i) a new work culture of work planning and target setting, and ;
- (ii) a new instrument for assessing individual performance, the open appraisal system called Annual Performance Appraisal System (APAS) (Makambwe, 2001).

The PMP was designed as an aspect of component two of the PSRP, which focused on Management and Human Resources Improvement that involved the introduction of the performance management systems in the public service to facilitate accountability and development of management skills (Makambwe, 2001).

PROBLEM STATEMENT

Although the PMP has been introduced and installed in 15 ministries and four government institutions in Zambia (GRZ, 2004), there is little or no information regarding its implementation, the major achievements and challenges being faced. More specifically, although work planning, target setting and APAS (i.e. the key aspects of the PMP) have been introduced in the Zambian civil service, to what extent have they been established and are adhered to? Similarly, to what extent have work planning and target setting improved organisational and individual performance? It is also not certain if APAS is linked to the application of rewards and sanctions, training and skills development.

Though Cabinet had approved the PMP, to what extent have technical and financial resources been made available to facilitate its full implementation? Furthermore, have the General Orders and other service regulations been made compatible with the PMP? The answers to these questions will reflect the success and quality of the PMP implementation and the challenges it is facing.

STUDY OBJECTIVES

General Objective

The general objective of the study was to evaluate the extent to which the PMP has been implemented and helped to improve performance in the Zambian Civil Service as part of the PSRP.

Specific Objectives:

- 1) To examine the key elements of the PMP and its implementation in Zambia.
- 2) To determine whether specific work plans and their implementation have resulted in the achievement of the task targets.
- 3) To establish if performance appraisal links with the application of rewards, sanctions, training/skills development.
- 4) To make suggestions on how best the implementation of the PMP could be improved upon.

SIGNIFICANCE OF THE STUDY

This study was very vital because it generated some knowledge and understanding about the PMP in the civil service and how it relates to training or skills development, and the application of sanctions or rewards to the affected workers. As such, it also tried to contribute to the body of knowledge on performance management and improvement in the civil service.

STUDY SCOPE

Theoretically the study assessed the key elements and implementation of the PMP in the Zambian civil service by selecting three ministerial headquarters in Lusaka, namely: Ministries of Agriculture and Co-operatives (MACO), Finance and National Planning (MFNP) and Local Government and Housing (MLGH). Also included were the Cabinet Office and PSMD. Lusaka district provided good lessons and experiences of the reform process, in general, and the PMP, in particular, because of the fact that the PSRP was first implemented at ministerial and departmental headquarters in Lusaka before venturing out to other districts. Work planning, target setting and performance appraisal (as aspects of the PMP) are

discussed in greater detail and cast into the wider scope of the civil service in Zambia.

CONCEPTUAL FRAMEWORK

In this study Performance Management (PM) will be conceptualised within the context and demarcations established by Hartle (1997). Hartle, as quoted by Dada (2002), conceives PM within a more comprehensive and inclusive definition as 'a process for establishing a shared understanding about what is to be achieved and how it is to be achieved. He adds that PM is an approach to managing people, which increases the probability of achieving job-related success.

This perception of PM is preferable and adopted in this study because it has the benefit of linking strategy to the actions of individuals in the work place by ensuring that individuals have a common (or shared) understanding about what performance (and success) in their job should look like. Furthermore, it has the benefit of defining the objectives, tasks to be undertaken, results expected and required behaviours in an organisation so that people know what they are working towards.

It can be concluded, therefore, that PM is concerned with the interrelated processes of work, management, development and reward. It is a powerful integrating force that ensures that these processes are linked properly as a fundamental part of the human resource management approach, which should be practised by every manager in an organisation. This study shall also conceive PM in consort with Balogun (2003) who sees the essence of PM as lying in its professed ability to focus the attention of organisation members on a common objective and to galvanise them towards the attainment of that objective.

Within this conception of PM, the PMP acts as a tool for realising and institutionalising performance management. The PMP links the process of strategic planning, work planning, target setting and performance appraisal. Strategic planning is directed at determining a unique institutional mission taking into consideration the external environment (opportunities and threats) and the internal capabilities of the institution (strengths and weaknesses). These internal and

external factors enable the institution to develop a strategy that will lead to the development of the client base with the greatest potential of success. Decisions must be made about which new or additional services will fit in with the existing service range, how existing activities should be altered to keep pace with the changing environment and how change and renewal, in general, will be implemented in the institution.

Work planning, on the other hand, is the process by which the strategic plan is operationalised through the development of annual organisational and individual work plans (operational plans) which form the strategy and tactics to guide the organisation in implementing the strategic plan and thereby the attainment of its mission. A work plan has set targets that are viewed as particular pre-set levels of performance which the individual, unit or organisation strives to achieve, with the achievement specified in some detail by output (quantitative and qualitative), time scale or both.

Ideally, targets should be set by a supervising officer with the participation of the jobholder so as to ensure that they are not set too high to prevent their achievement or too low making it easy for a worker to achieve them. Therefore, target setting must be viewed as the process of developing targets for individuals, a unit or organisation. Targets form the basis upon which the performance of an organisation, unit or individual can be measured and appraised.

In many organisations, appraisal has tended to be at individual level, where it is often seen as a systematic method of determining the present and future effectiveness of employees in an organisation. This perspective tends to give both the impression of the employee's performance in the present position, and that of the potential for future development. Performance appraisal is intended to create an opportunity for managers and their subordinates to share a common understanding about what has to be accomplished, with the manager, naturally, concerned about how best to bring about those accomplishments and development of people in the short and long terms (McKenna and Beech, 2000).

LITERATURE REVIEW

In order to fully appreciate each of the elements of the Performance Management System (PMS) forming the basis of this study, the presentation of this Literature Review is divided into five sections. The first section is the review of literature on purposes of the PMS. The second pertains to literature on strategic planning and goal/target setting while the third section reviews literature on performance appraisal in the context of the PMS. Fourthly, literature on participation, commitment and leadership in the PMS is reviewed. The fifth section reviews literature on communication, feedback and coaching in the PMS. A conclusion then briefly summarises the key issues arising from the review.

Purposes of the PMS

There is a wide range of sources and perspectives with regard to the purpose of the PMS. However, a fairly uniform understanding of the core purposes of a PMS can be discerned from some key literature on the concept. Gautschi (1998), for instance, contends that organisations could use the PMS for: a) legalistic reasons to document employee performance; b) internal planning of work and performance, and to support merit pay increases, and; c) encouraging a series of private one-on-one meetings between each subordinate and his/her supervisor to assure mutual agreement on what the subordinate should be doing and how well he/she was doing it.

Longenecker and Nykodym (1996) are more apt. Based on a survey of 254 members of a large public sector organisation in the United States of America (USA) to establish the purposes of the PMS, they concluded that the PMS is aimed at: goal setting (including planning), motivating employees and facilitating discussions concerning employee growth and development. It is a process in which supervisors should engage their subordinates as they plan for their work as well as the improvements that need to be made. Longenecker and Nykodym provide a broader perspective of PMS that is relevant for this study for the reason that their conception encompasses goal setting and employee motivation, growth and development.

Although different sources may emphasise different aspects of the purpose of PMS, for the most part, they are strongly concerned with the need for organisations to make all employees aware of the reason for engaging in the performance management process, which is to plan for what they are going to do and how. Sime (1999), while undertaking an evaluation of the PMS in a church based organisation in the USA, revealed that a widely shared perception of the purpose and process of the PMS is as important as having a technically appropriate system. Sime contends that benefits should not only be understood in relation to the organisation, but also to how individuals (both subordinates and supervisors) benefit from the PMS and how each participates in the system. Sime also argued that when both supervisors and subordinates have a shared understanding of performance management purposes and processes their shared acceptance of the PMS (including appraisal) increases.

These contributions are very relevant to this study because they bring out the importance of creating an understanding of the PMS among employees in an organisation in order to increase its acceptability. They also show that the PMS should be seen as a process that includes the following: goal setting (including planning for work and/or performance); motivating employees through face to face discussions and merit pay increases; performance measurement and evaluation, and; providing feedback. These concepts provide a guide to the PMS perspectives in this study with regard to its purpose.

Strategic Planning and Goal/Target Setting

The implementation of reforms in public sector organisations, in both the developed and developing world, has led to the increased development and use of strategic plans or the strategic planning process. This has also resulted in the need for departments/units and individuals in the public sector to develop operational plans stating clearly the performance targets to be achieved. These are some of the management innovations that have been adopted from the private sector and adapted to public sector organisations.

Berry and Wechsler (1995:159) define strategic planning as ‘a systematic process for managing the organisation and its future direction in relation to its environment and the demands of external stakeholders, including strategy formulation, analysis of agency strengths and weaknesses, identification of agency stakeholders, implementation of strategic actions, and issue management’. They contend that strategic planning has been touted as one of the “hot” management innovations in the public sector. Based on a national survey on the types of strategic planning employed and how state agencies in USA utilised strategic planning, they reported that about 60 percent of the agencies were using some type of strategic planning while an additional 9 percent hoped to do so in the future. Berry and Wechsler’s study also showed that about three quarters of the agencies employed a strategic management model built on elements of the Harvard Policy Model, which assesses organisational strengths and weaknesses, identifies opportunities and threats and seek to co-align the organisation with its environment. They conclude by stating that organisations are enjoined to build on strengths, overcome weaknesses, exploit opportunities, and block threats.

Strategic planning is also increasingly being implemented in some African public services. In Zambia for example, the Impact Assessment Study of the PSRP and PSCAP conducted by the Department of Political and Administrative Studies at the University of Zambia (UNZA) on behalf of the Zambian government in 2004-2005, reports that all the 21 government ministries and 8 institutions had gone through the processes of strategic planning (Department of Political and Administrative Studies, 2005).

However, very few or no studies have been done to assess how the strategic planning process has been implemented or whether strategic plans are adhered to in Zambia. Therefore, this study also assesses awareness and adherence levels to strategic plans in the Zambian civil service.

As regards goal/target setting, Roberts (1996) views it as a critical component of an effective performance management programme. He argues that setting specific and moderately difficult targets or goals results in higher levels of performance and increased levels of motivation. In a study of municipal officials in

the USA Roberts reports that 93 percent of the 314 respondents recognised the significance of goal setting - that specific goals are important while 70 percent agreed that goals should be tailored to individual employees.

On the other hand, Anderson and Oreilly (1981) posit that organisational theorists have long realised that, for an organisation to function and be effective, the resources and efforts of the participants must be directed toward a common goal. Their research on goal setting was put in the context of an organisational control system to explore the issue. Using a sample of 100 managers, the independent impact of goal setting (as one aspect of the organisational control system) on managerial satisfaction and performance was examined. The general hypothesis examined was that various aspects of an organisation control system, when functioning correctly, would independently contribute to increased managerial performance and positive job attitudes. Results indicated that goal setting was independently related to performance and satisfaction.

Furthermore, Carroll and Tosi (1973) present a research that used data from training and research (interviews and questionnaires) at Black and Decker in USA, starting in 1968 and following up 18 months later. They conclude that goal setting impacts performance more than feedback and participation because it made explicit that which was to be achieved.

This dissertation draws one major lesson from Roberts, Anderson and Oreilly and, Carroll and Tosi. This is that setting specific and challenging individual targets or goals impacts positively on performance and motivation/satisfaction. Bearing this in mind this study provides a Zambian experience with target setting in the civil service in terms of: the extent to which they (i.e. targets) have been established for individuals; whether they are achievable; whether individuals participated in creating them; availability of resources to meet them, and; whether individuals who did not meet their (performance) were penalised. In so doing, the study provides new insights as far as target/goal setting in the Zambia civil service is concerned.

Overall, the research findings presented in this section show an increased use of planning at both the strategic and departmental or individual level as well as goal

setting in the developed world. However, this does not mean that no changes have occurred in developing countries (especially in Africa). Developing countries in Africa such as Malawi, Uganda, Ghana, Botswana, Tanzania and Zambia (among others) have incorporated strategic planning and goal setting into their PMSs (Lungu, 2005; Byarugaba, 2005; Ngware and Bana, 2005; Bashe and Jongman, 2005; Bwalya, 2005). For instance, one of the key elements of the Results Oriented Management (ROM) approach introduced in the Ugandan public sector is target setting. Byarugaba (2005), in a paper presented at the 3rd Eastern and Southern African Consultative Workshop on Public Service Reforms, held in Arusha, Tanzania from 2nd-4th June, argues that ROM in Uganda has provided the opportunity for planning at strategic level and enabled managers across the public service to identify their contribution in the achievement of results. In addition, Bwalya (2005), also in a paper presented at the 3rd Eastern and Southern African Consultative Workshop on Public Service Reforms, held in Arusha, Tanzania from 2nd-4th June, reports that 35 percent of 198 public officials interviewed in Impact Assessment consultancy study of the PSRP and PSCAP in Zambia had performance targets against 65 percent who did not have them. Bwalya also argues that most of the public officials who had no performance targets were at Civil Service Grade II and below. However, the major weakness of this study is that it included provinces (such as Western, Southern and Copperbelt) that had not yet been restructured and let alone introduced strategic planning and target setting.

Therefore, this study took this as a point of departure and tried to assess the extent to which strategic plans and targets have been established and are adhered to using a stratified sample of 236 respondents from selected government ministries that have been restructured and had the PMP installed.

Performance Appraisal

Another important aspect of the PMS is performance appraisal which, according to Walsh (2003: 13), can be defined as ‘a process by which a superior evaluates and judges the work performance of a subordinate’. Walsh also stresses that performance appraisal system includes the processes and procedures involved

in implementing, managing and communicating the events involved in performance appraisal. In many cases, performance appraisal is a formal process and is a part of the personnel management policy (Walsh, 2003).

According to Carrol and Schneier (1982), many organisations employ a formal or informal assessment system that measures employee performance and contribution. Furthermore, Coens and Jenkins (2000) suggest that performance appraisal is a mandated process in which, for a specified period of time, all or a group of an employees' work behaviour or traits are individually rated, judged, or described by a rater and the results are kept by the organisation. Karol (1996) considers performance appraisal to include a communication event scheduled between a manager and an employee expressly for the purposes of evaluating that employee's past job performance and discussing relevant areas for future job performance.

A variety of other components may be included in the performance appraisal process. For instance, Landy and Farr (1980) presented a model of performance appraisal that included 13 interacting factors: position characteristics, organisation characteristics, the purpose of the rating, the rating process, scale development, the rating instrument, rater and rate characteristics, the observation and storage of performance data, the retrieval and judgment of that performance, analysis of this information, performance description and in the end, personnel action. Walsh (2003) postulates that regardless of the definition or the specific components included, performance appraisal in most organisations is required, formal and often structured. The process is generally defined to include an interview between the rater and ratee as well as performance documentation required by the formal evaluation system.

The above views show that there are different perspectives of what performance appraisal is or should constitute. However, this study adopts two views of performance appraisal that are more explicit. The first view is by Mohrman, Resnick-West and Lawler (1989) who argued that there are four activities in the performance appraisal cycle in organisations, which are: 1) defining what performance is or should be; 2) measuring and evaluating performance; 3) feeding

information about that performance back to the individual; and 4) providing information to other organisational systems that use it. The second perspective is by Latham and Wexley (1981) who listed similar requisite components as above but added a review of legal requirements, development of an appraisal instrument, selection and training of observers, and praise or reward for performance.

Despite general agreement about the theoretical value of performance appraisal, many are less enthusiastic about its practical value. In a study based on 11 supervisors in the USA, Roberts (1998) revealed a situation in which 10 of the 11 supervisors interviewed agreed in principle with many of the theories behind their performance appraisal process. However, only four of these same supervisors thought that their current system was effective, while seven indicated that they did not think the problems could be corrected even with more training or better resources. From these findings, it can be concluded that while many supervisors agreed with the theories behind performance appraisal, they are more skeptical about the practical application of those theories. This study, however, does have some weaknesses. The first weakness is that it fails to explain why the majority of the supervisors viewed their performance appraisal system as not being effective. Secondly, it is very difficult to generalise the findings which are generated from a very small sample size. Despite these weaknesses, the study by Roberts provides some useful insights to this dissertation on how employees view performance appraisal in practice. This study, therefore, focuses on investigating the links between the new annual performance appraisal system (APAS), as a component of the PMP, and the application of rewards, sanctions and training/skills development.

Stewart (1964), quoted by Bottomley (1983), in her investigation into performance appraisal in two private companies, found evidence which suggested that more supervisors than subordinates thought the interview was useful and that a major concern among subordinates was over the purpose of the appraisal interview. Stewart's contribution, though old and only based on two private companies, is relevant to this dissertation because it reiterates the importance of ensuring that everybody in an organisation understands the overall purpose of an appraisal system before its implementation. This is the first step to be undertaken by all managers as

they try to engage subordinates in the whole performance appraisal process. With this lesson in mind, this study, in an attempt to evaluate the implementation of the PMP in Zambia, explores the links between the performance appraisal system and use of rewards, sanctions, training and skills development schemes in order to manage performance.

Other researchers such as Taylor *et al* (1995), in their research based article entitled “Due Process in Performance Appraisal: A Quasi-experiment in Procedural Justice”, found that when supervisors and subordinates were trained in fair appraisal processes (encouraging subordinate participation, making appraisals based on evidence rather than personal biases), subordinates had significantly more favourable reactions toward the process than those who did not receive training.

Although this contribution can provide some useful lessons to this study regarding the impact of performance appraisal training on employees, it fails to specify what “favourable reactions” subordinates would have towards the performance appraisal process when they received training. More importantly, Taylor *et al* did not stress the fact that training also eliminates or reduces the biases and prejudices that the appraisers would otherwise bring into the appraisal process. In short, training makes the performance appraisal process to be less subjective. This can in turn lead to both supervisors and subordinates having positive attitudes and behaviour towards the appraisal system. Indeed, as Longenecker and Nykodym (1996:11) have argued, ‘performance appraisal training must focus on helping managers develop specific appraisal skills and confidence in their ability to effectively evaluate others . . . Appraisals without training often lead to ineffectiveness, frustration and dissatisfaction of those involved in the process’. This dissertation acknowledges the role that training plays in eliminating prejudices and biases in the performance appraisal process. However, the major focus in this dissertation is on the links that existed between the performance appraisal system (as one part of the PMP) and the application of rewards, sanctions, training and skills development programmes in the civil service in Zambia.

African countries have had their own experiences with performance appraisal. Some countries such as Botswana, Lesotho, Mauritius, South Africa,

Zambia and Zimbabwe have embraced change towards more objective performance appraisal systems (Kareli-Letsie, 2002). The Annual Confidential Reporting (ACR) systems that were subjective and based on personality characteristics are now continually being phased out.

In the case of Zambia, according to the findings of the Impact Assessment Study of the PSRP and PSCAP conducted in 2004, 50 percent of the 198 public officials interviewed were subjected to performance appraisal against 33.8 percent who reported that they were not (Department of Political and Administrative Studies, 2005). In addition, the National Governance Baseline Survey conducted in Zambia in 2002/2003 established that 32.9 percent of the civil servants countrywide had never been subjected to performance evaluation against 53.1 percent whose performance was evaluated once per year (GRZ, 2004). It is worth noting, however, that these studies included provinces outside Lusaka that had neither been restructured nor introduced APAS. Therefore, there was need to assess the extent to which APAS has been applied in ministries that had been restructured and where APAS had been introduced, and how it links with the reward, sanctioning, training and skills development systems. Hence, this research attempted to fill this gap in literature.

Participation, Commitment and Leadership

In respect to participation in the PMS, Roberts (1998), in a study on “Emerging issues in Performance Appraisal” in the USA, reports the finding that if top executives did not participate in PM training or if organisations did not use the system for executive-level workers or professionals, employees would be sent conflicting signals about the utility of the PMS. Lack of participation negatively impacts on the full employee acceptance of the PM process. Thus, it can be concluded that employee participation in the PMS is as instrumental in determining the long-term effectiveness and success of the system as are the mechanics and instruments of the system itself. Roberts goes on to argue that: a) any study of the impact of PMS must also take cognisance of the perception of workers to it; b) the creation of a good perception of the PMS can be guaranteed through the

involvement of top executives, and that; c) the PMS should not only be designed for senior executives but also for the ordinary workers who are expected to use the system to enhance performance and achieve better results for the organisation (Roberts, 1998).

The importance of employee participation is aptly exemplified by the case of Zimbabwe where, according to Mupazviriho (2002), the majority of employees in the civil service did not feel ownership of the PMS because they did not participate in its formulation and introduction. The PMS in Zimbabwe was introduced before the civil servants appreciated its tenets. The majority of them did not participate in decision-making and were largely not flexible in executing their duties.

Other researchers, such as Markowich (1994), have also supported the practice of actively involving employees in setting their own performance planning goals. In a journal article entitled “We can make Performance Appraisal Work” based on research in the USA, Markowich reported that out of all the components of a PMS (i.e. planning, coaching, feedback, and appraisal), the participation in planning portion received the highest levels of satisfaction from employees. This was due to the high level of subordinate participation in planning for performance such as goal/target setting, in which they were far more actively engaged as opposed to appraisal which is a more passive process for subordinates.

Participation of workers in (performance) planning not only increases ownership and acceptance of the performance management process but also increases the effectiveness of the process by setting clear standards for expected performance. This is perhaps one important lesson that can be drawn from Roberts, Mupazviriho and Markowich’s contributions. This dissertation, however, is, among others things, motivated by the fact that there is no known study that has attempted to investigate the effect of participation in the planning process in the PMS in Zambia.

On the other hand, according to the Centre for Business Performance (2005), the involvement of employees in the PMS is crucial. Inviting managers and employees to assist on the development of the system facilitates their buy-in, and enhances their trust, understanding and ownership of the performance measures and

the PMS as a whole. There is consensus around the benefits of making everyone participate in the development of measures. Involvement in the selection and definition of measures can reduce employees and managers resistance to performance management, and increase the usage level of performance measures (Centre for Business Performance, 2005).

Furthermore, Barden (2004) in a survey of performance improvement in the National Health System (NHS) in USA suggests that the most successful initiatives are not sophisticated schemes designed at the top level but those which were jointly designed by both senior managers and staff. Barden's research was intended to provide guidance on designing PMSs for the health service that could be "owned" and "valued" by all staff. PMSs which were simply imposed from the top were failing to deliver the radical changes required for a modern public service. According to Barden these findings could be seen as the basis for a new approach based on the democratisation of responsibility for organisational improvement.

Taylor and Pierce (1999), after conducting a longitudinal evaluation on the effects of introducing a PMS in a small government organisation in the USA, found that a significant change in employees organisational commitment occurred over the time that the PMS was implemented, with a substantial increase occurring within the performance planning/goal-setting phase, followed by a slight decay over the following year, but still ending higher than the pre-PMS baseline. Further, according to Juechter, Fisher and Alford (1998), any initiatives or programmes that an organisation embarks on (such as planning and goal setting) must be supported by the appropriate organisational culture. They observe that high performance organisations have strategic focus; a clear view of reality; commitment rather than compliance; and aligned behaviour. They also describe five conditions required to develop the organisational culture required to deliver lasting change and high performance. These are: a relevant focus; driven from the top but fuelled throughout; leader's commitment; comprehensive involvement; external coaches with the skills to guide and facilitate change.

The above studies by the Centre for Business Performance, Barden, Taylor and Pierce, and Juechter, Fisher and Alford provide some useful lessons or points

for this dissertation. Firstly, they highlight the importance of employee participation or involvement in creating trust, understanding, acceptance and ownership of the performance measures and the PMS, in general. Secondly, they stress the point that for the PMS to be effective there is also need for top management agreement, commitment and leadership on the strategy, goals, measures and performance targets to be implemented. Lastly, they also argue that participation or involvement in the PMS can reduce employee resistance to the system and guarantee its success. However, given the fact that there is little or no known published studies from Africa or Zambia, in particular, this study, in evaluating the PMP and its implementation in the Zambian civil service, also has a section on participation in the PMS.

Communication, Feedback and Coaching

Another area of concern in the PM process is effective communication, feedback and coaching. These are discussed below.

According to Kikoski (1998), good interpersonal communication between supervisors and subordinates is necessary for full participation to take place. Besides training supervisors in the technical aspects of the PMS, supervisors need to be trained in basic communication skills such as how and when to ask “open” and “closed” ended questions, how to paraphrase subordinate concerns and reflect their feelings (also known as “active listening”) and how to give clear feedback (Kikoski, 1998). In addition, Barden (2004) argued that the factor that most often correlates with successful PM was the extent to which front-line staff rated communications in their organisation as good or excellent.

This dissertation recognises the importance of effective communication in organisations and for the PMS. However, since nothing much has been written about the importance of communication in the PMS in Zambia, there was need to fill the gap that existed in literature by conducting research in the civil service. The focus in this dissertation, among others, is on the effects of communication on the implementation process of the PMP.

On the other hand, Sime (1999) argues that good feedback is necessary not only at an annual performance appraisal, but throughout the year as well. Unfortunately, supervisors and subordinates do not always share similar views on what constitutes good feedback and how frequently feedback should be given. In a study on emerging issues in performance appraisal in the USA, Roberts (1998) found that while most supervisors felt they were providing sufficient feedback, subordinates felt they were receiving insufficient feedback about their work. Another study by Antonioni (1994), investigating employee satisfaction with various components of the performance management process in the USA, found that the category of “Feedback and Coaching” received the least satisfactory ratings, which may have stemmed from a lack of organisational attention to this component. According to Antonioni, ongoing feedback is an integral aspect of the PMS.

The major lessons that could be drawn from Sime, Roberts and Antonioni are that giving feedback is an important aspect of PMS and should be given continuously. However, since much of this literature is from the developing world there was need to investigate the way feedback is applied in the PMSs of developing countries like Zambia. This dissertation, therefore, also tries to investigate whether feedback is given after appraisal.

Feedback contributes towards creating a performance culture in an organisation. Cook (2001) suggests that a high performance culture is created by effective feedback which combines reinforcing and questioning feedback. According to Cook, feedback can help a manager to maintain and improve his or her team members’ performance and, when well delivered, can play an important part in creating a high performance culture. Managers need to be aware of people’s reactions to feedback and deal with them appropriately in order to support change (Cook, 2001). This is an important point for this study because giving effective feedback can contribute towards the successful implementation of change efforts such as APAS and the PMP as a whole. The focus in this dissertation is, however, on whether feedback was given (in the Zambian civil service) after performance evaluation.

Coaching, on the other hand, is a leader initiated informal discussion designed to bring about a change in employee behaviour, attitudes or actions (Stowell, 1987). According to Seifert (1995), it is a way of empowering subordinates to contribute fully in the workplace. As Hillman *et al* (1990:20) have put it, while 'feedback indicates to staff how well they are doing on their performance expectations, coaching addresses how they can improve their performance'. The provision of effective feedback and coaching to members of staff is essential to good supervision. Feedback and coaching can be made more effective by the use of basic communication skills by the supervisor (Hillman *et al*, 1990).

The above studies are all quite relevant to this study because they argue that feedback in the PMS should be given continuously and not on an annual basis after one's performance has been appraised. Feedback is as an ongoing process and an integral aspect of the PMS since it provides information on whether or not actions on the job are according to expectations and also presents an opportunity for supervisors and subordinates to take corrective measures where necessary. Subordinates also need to be coached by managers so as to improve on their performance. Bearing this in mind, this dissertation presents additional information from the Zambian civil service (a developing country) in as far as communication, feedback and coaching in the PMS is concerned. More studies have been done in the western world than the developing world.

Conclusion

In conclusion, therefore, the literature reviewed shows that the PMS is a system that is often used to manage performance in an organisation which begins with planning of work and/or performance. It also includes motivating employees, coaching and provision of feedback, and performance measurement and evaluation. Literature has also shown that for the PMS to be successful there is need for employee participation or involvement and commitment in all its aspects. Top management agreement, commitment and leadership on the strategy, goals, measures and performance targets to be implemented were also highlighted as being important in guaranteeing the effectiveness of the PMS.

However, given the fact that no extensive studies or papers have been done in the field of PM in African, in general, and the Zambian context, in particular, it was imperative to fill that gap in literature. In fact, little has been researched or published on the introduction of performance management systems or the PMP in the Zambian civil service. The study, therefore, was largely based on original research combined with secondary data and set out to evaluate the PMP in the Zambian civil service using a stratified sampling method.

METHODOLOGY

The study, essentially, utilised both primary and secondary data collection methods. Primary and secondary data was collected using questionnaires and by consulting published and unpublished work by scholars or researchers, respectively.

Sampling Design

The stratified random sampling method was chosen from three randomly selected ministries, that is, Ministries of Local Government and Housing (MLGH), Agriculture and Co-operatives (MACO) and Finance and National Planning (MFNP), which had introduced the PMP. It also covered the Cabinet Office and Public Service Management Division (PSMD), the organs responsible for the overall co-ordination and/or implementation of the PMP.

The stratified sampling method was chosen because of the fact that the civil service, in Zambia, is stratified according to management levels, that is, top, middle and lower management. The principle behind stratified random sampling is to divide a population into different groups, called strata, such that each element of the population belongs to one and only one stratum. Then, within each stratum, random sampling is performed using either the simple or the systematic/interval sampling method (Frankfort Nachmias and David Nachmias, 1992). For this study the systematic/interval sampling method was used to select a sample from each ministry and institution covered in the study.

Sampling Frame

The document used a sampling frame was that prepared by PSMD entitled “Grading of Posts in Ministries and Provinces to Support Estimates of Expenditure for the Year 2004”. This frame lists all the positions in the entire civil service in Zambia.

Sample Size

A sample of 236 civil servants was drawn from the three selected ministerial headquarters (HQs) in Lusaka district, which had put in place the PMP, Cabinet Office and PSMD. 160 of these were drawn from MFNP and MACO (i.e. 80 from each), while 66 were sampled from MLGH. The remaining 10 came from Cabinet Office and PSMD. The study also aimed to interview two Performance Improvement Team members at each of the three ministries covered. However, only two were interviewed from MLGH. The sample distribution is shown in the table below.

Table 1.1: Sample Distribution by Ministry/Institution and Civil Service Grade

MINISTRY/INSTITUTION	CIVIL SERVICE GRADE			TOTAL
	I	II	III	
MACO	30	38	12	80
MFNP	32	44	4	80
MLGH	26	26	14	66
Cabinet Office	6	2	-	8
PSMD	1	1	-	2
TOTAL	95	111	30	236

Data Collection Instruments

A questionnaire containing both closed-ended and open-ended questions was used as a tool to gather the relevant primary data from civil servants in the sample. In addition, an interview guide containing open-ended questions was used to interview PIT members. Secondary data on the topic under investigation was

collected from already published documents and books, such as reports, journal articles, magazines, and workshop and seminar papers.

The semi-structured questionnaire was mainly used to collect data to determine the extent to which work plans and targets have been set and are adhered to, and establish whether performance appraisal was linked to the application of rewards, sanctions, training/skills development. The unstructured questionnaire, specifically designed for PIT members, was used to collect information pertaining to the implementation of the PMP in the ministries. Secondary data sources, on the other hand, were used to gather information on the key elements of the PMP and its implementation.

Data Analysis

The primary data collected was entered and analysed using the Statistical Package for the Social Sciences (SPSS Version 11.0), a software package for analysing data of primary nature. Secondary data was analysed manually by the researcher. Microsoft Word 2002 was used to type the dissertation and creation of the tables. Microsoft Excel 2002 was used to create the figures.

STUDY LIMITATIONS

There were a number of limitations that affected the study. Firstly, inadequate funding made it very difficult, if not impossible, for the researcher to hire a research assistant to help with data collection. The funds also came in late thereby affecting the time within which the research could be completed.

Secondly, there were foreign blank elements contained in the sampling frame. Certain sampled positions appearing in the sampling frame were found vacant during field visits due to retirements, resignation, deaths and the employment freeze that was slapped on the civil service in view of the HIPC initiative. Thirdly, there was the general difficulty in penetrating the civil service due to bureaucratic redtapism and lack of co-operation from some civil servants. Others refused to answer the questionnaire altogether while some could have given false answers. This made it very difficult to get information and documents from them even when permission was given at the highest level of the civil service.

LAYOUT OF THE DISSERTATION

In order to adequately address the subject under consideration the dissertation is divided into four distinct but related chapters. Chapter one being the introduction, gives the background information on the subject, outlines the objectives of the study and methodology used.

Chapter two, on the other hand, discusses Zambia's experience with public service reforms since independence while Chapter Three presents and analyses the findings. The last chapter goes further but focuses on the major achievements and challenges of the PMP, and provides the way forward.

CHAPTER TWO: THE CONTEXT OF THE PUBLIC SERVICE REFORM PROCESS IN ZAMBIA

INTRODUCTION

This chapter provides the argument for Public Service Reforms (PSRs) and presents a synopsis of the public sector reform efforts in Zambia from independence to date. The synopsis is necessary not only to show that the reforms in the public service started earlier than the 1990's but also to put the PSRP in its proper context. The aim of this chapter is to contextualise the topic in this dissertation and make known the public service reform (PSR) efforts of the past.

THE CASE FOR PUBLIC SERVICE REFORMS

Zambia got independence on October 24, 1964, and since then the size of the bureaucracy began to increase in order to meet the needs of a newly independent state in terms of public service provision. Zambianisation policies and the need to reward the so-called "freedom fighters" at that time also contributed to the increase in size of the civil service. In fact, the size of the civil service rose from 34,149 in 1965 to 98,331 in 1993, representing an increase of about 187 percent (Mataka, 1998).

The increase in size of the bureaucracy in Zambia however, did not correspond to the quality, effectiveness, efficiency and responsiveness in service delivery. Coupled with this, was the fact that the service was underpaid, had low morale and poor job satisfaction while the standards of discipline were seldom enforced. In addition, the public service was no longer able to attract and later retain qualified personnel on the labour market (SERVICE: A PSRP Bulletin Volume 3, Issue 1: March 2000). It was against this background and the fact that an efficient civil service was central to the development of the country that the PSRP was launched to address the weaknesses in the public service delivery system.

Not that nothing had been tried in the past to reduce the size and optimise the operational performance of the service. Since the 1970's various attempts were made to reduce the size of the civil service and improve its performance. In 1979, for example, following advice from the Breton Woods institutions, Cabinet Office

issued guidelines which proposed that there be a 50 per cent cut in the size of the public service. This was followed in 1983 (once again following advice from the International Monetary Fund [IMF] and the International Bank for Reconstruction and Development [IBRD/World Bank]) by the appointment of an Administrative Committee of Inquiry, which recommended a substantial reduction in the number of staff. This was after the Committee discovered that the public service had in fact become even bigger. It was also noted that there was no rational link between the performance of the bureaucracy and escalating volume of resources that were expended in running the civil service on an annual basis. The Government however, balked at implementing the proposed measures for fear of triggering a violent backlash (SERVICE: A PSRP Bulletin Vol. 3 Issue 1: March 2000).

In 1985, there was yet another commission of inquiry to look into the salaries, structure and conditions of service, whose final report proposed that the staff reductions recommended in 1983 be implemented without fail. 'Unfortunately, all these efforts came to naught, partly because of the lack of political will to "get on with it", or the lack of resources to implement the recommendations, which in itself implied wastage of the little available resources' (SERVICE: A PSRP Bulletin Vol. 3 Issue 1: March 2000:1). Furthermore, these measures did not succeed due to unsystematic approach to implementation. It therefore, became apparent that more fundamental changes were required to meet the broad-based demands on the public service for greater responsiveness, effectiveness and efficiency.

To have the plans on paper is one thing and to implement them quite another. The net result of failure to implement the proposals was that the service instead grew in numbers and expenditure for personnel emoluments, which government could hardly sustain, rose in leaps and bounds.

THE PUBLIC SERVICE REFORM PROGRAMME (PSRP)

It was only after the Movement for Multiparty Democracy (MMD) came into power and formed government in 1991 that serious efforts were made at reforming the public sector. From 10th to 14th February 1992, the MMD Government convened in Livingstone a week- long workshop of senior public

servants, interested citizens and donors, where extensive discussions and analysis took place on how to decrease the cost and improve the productivity of government. From the workshop came a comprehensive draft plan for reforming the public service (GRZ, November 1993).

A second workshop for senior public servants titled “Managing Change in the Public Service” was convened in Ndola in July 1992, where the draft Public Service Reform Plan was further discussed and refined. The Ndola report formed the basis of the PSRP Proposal submitted to the Secretary to the Cabinet in September 1992. The proposal, after undergoing some modifications and consolidation, was approved by government and on March 8, 1993, the Secretary to the Cabinet issued a press release, and subsequently a Public Service – wide circular, announcing that government had passed the Public Service Reform Programme. The programme was homegrown and the donors were willing to help fund its implementation (GRZ, November 1993).

The PSRP was thus, immediately launched in November 1993 in order to improve the operation of the public service in terms of service delivery, personnel management and financial administration. With the advent of the Third Republic came the urgent need for the Government to provide a more enabling environment for the socio-economic development of Zambia. This necessitated the furtherance of steps already taken to define a Public Service Reform strategy that would transform the civil service and local authorities.

The main goal of the PSRP was to improve the quality, delivery, efficiency, and cost-effectiveness of public services to the people of Zambia. Its objectives were as follows:

- i. To improve Government capacity to formulate, implement and analyse national policies for social and economic development.
- ii. To enhance ministerial capacities to effectively manage public expenditure and meet fiscal stabilisation objectives, and;
- iii. To make the public service efficient and responsive to the needs of the country’s population (GRZ, November 1993; GRZ, May 1999).

In order to achieve these objectives, the PSRP launched in 1993 had three major components, namely:

- 1) Restructuring of the Public Service
- 2) Management and Human Resource Improvement (Capacity Building)
- 3) Decentralisation and Strengthening of Local Government (GRZ, November 1993).

The objectives were to be achieved using the following strategies:

- a) Rationalisation of roles, functions and staffing levels, through a three-stage process of Management Audits, Strategic Planning, and Development of Structures and Determining Staffing Levels. This also included determining some functions redundant and abolishing certain posts.
- b) Hiving-off non-core government activities, to be commercialised, privatised or abolished.
- c) Introduction of Performance Management Systems for improving efficiency, effectiveness and accountability in the public service.
- d) Decentralisation - which involves the strengthening of capacities in the service delivery at the points of delivery (GRZ, November 1993; GRZ, May 1999).

These measures were meant to redefine the role of government, by divesting itself from direct production of goods and services, reducing its roles and functions to affordable levels and providing an environment in which the private sector would fully participate. This meant reducing the size of the public service to manageable levels within the fiscal requirements.

Component 1: Restructuring

This was aimed at streamlining and rationalising the structures and operations of ministries, departments and provinces. The restructuring was preceded by the development of strategic plans for each ministry.

Apart from determining the staffing levels in ministries and departments, restructuring abolished redundant positions in the concerned ministries. It also identified those core functions, which the government had to perform while hiving-

off those departments, or non-core services, which could be performed by semi autonomous institutions but operating under the umbrella of ministries. An Act of Parliament normally supports the operations of such institutions. The other factors taken into account in hiving-off departments was that the autonomous institutions so created should run more efficiently without the red tape and bureaucracy associated with government departments while at the same time they would be able to raise greater proportion of their operational expenses thereby reducing government expenditure (GRZ, November 1993; GRZ, May 1999).

To-date 19 ministries out of 21 and 16 out of 17 institutions including Cabinet Office, Public Service Management Division (formerly Personnel Division) and Office of the Vice-President have had their structures approved (Department of Political and Administrative Studies, 2005). Four departments were hived off namely; The Department of National Parks and Wildlife Services to form Zambia Wildlife Authority (ZAWA); the Department of Technical Education and Vocational Training (DTEVT) to form Technical and Vocational Education Training Authority (TEVETA); National Institute of Public Administration (NIPA), and; the Registrar of Companies and Patents.

The government provided K74 billion in 2000 to pay terminal benefits and pension gratuities for all workers who were removed from the government payroll by 31st December 1999 (SERVICE: A PSRP Bulletin Vol. 3 Issue 1: March 2000). 'Although money was made available to pay all the separated workers, there were delays in paying all the workers because of the procedures involved' (SERVICE: A PSRP Bulletin Vol. 3 Issue 1: March 2000:6). Restructuring of the ministries resulted in the net abolishment of about 15,000 redundant posts and of these positions 5,000 were realised through the hiving-off of non-core function (GRZ, May 1999).

Despite these efforts, there was no tangible reduction in the number of civil service employees resulting from the implementation of the programme due to the following problems: (a) lack of adequate resources which led to delayed implementation of the programme; (b) leadership and accountability for effective programme co-ordination was fragmented amongst various institutions resulting in

the delays in making critical decisions and implementation; (c) given the size and importance of the programme, the time frame for implementation was short and unrealistic; (d) inadequate consultations with workers representatives resulting in an unshared vision; (e) failure of the programme to take into account macro-economic environmental factors that adversely affected its implementation; (f) inadequate information flow regarding the implementation, and; (g) political and administrative resistance to reform (GRZ, May 1999).

Component 2: Capacity Building

This component, which logically follows the restructuring, aims at putting in place management system processes and procedures to improve organisational and individual performance in the restructured ministries and departments. The main activities falling under this component are:

- 1) Development of result oriented Job Descriptions and Specialisations.
- 2) Developing and installing Performance Management Package (PMP), which basically involves work planning, and target setting. The work plans would eventually be the basis upon which Ministerial and departmental annual budgets from the Treasury would be developed.
- 3) Installation of the Annual Performance Appraisal System (APAS), which is results oriented.
- 4) Process engineering systems and operations.
- 5) Re-orienting the culture of organisations.
- 6) Institutionalising Strategic Management.
- 7) Putting in place Payroll Management and Establishment Control Systems.
- 8) Improving financial and accounting procedures and enhancing skills in this area.
- 9) Developing and putting in place effective management information systems for effective decision making, and
- 10) Putting in place skills-gap based training in various ministries and departments.

By April 2004, 12 ministries and 5 institutions had the PMP and APAS installed (Department of Political and Administrative Studies, 2005). In addition, the government working with the World Bank developed the Public Service Capacity Building Project (PSCAP) funded through World Bank Credit to push forward capacity building activities in the government. The loan that provided substantial finance to the tune of US\$28 million was approved by the International Development Association (IDA) Board of Directors in Washington and activities under the project commenced by June/July 2000 (SERVICE: A PSRP Bulletin Vol. 3 Issue 1: March 2000).

Component 3: Decentralisation and Strengthening of Local Government

The aim of this component is to support the implementation of the decentralisation of appropriate government functions and operations from the central government to the provinces and districts. The main activities under this component are to develop a decentralisation policy and build capacity in the local, district and provincial functions that would be decentralised. (SERVICE: A PSRP Bulletin Vol. 3 Issue 1: March 2000). Cabinet has since approved the decentralisation policy and the Ministry of Local Government and Housing is responsible for implementing it.

PSRP INSTITUTIONAL FRAMEWORK

The overall responsibility for the effective implementation of the PSRP lies with the Secretary to the Cabinet as Head of the Civil Service. However, the Permanent Secretary, Management Development Division (MDD) in Cabinet Office is in charge of the day-to-day management and co-ordination of the programme. The staff at MDD plays a facilitatory role in the introduction, installation and implementation of the various components of the PSRP (Mataka, 1998).

There is also an Inter-Ministerial PSRP Technical Committee comprising 12 Permanent Secretary and chaired by the Deputy Secretary to the Cabinet which provides technical co-ordination and guidance. At ministerial level, there are Ministerial PSRP Implementation Committees and Performance Improvement Teams to ensure that all the staff in the ministries not only understand and accept

the nature and content of the various aspects of the PSRP, but also actively participate in the process of reforming their organisations. These committees comprising senior and middle level management and technical personnel are also responsible for spearheading the PSRP process internally, including seeking out the support of the MDD where necessary. At provincial level, there are Provincial PSRP Implementation Committees with similar functions as the Ministerial PSRP Implementation Committees. All these committees report to their Permanent Secretaries who then liaise with and accordingly brief respective ministers (Mataka, 1998).

THE PSRP 2000

As a result of failure to reduce the size of the civil service during the 1993-1996 period, personal emoluments and allowances continued to take a large proportion of the government's budget thereby reducing recurrent departmental charges. In addition, the salary scales were compressed resulting in wages of senior managers being too low to recruit, retain and motivate good quality staff.

In order to address these issues the government reviewed the PSRP in July 1997 and focused on reducing its wage bill from K231 billion in 1997 to K180 billion per annum by 2002 (GRZ, May 1999). This was to be achieved through the reduction in the size of the civil service from 139,000 in June 1997 to 80,000 by the end of 1999 using strategies such as: staff recruitment freezes; retrenchment; reduction of pensionable staff; implementation of an establishment and payroll control system; identification of ghost workers; termination of recent hires and those over 55 years of age; enforcement of a wage freeze for one year up to the end of 1998; further ministerial reviews in order to further reduce the approved establishments, and; monitoring of attrition levels in relation to the recruitment freeze. As such, by the end of April 1999 the following achievements were made: (a) about 16,000 CDEs were retrenched; (b) hiring freeze was introduced and was still in force by May 1999; (c) a voluntary separation package was developed for pensionable staff and about 2,000 civil servants volunteered and these were expected to be separated by the end of July 1999; (d) a development plan on

establishment and payroll control system has been prepared, and; (e) an attrition monitoring system is currently in place. Monthly reports on national attritions are produced, and this together with the recruitment freeze contributes to the net reduction in the size of the civil service (GRZ, May 1999).

A number of problems affected the implementation of the revised PSRP and these are presented below. First, the target figure of 80,000 employees to be retained in the public service was unrealistic, as it did not take into account the requirements of the three large ministries, i.e. Health, Home Affairs (Police and Prisons) and Education, which constituted about 60 per cent of the public service. Hence, by 2003 the number of government employees had risen to 120,000, the figure which stood up to the end of 2004 (Department of Political and Administrative Studies, 2005). Second, was the fact that there were insufficient financial resources available to effectively compensate those to be separated. Thirdly, was the discovery that most recent hires identified for separation were qualified and/or experienced staff, and untrained teachers who were still needed (GRZ, May 1999).

Fourthly, there was no fully developed system of establishment and payroll control to facilitate the implementation of the programme in the public service. And the last but not the least important problem was the fact that the voluntary separation package did not yield the desired numbers because of being unattractive particularly for employees who served for a period of more than ten years.

In addition to the above problems, despite the substantial reduction in the numbers of employees on the payroll there was no reduction in the wage bill partly because there were no corresponding internal controls in financial management (GRZ, May 1999). According to the Impact Assessment Study of the PSRP and PSCAP conducted in 2004, there has been no reduction in the nominal wage bill. The study reports that while the wage bill was K178 billion in 1995, it increased to K888 billion in 2001, K1,301.98 billion in 2002, K1,728 billion in 2003, K1,912.50 billion in 2004 and K2,317.08 billion in the 2005 budget (Department of Political and Administrative Studies, 2005).

The goal of PSRP 2000 is to create an affordable, efficient, effective and responsive Public Service that will provide quality and cost-effective services to the people of Zambia. The PSRP 2000 has eight objectives, and these are:

- 1) Right sizing of the Public Service.
- 2) Strengthening Establishment and Payroll Controls.
- 3) Enhancement of Human Capacity and Motivation.
- 4) Strengthening Financial Management Systems.
- 5) Monitoring of Service Delivery Performance.
- 6) Strengthening Policy Implementation.
- 7) Enhancement of Transparency and Accountability.
- 8) Decentralisation and Strengthening of Local Government System.

SUMMARY

Various attempts were made in Zambia since independence, particularly from the 1970's, to reduce the size of the public and/or civil service and improve its performance. However, it was only after the MMD government assumed office in 1991 that the reform efforts came to fruition. The PSRP, launched by the MMD government in November 1993, tried to address the weaknesses in the public service delivery system. Its main goal was to improve the quality, delivery, efficiency, and cost-effectiveness of the public service to the people of Zambia -through restructuring of the public service, management and human resource improvement (capacity building), and decentralisation and strengthening of local government.

The PMP is part and parcel of the PSRP, and was introduced in order to emphasise on performance as one way of improving the way ministries were delivering services to the public and improving the performance of workers on the job (ibid). An open Annual Performance Appraisal System (APAS) was incorporated into the PMP and placed in the wider context of performance management linking the ministerial strategic planning process, goals and objectives to each departments work plan and down to individual work plans.

The implementation of the PSRP (in general), however, has had certain *instructive lessons. These, among others, include the lack of adequate resources thus*

delaying the implementation process. Despite this, there is need to realise that PSRs are an on-going process or activity and not a one-off event. The next chapter narrows down to concentrate on the aspects of the PMP in the Zambian civil service.

CHAPTER THREE: PRESENTATION AND ANALYSIS OF THE FINDINGS

INTRODUCTION

This chapter discusses the PMP implementation process in the Zambian Civil Service focusing on its key aspects which are: work planning, target setting and APAS. These are looked in terms of the extent to which they have been developed and set for individuals and departments (in the case of work plans). The chapter also analyses the extent to which work plans are followed or adhered to. In addition to this, the chapter investigates how APAS in the Zambian civil service relates to the application of rewards, sanction, training and skills development programmes. The last section before the conclusion discusses the progress that has been made in the implementation of the PMP. However, since strategic plans act as guides from which ministerial, departmental and individual work plans are drawn, the chapter begins by discussing the process of strategic planning in the civil service.

STRATEGIC PLANNING IN THE ZAMBIAN CIVIL SERVICE

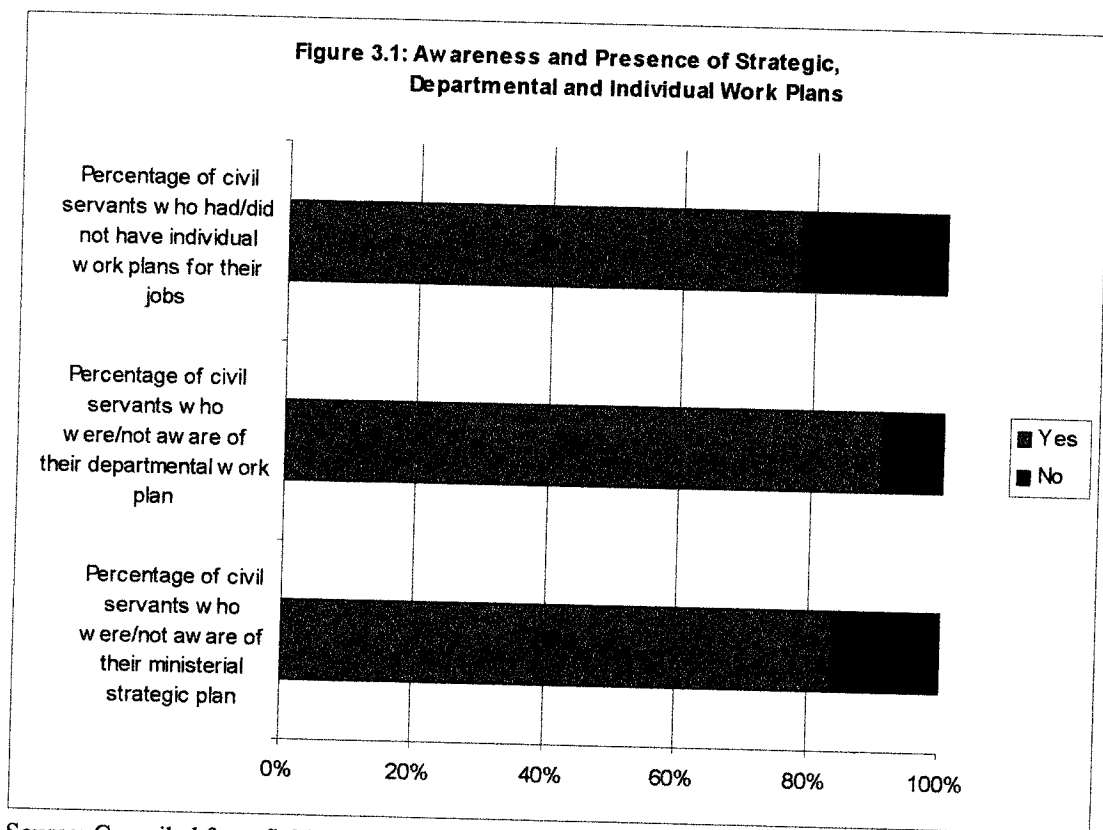
Work planning in the civil service begins (as mentioned above) with the process of strategic planning. Strategic planning provides the broad guidelines stating the vision, mission, goals and objectives of a ministry, which are to be translated into operational plans by each department, unit and/or individual workers. In the Zambian civil service, strategic planning was introduced in the second half of the 1990's and currently most ministries were experiencing a second generation of their strategic plans. As such, the awareness level of strategic plans was high at 83.9 percent among the 236 civil servants interviewed (see Figure 3.1 below).

Secondly (as shown in Figure 3.1 below), 90.7 percent of the civil servants interviewed indicated that they were aware of their departmental work plans. And of these, 95.8 percent fell in Grade I of the civil service grade system while 87.4 and 86.7 percent were in Grade II and III, respectively (see Table 3.1 below).

Generally, this shows that awareness levels of strategic plans were relatively high among civil servants in the ministries and institutions visited. Awareness levels

were, however, higher when it came to departmental work plans. In fact, civil servants who fell in Grade I were more aware of their departmental work plans than those who were in Grade II and III, respectively. This is mainly because civil servants in Grade I were more exposed to the happenings of the civil service by virtue of the higher positions they occupied.

Civil servants are more likely to be aware of matters affecting their department or unit than those affecting the entire ministry due to the proximity of the former to employees than the latter. This could have accounted for the increase in awareness levels from 83.9 percent for strategic plans to 90.7 percent for departmental work plans. Those who were not aware of their ministry's strategic and departmental work plans gave lack of sensitisation or information as the sole reason.



Source: Compiled from field survey data

Thirdly, 78 percent of the 236 civil servants interviewed had work plans created for their current positions while the remainder did not have them (see Figure

3.1 above). And out of all those who had work plans 91.6, 73 and 53.3 percent were in Grade I, II and III, respectively (also see Table 3.2 below). Comparatively, this shows that more work plans have been created for workers in Grade I than for those who fell in Grade II and III, respectively.

Table 3.1: Awareness of Departmental Work Plans by Grade

GRADE	Are you aware of your department's work plan?				TOTAL	
	YES		NO			
	<i>f</i>	%	<i>f</i>	%	<i>f</i>	%
I	91	95.8	4	4.2	95	40.3
II	97	87.4	14	12.6	111	47
III	26	86.7	4	13.3	30	12.7
TOTAL	214	90.7	22	9.3	236	100

Source: Compiled from field survey data

Table 3.2: Presence of Individual Work Plans by Grade

GRADE	Do you have a work plan for your current position?				TOTAL	
	YES		NO			
	<i>f</i>	%	<i>f</i>	%	<i>f</i>	%
I	87	91.6	8	8.4	95	40.3
II	81	73	30	27	111	47
III	16	53.3	14	46.7	30	12.7
TOTAL	184	78	52	22	236	100

Source: Compiled from field survey data

Civil servants who did not have work plans claimed that their nature of work did not require work plans – a notion which is not necessarily true given the fact that a work plan can be developed for any job so as to guide the jobholder in performing his or her duties. Further investigation of this group of respondents who had no individual work plans revealed that there were mostly typists, stenographers and clerical staff who were in grade III, whose work could still be planned for. However, in other cases (though quite insignificant) it was reported that there were no departmental work plans from which individual work plans could be derived.

Furthermore, Table 3.3 below shows that 72.9 percent of the civil servants interviewed had targets set for their current positions while 26.3 percent did not. In

addition, 81.1 percent of those who had job targets were in Grade I against 69.4, and 60 percent who were in Grade II and III, respectively.

Table 3.3: Extent to which Targets have been set for Individuals by Grade

GRADE	Have targets been set for your current position?						TOTAL	
	YES		NO		NA/NR			
	<i>f</i>	%	<i>f</i>	%	<i>f</i>	%	<i>f</i>	%
I	77	81.1	18	18.9	-	-	95	40.3
II	77	69.4	32	28.8	2	1.8	111	47
III	18	60	12	40	-	-	30	12.7
TOTAL	172	72.9	62	26.3	2	0.8	236	100.0

Source: Compiled from field survey data

Therefore it can be deduced from the above that targets have been created for the majority of the jobholders in the ministries and institutions covered by this study. However, as in the case for individual work plans, more civil servants in Grade I had targets set for their jobs than those in Grade II and III.

The civil servants who did not have targets set for their jobs cited the following as the causal factors: (i) lack of seriousness by management and supervisors to develop targets for everyone; (ii) ministries being unsure of what these targets should be, and; (iii) lack of individual or departmental plans from which targets for individual workers could be developed.

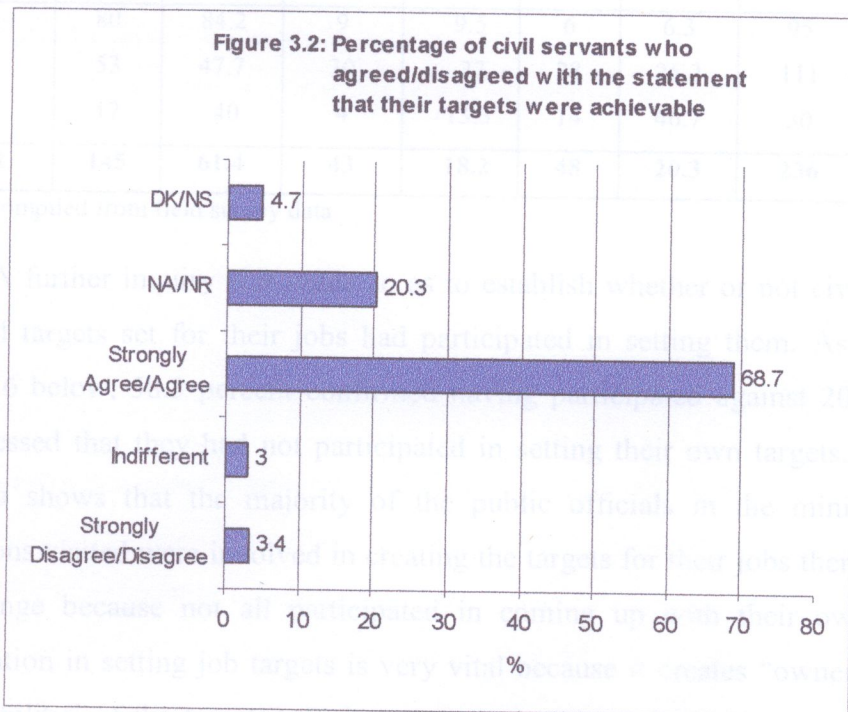
Further, according to Figure 3.2 below, 68.7 percent of the civil servants who had targets set for their jobs stated that the targets were achievable or attainable as compared to only 3.4 percent who claimed otherwise. However, the majority of them (i.e. 62.7 percent) stressed that their ministry had inadequate resources to meet those targets and that seriously threatened service delivery (see Table 3.4 below). Some civil servants claimed that they often failed to meet the targets set for their jobs because of constantly being given extra work by the superiors. Others argued that constant pressure from the political cadre to do “other work” (i.e. ministers and deputy ministers) often made it very difficult for them to meet their job targets. Such a scenario created an opportunity for underperforming civil servants to easily justify their low performance thus making it very difficult for supervisors or

managers to effectively manage performance, appraise employee performance and recommend further action after conducting appraisals.

Table 3.4: Frequency distribution of civil servants who reported that their ministry or institution had/did not have adequate resources to meet the targets that had been set

RESPONSE	<i>f</i>	%
Yes	82	34.7
No	148	62.7
DK/NS	6	2.5
TOTAL	236	100.0

Source: Compiled from field survey data



Source: Compiled from field survey data

Participation in creating Work Plans and Targets

Participation in formulating individual work plans is key in creating ownership and acceptance of the process. As such, 61.4 percent of the 236 respondents reported that they participated in formulating their work plans against 18.2 percent who indicated that they did not participate (see Table 3.5 below).

Furthermore, 84.2, 47.7 and 40 percent of these were in Grade I, II and III, respectively. Participation seemed to be higher for officials who were in Grade I than for those who were in Grade II and III, respectively. Although participation in creating work plans was high among the civil servants interviewed there was still a work culture inherent in the Zambian civil service, whereby orders and/or decisions are just given from the top. This culture works against the effective implementation of the new PMS which puts emphasis on the participation or involvement of all employees in the work planning process.

Table 3.5: Participation in creating Individual Work Plans by Grade

GRADE	YES		NO		NA/NR		TOTAL	
	<i>f</i>	%	<i>f</i>	%	<i>f</i>	%	<i>f</i>	%
I	80	84.2	9	9.5	6	6.3	95	40.3
II	53	47.7	30	27	28	25.2	111	47
III	12	40	4	13.3	14	46.7	30	12.7
TOTAL	145	61.4	43	18.2	48	20.3	236	100

Source: Compiled from field survey data

A further inquiry was made so as to establish whether or not civil servants who had targets set for their jobs had participated in setting them. As shown in Table 3.6 below, 58.5 percent confirmed having participated against 20.3 percent who stressed that they had not participated in setting their own targets. Although this data shows that the majority of the public officials in the ministries and institutions visited were involved in creating the targets for their jobs there was still a challenge because not all participated in coming up with their own targets. Participation in setting job targets is very vital because it creates “ownership” and “acceptability” of the targets which consequently stimulates positive attitudes and behaviours necessary for the achievement of the set targets.

Further, 76.8 percent of the respondents who had participated in setting their own targets were in Grade I, as shown in Table 3.6 below. On the other hand, only 49.5 and 33.3 percent of civil servants who were in Grade II and III, respectively, claimed to have participated in setting their job targets.

This data illustrates the fact that participation in the development of targets for individuals was more for civil servants who were in Grade I than for those who were in Grade II and III, respectively. Similarly, participation was also more for those in Grade II than for those in Grade III. This can be attributed to the current work culture in the civil service today where there is less involvement of subordinates in the planning of work and setting of job targets.

Nonetheless, the above data illuminates the fact that in the majority of the cases most civil servants interviewed had participated in creating targets for their jobs. However, there was still a challenge faced because about 20 percent of the respondents had not participated in developing their job targets and this was likely to affect the “ownership” and “acceptability” of the targets.

Table 3.6: Participation in creating targets by Grade

GRADE	Did you participate in setting targets for your current position?						TOTAL	
	YES		NO		NA/NR			
	<i>f</i>	%	<i>f</i>	%	<i>f</i>	%	<i>f</i>	%
I	73	76.8	8	8.4	14	14.7	95	40.3
II	55	49.5	30	27	26	23.4	111	47
III	10	33.3	10	33.3	10	33.3	30	12.7
TOTAL	138	58.5	48	20.3	50	21.2	236	100.0

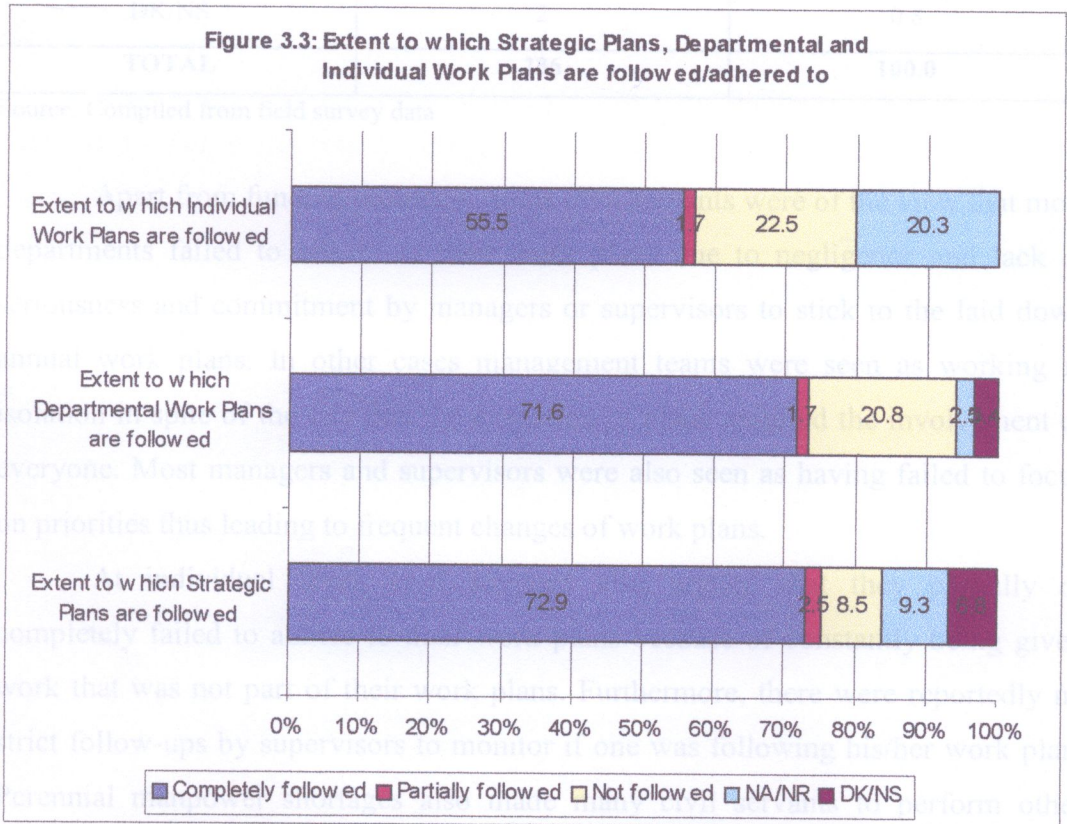
Source: Compiled from field survey data

Adherence to Strategic, Departmental and Individual Work Plans

Figure 3.3 below shows that 72.9 percent of the respondents reported that their ministry completely followed their strategic plan as compared to only 2.5 and 8.5 percent who indicated that the strategic plans were partially and not followed, respectively. Secondly, although the majority of the respondents (i.e. 90.7 percent) were aware of their departmental work plans (as shown in Figure 3.1), 20.8 percent indicated that their departmental work plans were not followed at all against 71.6 and 1.7 percent who reported that their departments “completely” or “partially” followed the work plans, respectively. Thirdly, in spite of the fact that 78 percent of the civil servants interviewed had individual work plans and were of the view that their work plans were clear and easy to follow, only 55.5 percent indicated that they

completely followed them. Percent responses of those who said that they partially or did not follow their work plans at all were 1.7 and 22.5 percent, respectively (see Figure 3.3 and Table 3.7 below).

Individuals seemed to be more accurate with information pertaining to their own work plans than their departments or ministries, thus accounting for the drop in reported adherence levels of strategic plans (at 72.9 percent) to individual work plans (at 55.5 percent), as shown in Figure 3.3 below.



Source: Compiled from field survey data

Inadequate and often erratic funding to ministries and institutions was cited as the major reason for failure to adhere to strategic, departmental and individual work plans. Following this was the inability to align funding to laid down activities and the general mismanagement of resources by officials in the government ministries and institutions. Thirdly, some civil servants argued that there were frequent changes in their priorities due to political influences. Others, however,

attributed the failure to adhere to laid down plans to unforeseen circumstances, such as emergencies and/or disasters.

Table 3.7: Frequency distribution of civil servants who indicated that Work Plans were/not clear and easy to follow

RESPONSES	<i>f</i>	%
Agree	184	78.0
Disagree	8	3.4
NA/NR	42	17.8
DK/NS	2	0.8
TOTAL	236	100.0

Source: Compiled from field survey data

Apart from funding problems, some civil servants were of the view that most departments failed to adhere to their work plans due to negligence and lack of seriousness and commitment by managers or supervisors to stick to the laid down annual work plans. In other cases management teams were seen as working in isolation in spite of the fact that the execution of plans required the involvement of everyone. Most managers and supervisors were also seen as having failed to focus on priorities thus leading to frequent changes of work plans.

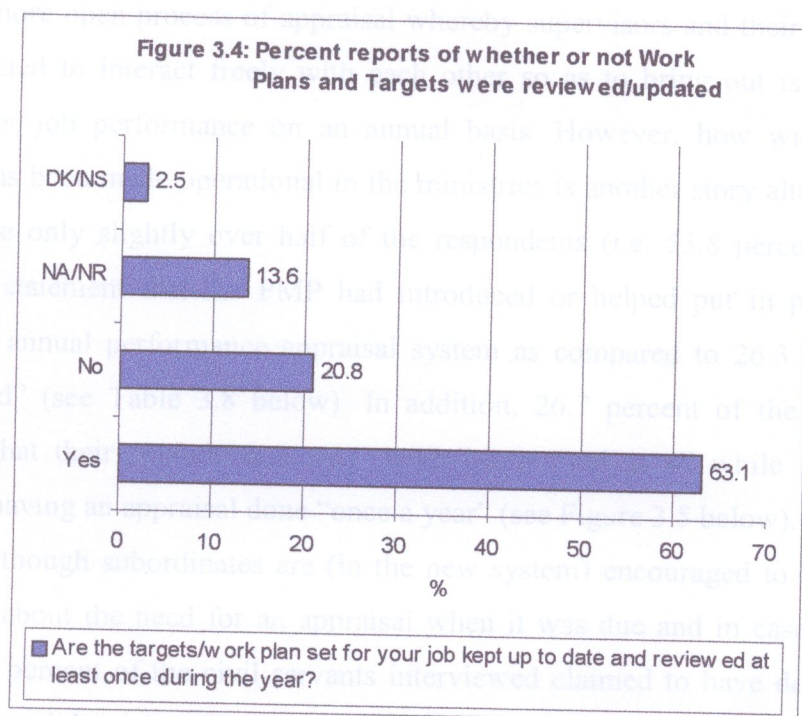
At individual level, civil servants also argued that they partially or completely failed to adhere to their work plans because of constantly being given work that was not part of their work plans. Furthermore, there were reportedly no strict follow-ups by supervisors to monitor if one was following his/her work plan. Perennial manpower shortages also made many civil servants to perform other and/or extra functions resulting in failure to attend to their own work plans (Field data). The reasons given here shade some light on some of the problems the implementation of the work planning process is facing in the ministries and institutions visited.

Up-date and Review of Work Plans and Targets

Since the work environment is ever changing, work plans and targets have to be kept up to date and reviewed so as to adapt to the changing circumstances. This

should also be the case for training and development plans that need to be re-oriented to suit the changes that may have or may be taking place.

In line with this, respondents were asked to state whether the targets/work plans set for their jobs were kept up to date and reviewed at least once during the year, and the findings show that 63.1 percent of the 236 respondents gave a positive response while 20.8 percent responded negatively (see Figure 3.4 below). The failure to update and review targets/work plans reported by 20.8 percent of the respondents was attributed to the perennial problem of inadequate funding of ministries and government institutions. In most cases no meetings were held at all to review targets and work plans. Other respondents still pointed to the fact that there was a lot of inertia and lack of seriousness by managers and supervisors to review set targets.



Source: Compiled from field survey data

All in all, the data presented herein indicates that reviews were at least carried out in the majority of the cases (i.e. 63.1 percent). This made it possible for targets and work plans to be re-aligned with the changes that were taking place within and without the ministries and departments. However, there is still a

challenge because of the fact that targets and work plans were not amended during or within the year in some cases (i.e. about 20 percent). The common practice was that of carrying over targets not met to the following year even though the current budgeting system did not allow for ministries and institutions to carry over financial resources that were saved or not utilised during the year.

APPRAISING PERFORMANCE IN THE CIVIL SERVICE

Appraising the performance of employees allows managers or supervisors to gauge both the present and future performance of the employees and make a decision on who needs a salary award, promotion, training/skills development or disciplinary action taken against him/her.

The new performance appraisal system introduced in the Zambian civil service known as the Annual Performance Appraisal System (APAS) has brought about a more open process of appraisal whereby supervisors and their subordinates are expected to interact freely with each other so as to bring out issues that are crucial for job performance on an annual basis. However, how widespread the system has been made operational in the ministries is another story altogether. This is because only slightly over half of the respondents (i.e. 53.8 percent) “agreed” with the statement that the PMP had introduced or helped put in place a more objective annual performance appraisal system as compared to 26.3 percent who “disagreed” (see Table 3.8 below). In addition, 26.7 percent of the respondents stressed that their performance was “never” appraised at all while 58.9 percent reported having an appraisal done “once a year” (see Figure 3.5 below).

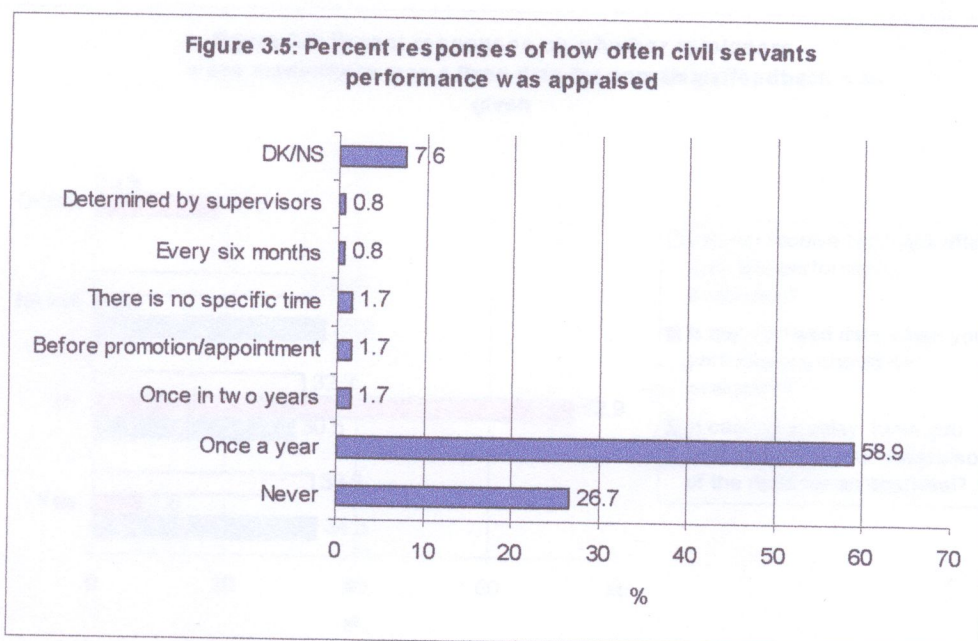
Although subordinates are (in the new system) encouraged to remind their superiors about the need for an appraisal when it was due and in case of a delay, only 34.3 percent of the civil servants interviewed claimed to have done so while 30.5 percent did not (see Figure 3.6 below). Figure 3.6 also shows that 72.9 percent of the respondents “disagreed” with the statement that there was a fixed date when their performance should be evaluated, when in actual fact the date was fixed for each worker. This indicates that the majority of the civil servants interviewed did not seem to know when their performance appraisal was due making the application

of the new performance appraisal system in the civil service to be haphazard and inconsistent.

Table 3.8: Number of civil servants who agreed/disagreed with the statement that the PMP has helped to introduce a more objective APAS

RESPONSE	<i>f</i>	%
Agree	127	53.8
Indifferent	21	8.9
Disagree	62	26.3
DK/NS	26	11
TOTAL	236	100.0

Source: Compiled from field survey data

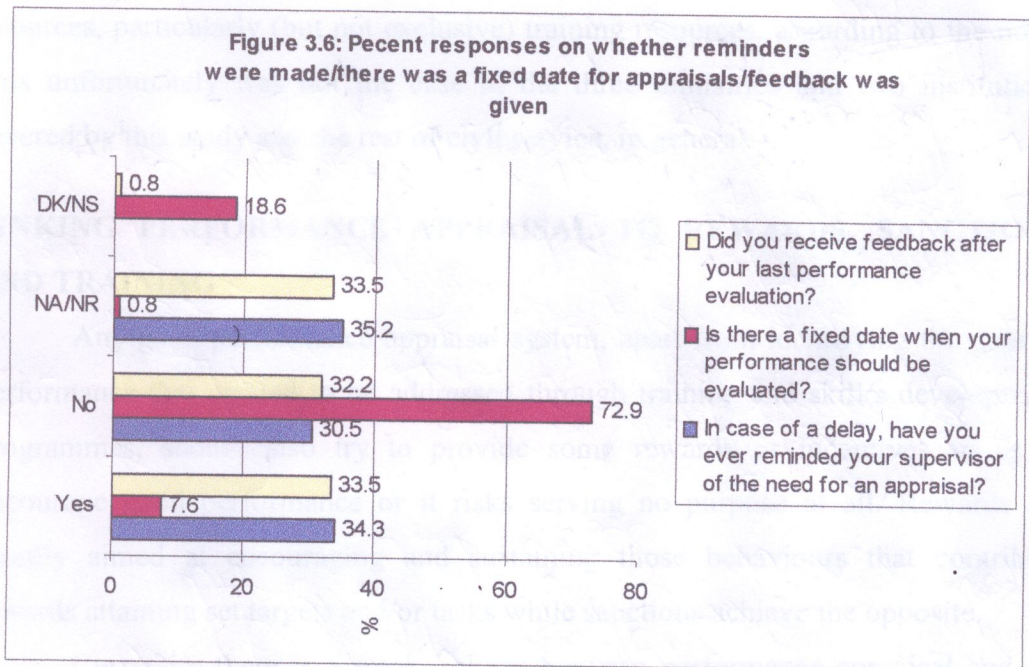


Source: Compiled from field survey data

The Zambian government has, however, come up with a method of informing individual civil servants when they were due for an appraisal by including the date on their pay slips as part of the new payroll management and establishment control project. This was designed to make the process more transparent and consistent. An examination of the civil servants pay slips revealed that each employee's performance was to be appraised at least once in a year. For example, when one joined the civil service on 1st November 2004 they would be due for an appraisal by the first day of November in 2005 (i.e. exactly one year later).

Performance Appraisal Feedback

For performance appraisal/evaluation to be effective it needs to be followed up with feedback so that workers can know how “good” or “bad” they are doing. Feedback also helps to convey decisions regarding workers performance. Through feedback managers can address issues such as the kind of behaviours on the job that need to be encouraged and discouraged and who needs to undertake training to enable them improve their skills and therefore, perform better. All these issues need to be addressed through an effective feedback process so that employees can know exactly where they stood and what decisions management has made after evaluating their performance.



Source: Compiled from field survey data

In this vein, civil servants were asked if they received feedback on the overall decisions made regarding their performance in the last appraisal they had, and as shown in Figure 3.6 above, 33.5 percent claimed that feedback was given against 32.2 percent who said it was not given. This shows that the new system does not effectively convey feedback to employees on decisions made after appraisal.

‘Performance management requires a close relationship between management and staff, together with the ability on the part of managers to act on the

results of appraisal' (Martinez, 2001: 17). This implies a degree of local decision-making powers that is often absent in the Zambia civil service. The decentralisation of decision-making authority is an essential prerequisite for performance management, as is the need to avoid unnecessary bureaucracy when dealing with the results of performance appraisal (Martinez, 2001). The common practice in the Zambian civil service was that of sending the results of appraisal to the PSMD, where little or no action is ever taken. This leads to downgrading staff appraisal, since neither managers nor employees will feel bound by the outcomes of the appraisal process. Managers conducting appraisal must work closely and interact frequently enough with the staff they appraise, and act swiftly on the outcomes of appraisal. The latter, Martinez (2001) argues, requires the ability to allocate resources, particularly (but not exclusive) training resources, according to the need. This unfortunately was not the case in the three ministries and two institutions covered by this study and the rest of civil service, in general.

LINKING PERFORMANCE APPRAISAL TO REWARDS, SANCTIONS AND TRAINING

Any good performance appraisal system, apart from identifying the gaps in performance that needed to be addressed through training and skill/s development programmes, should also try to provide some rewards or incentives so as to encourage good performance or it risks serving no purpose at all. Rewards are usually aimed at encouraging and sustaining those behaviours that contribute towards attaining set targets and/or tasks while sanctions achieve the opposite.

Currently, there is a weak linkage between performance appraisal and the application of rewards in the Zambian civil service. Whenever applied rewards were mostly in the form of Labour Day awards which were, more often than not, based on subjective judgements by supervisors on who was to receive an award. Even though many were eligible for such awards, only a few were actually honoured on Labour Day due to the (financial) resource constraints that the civil service was facing. It is apparent that rewards of a financial nature were extremely difficult to come by in the Zambian civil service today. This argument is supported by the

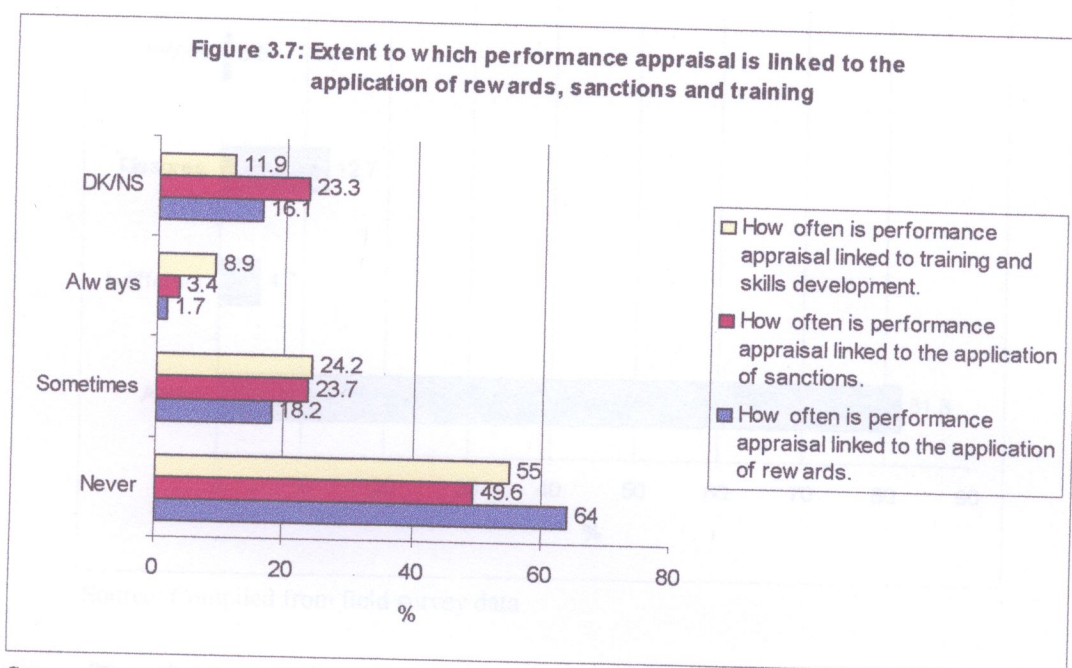
claims by 64 percent of the civil servants interviewed that performance appraisal was “never” linked to the application of (monetary) rewards compared to 18.2 percent and 1.7 percent, respectively, who indicated that performance evaluation was “sometimes” or “always” linked to rewards (see Figure 3.7 below).

In spite of its absence, the majority of the civil servants talked to, i.e. 95.8 and 97.5 percent, respectively, seemed to prefer a performance-based reward system to a nonperformance-based reward system, and tangible rewards (such as increased pay and other monetary benefits or incentives) to intangible rewards. In addition, 69.9 percent of civil servants interviewed were in support of the introduction of both tangible and intangible rewards (see Table 3.9 below). Furthermore, Figure 3.8 below also shows that the majority of the civil servants (i.e. 81.8 percent) thought that a bonus or other financial reward was one good way of motivating them.

Secondly, whereas the application of sanctions can contribute towards improving the performance of jobholders and teams, it can become meaningless to the whole process of performance management and improvement if not properly handled thereby leading to underperformance. Data from the three ministries and two institutions visited indicates that sanctions were never applied in about 50 percent of the cases. This is evidenced by the fact that 49.6 percent of respondents were of the view that performance appraisal was “never” linked to the application of sanctions, as compared to 23.7 and 3.4 percent who claimed that the appraisal system was “sometimes” or “always” linked to the application of sanctions (see Figure 3.7 below). Such a scenario if not resolved could result in many jobholders not seriously considering performing well or meeting their targets as one a way of avoiding sanctions.

Furthermore, 73.3 percent of the respondents were in support of the application of sanctions for poor job performers. However, the majority of the respondents (i.e. 89.4 percent) were of the view that poor performers be sent for further training if the cause of poor performance was lack of or insufficient skills (see Figure 3.9 below). Similarly, most respondents were against the idea of firing, retiring and retrenching poor performers from the civil service. In fact, the majority,

i.e. 61.4 percent, preferred demotions to retirement, firing and retrenchment as the best way of sanctioning poor job performers (see Table 3.10 below).

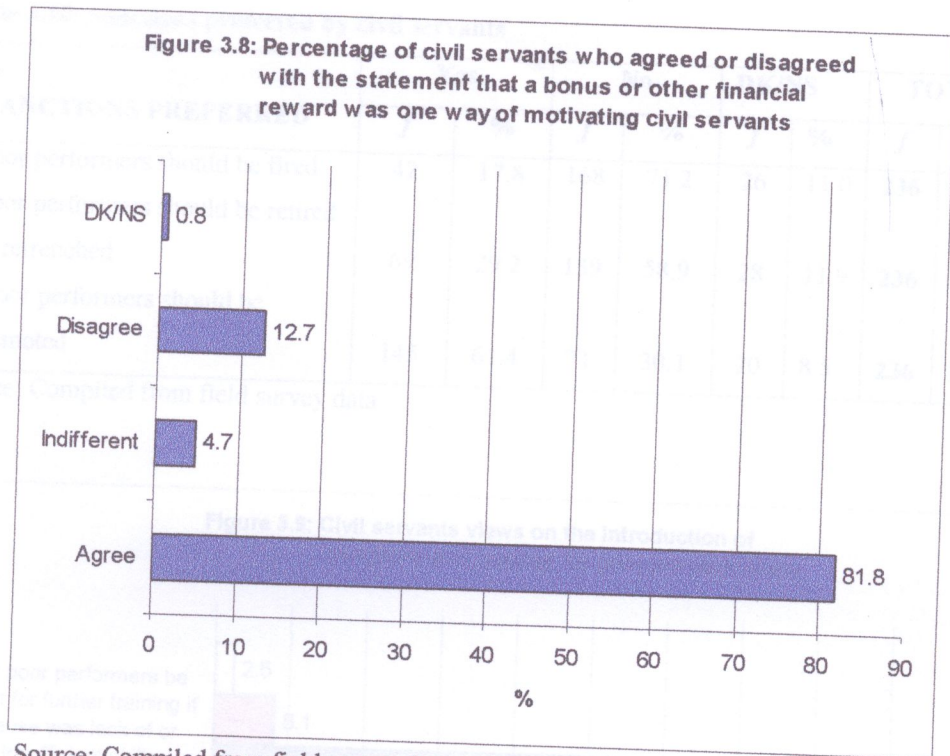


Source: Compiled from field survey data

Table 3.9: Rewards preferred by civil servants

REWARDS PREFERRED	Yes		No		DK/NS		TOTAL	
	f	%	f	%	f	%	f	%
i) performance-based reward system	226	95.8	6	2.5	4	1.7	236	100.0
ii) nonperformance-based reward system	22	9.3	202	85.6	12	5.1	236	100.0
iii) tangible rewards	230	97.5	4	1.7	2	0.8	236	100.0
iv) intangible rewards	92	39.0	129	54.7	15	6.4	236	100.0
v) both tangible and intangible rewards	165	69.9	40	16.9	31	13.1	236	100.0

Source: Compiled from field survey data



Source: Compiled from field survey data

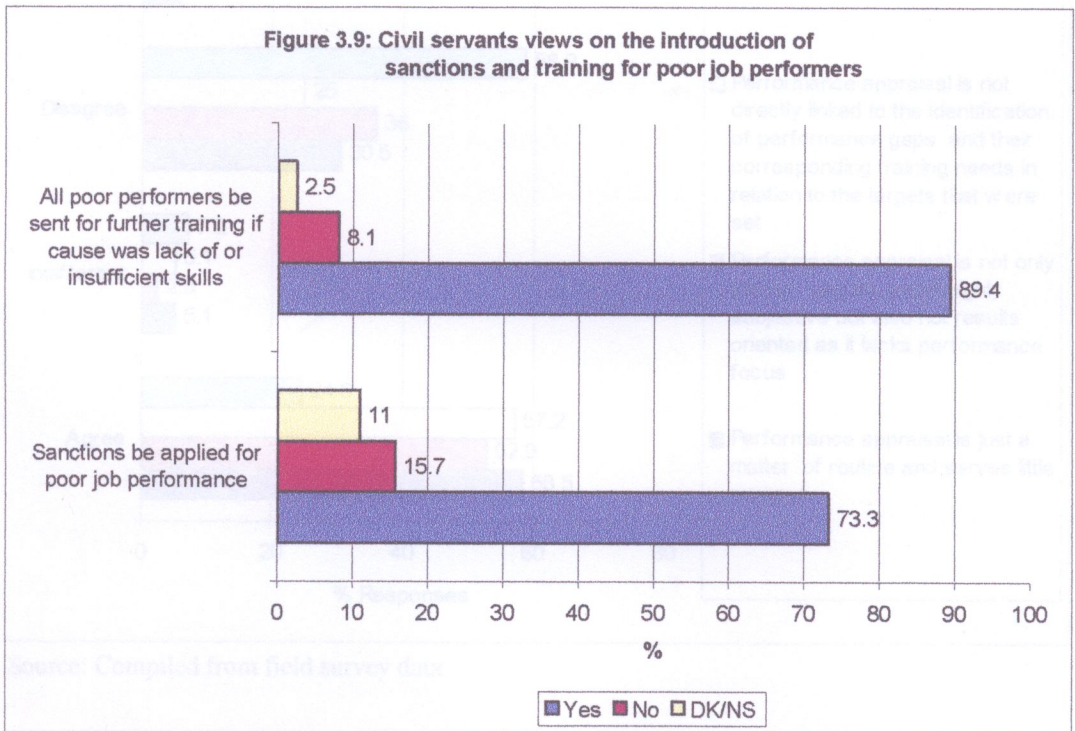
Therefore, it can be argued that the majority of the civil servants interviewed preferred rewards that were of a financial nature and based on performance. Similarly, most of the respondents seemed not to be in support of sanctions that would result in ailing jobholders completely losing their jobs.

For any performance appraisal system to be effective it should link appraisal to training and skills development. This involves identifying gaps in performance and their causes, and recommending the most appropriate training or skill/s development programme to be undertaken by the concerned jobholder so as to improve their performance. Evidence from the three ministries and two institutions visited depicts a weak linkage between the performance evaluation system and training/skills development. This is because of the fact that the majority of the civil servants interviewed (i.e. 55 percent) claimed that the new appraisal system was “never” linked to training and skills development as compared to only 24.2 percent and 8.9 percent who indicated that performance evaluation was “sometimes” and “always” linked to training and skills development, respectively (see Figure 3.7 above).

Table 3.10: Sanctions preferred by civil servants

SANCTIONS PREFERRED	Yes		No		DK/NS		TOTAL	
	f	%	f	%	f	%	f	%
i) poor performers should be fired	42	17.8	168	71.2	26	11.0	236	100.0
ii) poor performers should be retired or retrenched	69	29.2	139	58.9	28	11.9	236	100.0
iii) poor performers should be demoted	145	61.4	71	30.1	20	8.5	236	100.0

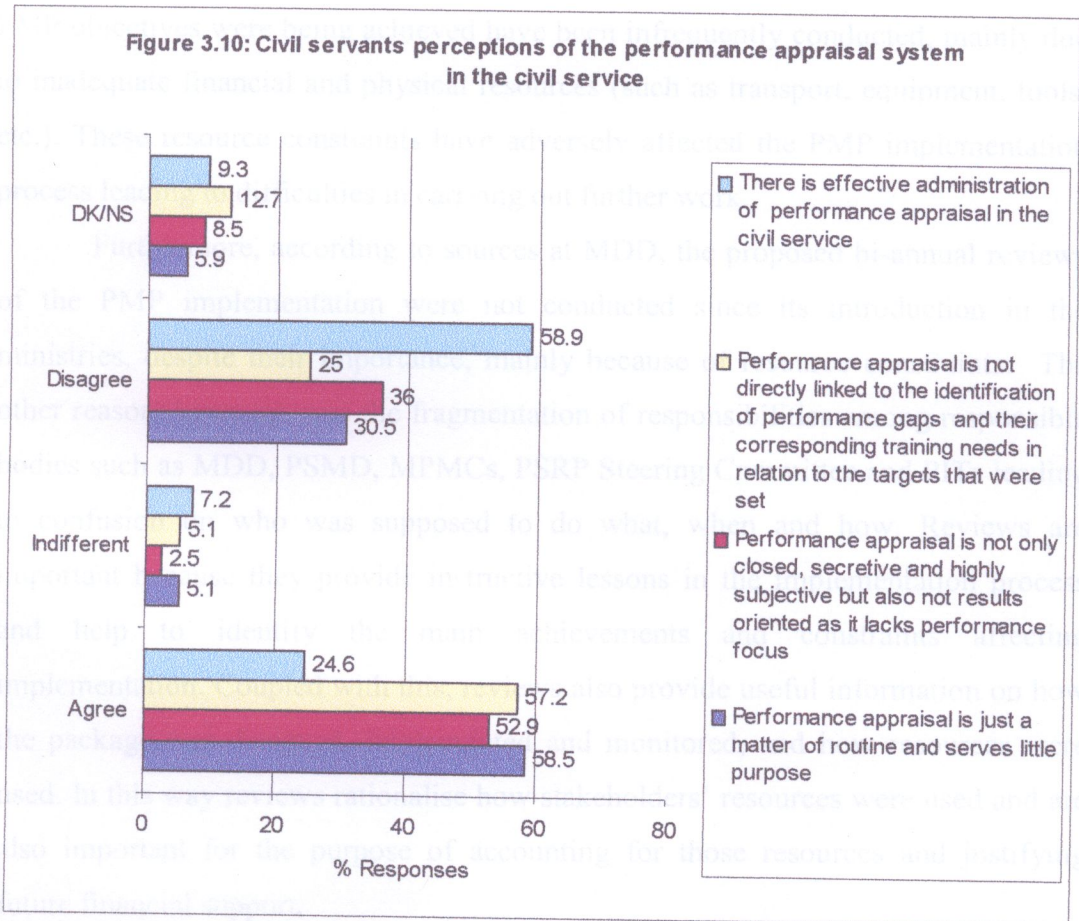
Source: Compiled from field survey data



Source: Compiled from field survey data

The majority of civil servants interviewed (i.e. 58.9 percent) were of the view that there was no effective administration of performance appraisal in the civil service today, while an aggregate majority of them (i.e. 58.5 percent) perceived the performance appraisal in the civil service today as that which was just a matter of routine and serving little purpose. In addition, 52.9 percent of the respondents viewed the appraisal system in the civil service today as one which was not only closed, secretive and highly subjective but also not results oriented as it lacked performance focus. Related to this was the opinion by an aggregate of 57.2 percent

of the respondents that the system was not directly linked to the identification of performance gaps and their corresponding needs in relation to the targets that were set (see Figure 3.10 below).



Source: Compiled from field survey data

The above statistics portray a negative perception of the new performance appraisal system in the civil service today, mainly due to its failure to strongly and effectively link performance appraisal to the application of some form of reward, sanctioning and training and/or skills development system or scheme. This, therefore, makes it very difficult to effectively manage performance and build capacity for better performance in the civil service today.

PROGRESS OF THE PMP IMPLEMENTATION

As shown on Table 3.11 below, the PMP has been introduced in 15 ministries and four institutions by the end of 2003 (GRZ, 2004). However, follow-up meetings to report on what was being done and not being done to ensure that the PMP objectives were being achieved have been infrequently conducted, mainly due to inadequate financial and physical resources (such as transport, equipment, tools, etc.). These resource constraints have adversely affected the PMP implementation process leading to difficulties in carrying out further work.

Furthermore, according to sources at MDD, the proposed bi-annual reviews of the PMP implementation were not conducted since its introduction in the ministries, despite their importance, mainly because of resource constraints. The other reason, however, was the fragmentation of responsibilities among responsible bodies such as MDD, PSMD, MPMCs, PSRP Steering Committee and PITs leading to confusion on who was supposed to do what, when and how. Reviews are important because they provide instructive lessons in the implementation process and help to identify the main achievements and constraints affecting implementation. Coupled with this, reviews also provide useful information on how the package was designed, implemented and monitored, and how resources were used. In this way reviews rationalise how stakeholders' resources were used and are also important for the purpose of accounting for those resources and justifying future financial support.

On the other hand, interviews with two PIT members at MLGH revealed that although the implementation timetable, work plans and ground rules for the PIT had been set no further work has been done in the ministry. The major attributing factor was the retirement of the Director of Human Resources from the ministry (in the second half of 2004), who was playing a key and leading role in all PIT activities, especially the implementation of the PMP. As such, the PIT in MLGH has been unable to hold regular monthly meetings, review progress on the implementation of the PMP and report to the Permanent Secretary (MDD) and other senior management on a quarterly basis. This has also led to the stalling of plans to conduct further training on the PMP at the ministerial headquarters, provinces and

districts. Follow-ups on specific needs identified by APAS have also not been done. Issues that arose in the implementation of the PMP and the recommended solutions identified by the PIT were also not followed up by appropriate action from management.

Table 3.11: Ministries and Institutions that have introduced the PMP

MINISTRIES
1. Local Government and Housing
2. Tourism, Environment and Natural Resources
3. Agriculture and Co-operatives
4. Commerce, Trade and Industry
5. Defence
6. Works and Supply
7. Mines and Mineral Development
8. Finance and National Development
9. Foreign Affairs
10. Lands
11. Education
12. Sport, Youth and Child Development
13. Energy and Water Development
14. Science, Technology and Vocational Training
15. Labour and Social Security
INSTITUTIONS
1. Public Service Management Division
2. Office of the Vice President
3. Cabinet Office
4. Anti Corruption Commission

Source: GRZ (2004), *Performance Management Package*, Cabinet Office, Lusaka, p.4.

The proposed weekly visits by officers from MDD and PSMD to monitor the agreed work plans have also not been possible. Monitoring implementation is very important because it acts as a control of the implementation process and provides an opportunity to make corrections where necessary to ensure that the right things were being done at the right time and resources were not being put to waste.

Furthermore, induction of new members of staff on General Orders, Financial Regulations, Conditions of Service, the PMP, APAS and operations of the

ministry was also left for each department. This has resulted in departments carrying out their own induction process or not conducting any induction programme at all. It was clear that there was no comprehensive and coordinated induction programme for the whole ministry and that induction mostly covered rules and regulations. The induction process did not cover financial regulations, conditions of service, the PMP and APAS. Members of staff were inducted to the PMP only at ministerial headquarters. Lastly, the MLGH lacked an effective sensitisation programme to educate all members of staff in the ministry/province on the importance of PITs and their establishment at provincial and district levels due to financial constraints and lack of commitment towards the implementation of the PMP.

Data from PIT members from the MFNP and MACO could not be sourced because there were no PITs at the two ministries, at least on the ground. This shows the extent to which PITs have been established and are operational in the two ministries, and how far the implementation of the PMP had gone in the two ministries.

CONCLUSION

The chapter has shown that, generally, awareness levels of strategic and departmental work plans among civil servants were relatively high at 83.9 percent and 90.7 percent, respectively. Awareness levels of both strategic and departmental work plans however seemed to drop as one moved from Grade I to Grade II and III, due to the fact that officials in the higher echelons of the civil service were more exposed to such matters by virtue of the positions they held. Lack of sensitisation was given as the only reason for not being aware of strategic and departmental work plans by some civil servants.

Secondly, although the majority (i.e. 78 percent) of the civil servants interviewed had work plans created for their jobs, the percentage of those who reported having targets set for their jobs dropped to 72.9 percent. Furthermore, lack of individual work plans and targets was blamed on the absence of departmental work plans from which they could be drawn. Some civil servants such as typists, stenographers and clerical staff felt that their jobs did not require work plans at all.

Related to this were claims that most managers were not serious and committed to develop work plans and job targets for their subordinates.

Despite the fact that a large percentage of civil servants were aware of their departmental work plans, 20.8 percent of them indicated that work plans were not followed due to: inadequate and erratic funding; inability to align funding to activities; mismanagement of resources by managers or supervisors, and; the general negligence and lack of seriousness and commitment by supervisors to stick to laid down plans. Similarly, although the majority of the civil servants interviewed had individual work plans, 22.5 percent did not follow them. This was mainly as a result of poor funding, which was compounded by the increased workload due to manpower shortages and the absence of strict follow-ups by supervisors to check on whether or not one was following his/her work plan.

On the other hand, 53.8 percent of the civil servants interviewed held the view that the PMP had introduced or helped put in place a more objective annual performance appraisal system (APAS). Further, 58.9 percent of them reported having their performance evaluated once a year against 26.7 percent who indicated that their performance was never appraised. 72.9 percent of the respondents also expressed ignorance to the fact that there was a fixed date for carrying an appraisal for each worker. Similarly, 58.9 percent of the respondents claimed that there was no effective administration of performance appraisal in the civil service today. This can be attributed to the fact that 64, 49.6 and 55 percent, respectively, saw no link between performance appraisal, on the one hand, and the application of rewards, sanctions and training/skills development programmes, on the other hand. Thus, 58.5 percent of the civil servants interviewed were of the view that the performance appraisal in the civil today was just a matter of routine and serving little purpose.

All in all, although the PMP was launched, and briefing meetings and installation workshops have been conducted in the ministries visited no further work has been done to ensure that work plans and targets were created for everyone mainly due to inadequate financial and physical resources and lack of committed leadership to continue with the implementation of the PMP in the ministries and institutions.

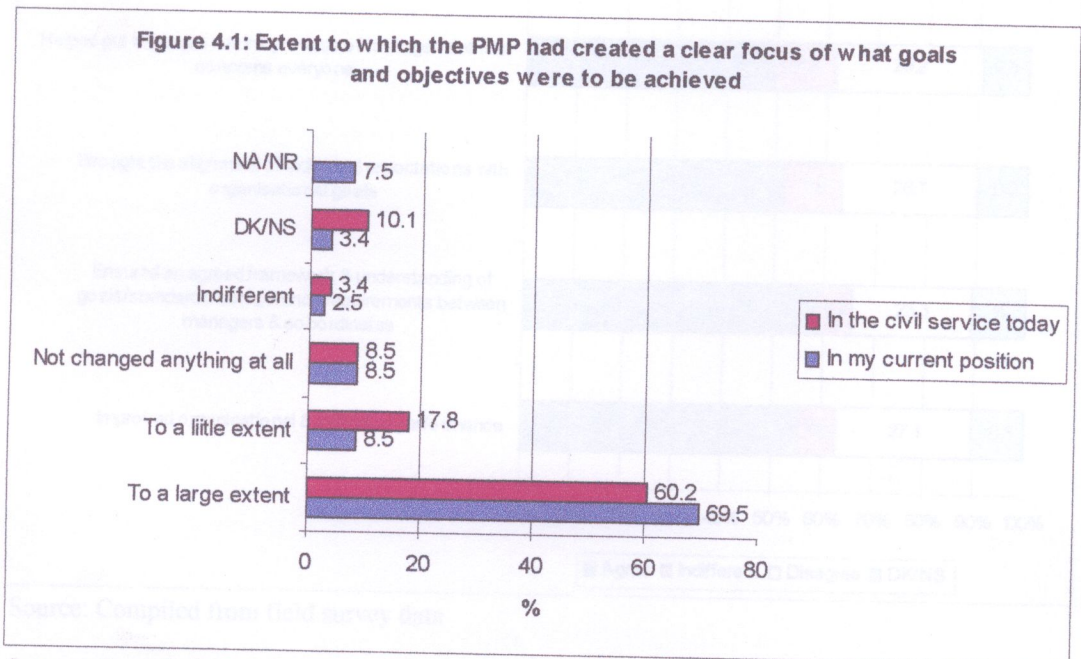
CHAPTER FOUR: MAJOR ACHIEVEMENTS AND CHALLENGES OF THE PMP IMPLEMENTATION

INTRODUCTION

The PMP, though to be fully implemented in the rest of the civil service, has had some achievements and challenges where it has been introduced and installed. This chapter outlines and discusses the major achievements and challenges of the PMP in the Zambian civil service.

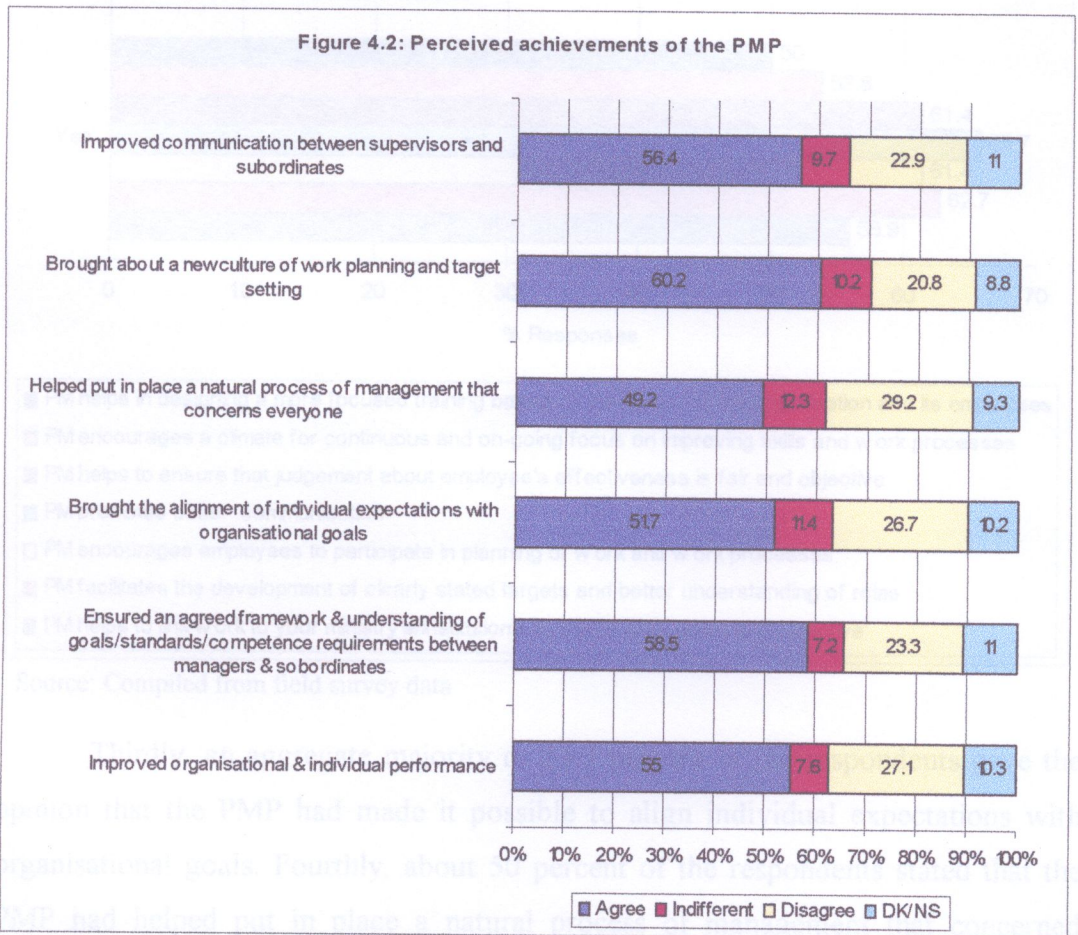
ACHIEVEMENTS OF THE PMP

To a large extent the introduction of the PMP has created a clear focus of what goals and objectives were to be achieved by each worker in the ministries and institutions visited. This is evidenced by the responses in Figure 4.1 below, where the majority of the civil servants interviewed (i.e. 60.2 percent) claimed that the PMP had to a large extent created a clear focus of what goals and objectives were to be achieved as compared to only 8.5 percent who said that the PMP had not changed anything at all.



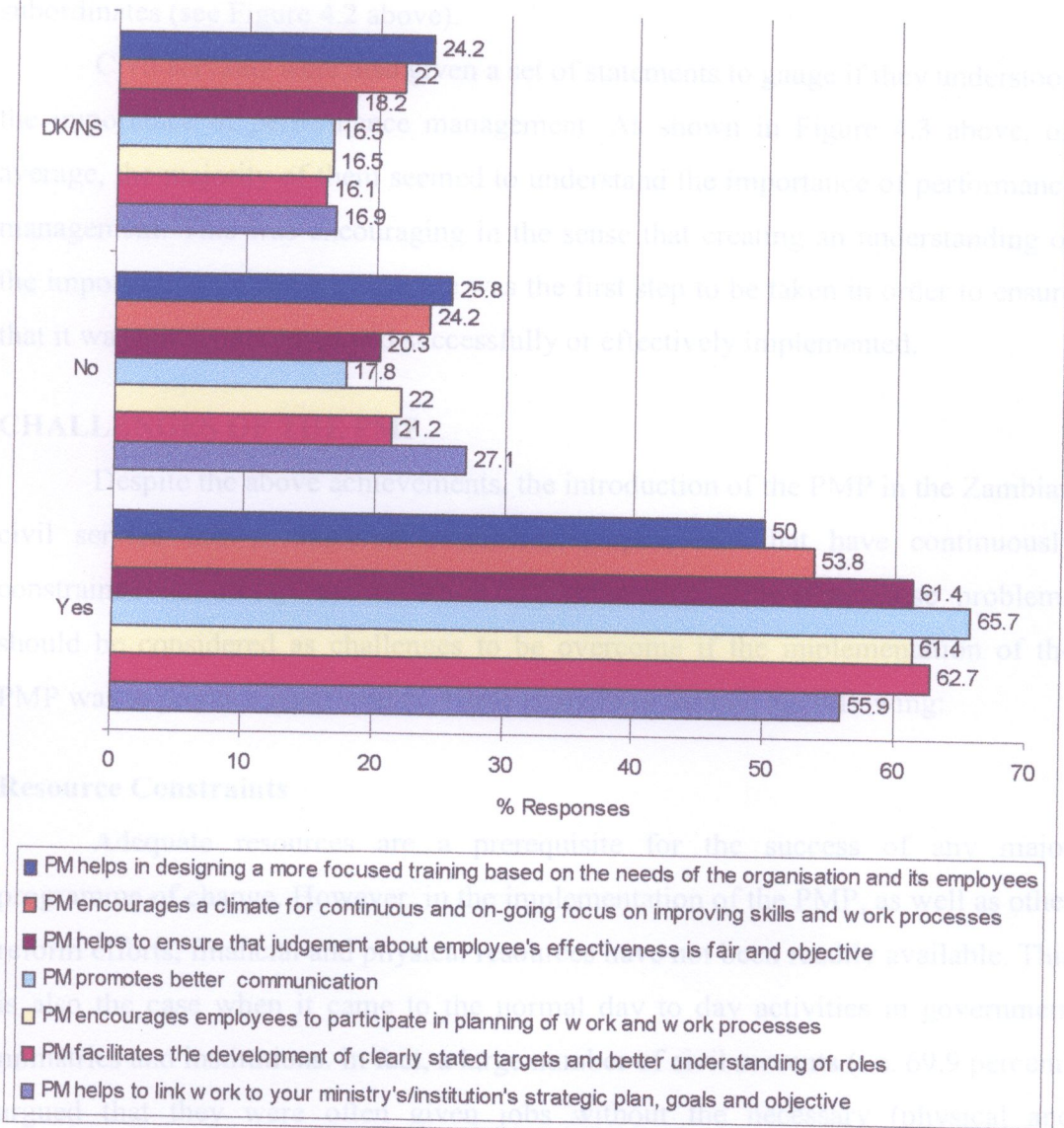
More specifically, at individual level, the majority of the respondents (69.5 percent) indicated that the PMP had to a “large extent” made them have a clear focus of what goals and objectives were to be achieved by aligning individual expectations with organisational goals (see Figure 4.1 above).

Secondly, the results presented in Figure 4.2 below, show that an aggregate of 55 percent of the civil servants interviewed shared the view that the PMP had improved organisational and individual performance in the civil service. Similarly, an aggregate of 58.5 percent believed that the PMP had ensured that there was an agreed framework and understanding of planned goals, standards and competence requirements between managers and subordinates.



Source: Compiled from field survey data

Figure 4.3: Importance of Performance Management (PM)



Source: Compiled from field survey data

Thirdly, an aggregate majority of 51.7 percent of the respondents gave the opinion that the PMP had made it possible to align individual expectations with organisational goals. Fourthly, about 50 percent of the respondents stated that the PMP had helped put in place a natural process of management that concerned everyone in the organisation and encouraged constructive and open relationships between subordinates and their managers. Lastly, an aggregate of 60.2 percent of the respondents held the view that the PMP had brought about a new work culture

of work planning and target setting while 56 percent argued that the installation of the PMP had, in fact, improved communication between supervisors and their subordinates (see Figure 4.2 above).

Civil servants were also given a set of statements to gauge if they understood the importance of performance management. As shown in Figure 4.3 above, on average, the majority of them seemed to understand the importance of performance management. This was encouraging in the sense that creating an understanding of the importance of a reform measure was the first step to be taken in order to ensure that it was widely accepted and successfully or effectively implemented.

CHALLENGES OF THE PMP

Despite the above achievements, the introduction of the PMP in the Zambian civil service has encountered a number of problems that have continuously constrained its timely and effective implementation. However, these problems should be considered as challenges to be overcome if the implementation of the PMP was to produce good results. These challenges include the following:

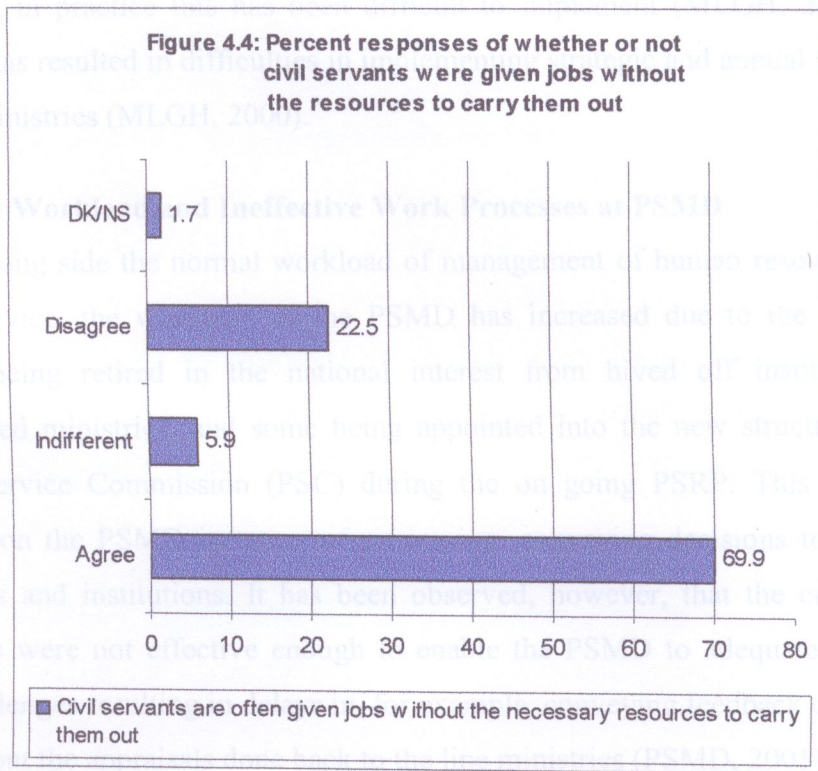
Resource Constraints

Adequate resources are a prerequisite for the success of any major programme of change. However, in the implementation of the PMP, as well as other reform efforts, financial and physical resources have not been readily available. This is also the case when it came to the normal day to day activities in government ministries and institutions. In fact, a large number of civil servants (i.e. 69.9 percent) argued that they were often given jobs without the necessary (physical and financial) resources to carry them out (see Figure 4.4 below). Contributing to this was the continued poor performance of the Zambian economy presenting a major threat to the operations of the civil service.

For a long time now the operations of the civil service has been severely affected by untimely and inadequate funding due to the weak government resource base resulting from the poor economic performance (MAFF, 2001; MLGH, 2000). The narrow and ever declining government revenue base apart from leading to insufficient funds for government programmes has also led to over taxation of

employees thereby negatively affecting their motivation, morale and performance (GRZ, 2002).

Insufficient funding has also resulted in delays in filling all strategic vacant positions following the restructuring of ministries. The delay in filling these positions has negatively affected the operations of the ministries in the sense that some civil servants have been made to perform additional functions than usual, thus making it very difficult for them to follow their own work plans and meet set targets (MLGH, 2000).



Source: Compiled from field survey data

Lack of an Effective Management Information System

Information in any institution is the basis for informed decision making. The Zambian civil service lacks an integrated and comprehensive management information system resulting in delayed decision making. Such a system has often led to delays in conveying decisions made after performance appraisal from PSMD back to the line ministries and departments. An efficient and effective information management system is a cornerstone of modern day public service management.

In addition, there is lack of effective co-ordination mechanisms and consultation among departments (MAFF, 2001; MLGH, 2000; PSMD, 2001). Departments more or less operate independent of each other and this often results in problems during implementation of change programmes such as the PMP.

Weak linkage between Work Plans and the National Budget

While all ministries undertake budgeting every year there was still weak linkages between the national budget and ministerial, departmental or individual work plans in the civil service. Although the MFNP insists on activity based budgeting, in practice this has been difficult to implement (MLGH, 2000). This situation has resulted in difficulties in implementing strategic and annual work plans in most ministries (MLGH, 2000).

Increased Workload and Ineffective Work Processes at PSMD

Along side the normal workload of management of human resources in the public service, the workload of the PSMD has increased due to the number of officers being retired in the national interest from hived off institutions and restructured ministries, and some being appointed into the new structures by the Public Service Commission (PSC) during the on going PSRP. This has placed pressure on the PSMD in terms of processing, conveying decisions to respective ministries and institutions. It has been observed, however, that the current work processes were not effective enough to enable the PSMD to adequately meet the new challenges resulting in delays in, for example, conveying feedback on decisions made about the appraisals done back to the line ministries (PSMD, 2001).

The PSMD has also not been effective in its communication with line ministries. Physical follow up with ministries have not been conducted mainly due to lack of financial and physical resources (i.e. transport and human resource shortages, etc). This has resulted in decisions relating to appointments, promotions, disposal of disciplinary cases and feed back on performance evaluation carried out in the ministries taking long to be made to the detriment of the performance of both ministries and individuals (PSMD, 2001).

Dilution of Authority over Management of Human Resources

In theory, PSMD has the overall mandate of managing human resources in the Public service. In practice, however, especially during the implementation of the PSRP, authority over human resource management issues seems to lie outside the PSMD, such as the Secretary to the Cabinet, PSC and MFNP. ‘Currently for instance, the PSC and not the PSMD is directly responsible for selection and placement of human resources’ (PSMD, 2001:15). Furthermore, the PSMD cannot make a decision regarding improvement of conditions of service in the public service despite being in charge of managing human resources and custodian of conditions of service in the public service. The MFNP has more say in this matter (PSMD, 2001). In addition, the PSRP Steering Committee, and not PSMD, is now directly responsible for placing people on the payroll.

Related to this is the fact that heads of departments or supervisors cannot make any decisions to either reward, sanction or send some employees for training when required. All they can do is to make recommendations to PSMD and other relevant authorities on the proposed action to be taken for each civil servant after undergoing performance reviews. In short heads of departments or units in the Zambian civil service have no powers, autonomy and flexibility to take full control of managing the performance of their subordinates.

Lack of Induction, Orientation and Re-orientation of Staff

“The civil service is currently devoid of a uniform orientation programme for inducting new officers” (PSMD, 2001: 19). Induction of officers joining the civil service is done in a haphazard manner. Officers, even at very senior level, are not aware of their conditions of service, code of conduct and rules and regulations to be applied (PSMD, 2001).

The civil service also lacks comprehensive induction, orientation and re-orientation programmes for officers appointed in the new structures (PSMD, 2001). As a result, no significant changes have taken place in terms of the civil service work culture after restructuring and the introduction of the PMP and APAS. New employee’s induction is thus, left to the informal channels within organisations

thereby creating the risk of them being taught ineffective work processes and attitudes.

As Fitzpatrick (2003) put it, any new entrant to an organisation should undergo induction training; ideally at an early stage and before some “disgruntled old hand” tells them the “real story” around the organisation. ‘There is no real expense involved in delivering such training in-house, and the bad effects of “negative socialisation” can be avoided’ (Fitzpatrick, 2003:23). Formal induction ensures that individuals are clear about their jobs and about the aims, objectives and working practices of the organisation they have joined. Formal induction therefore, cannot be overlooked, especially when the government is trying to change to the more efficient and effective work processes such as strategic and work planning, target setting, activity based budgeting and the use of a more objective and open annual performance appraisal system.

Outdated General Orders and Civil Service Regulations

For a long time the civil service has been applying general orders and regulations that were adopted from the colonial civil service. ‘Over time, these have not been comprehensively reviewed to suit the changing times’ (PSMD, 2001:19).

The last time civil service regulations and General Orders were comprehensively revised was in 1975, 1990 and 2001, respectively. Therefore, the socio-economic and political changes that took place rendered these regulations and procedures inappropriate for use and prompted the need to revise them. Ultimately, improving systems while maintaining the old and unclear definitions and procedures was a mockery to workers since Human Resource Management (HRM) practices and procedures hinged on old and unrevised regulations thus, providing the worker with weak and worn out tools (Makola, 2003).

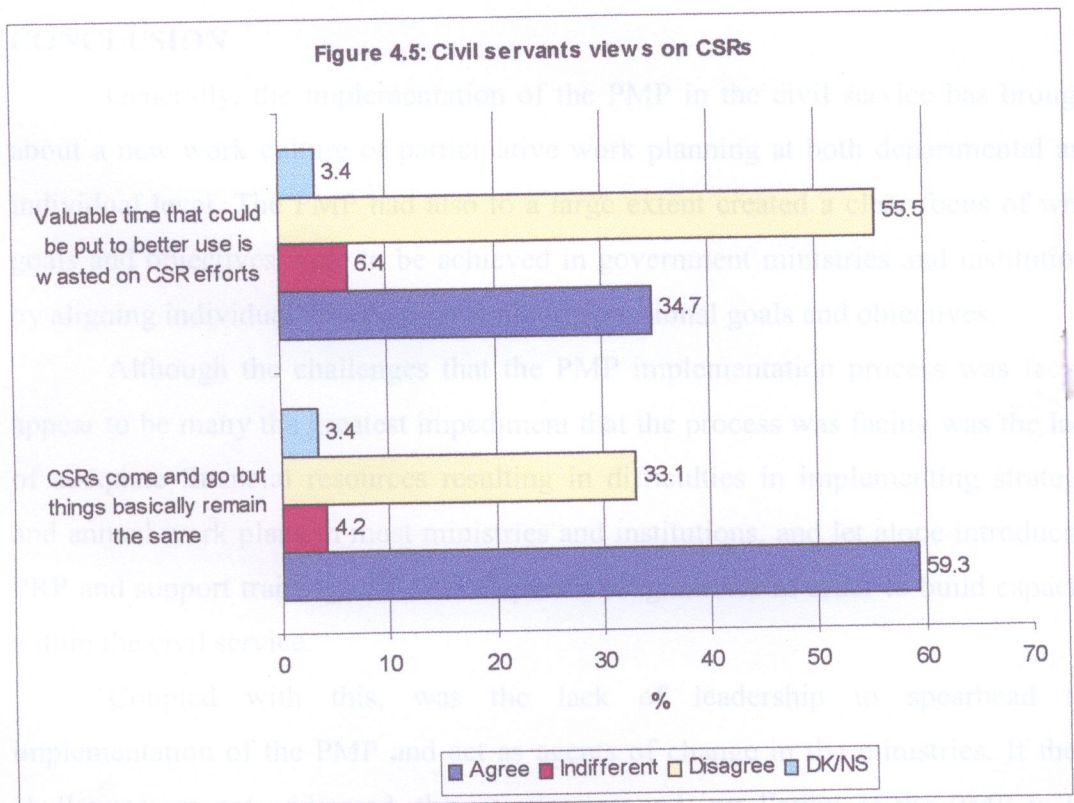
Lack of a Wage, Incentive and Reward Policy

The public service lacks a clearly defined wage policy upon which salary and wage administration could be based. Currently, salary administration is being done arbitrarily whereby certain categories of public workers, due to their ability to bargain, earn more ad hoc salary increases that have brought about distortions in the

salary structure of the civil service (PSMD, 2001). Such distortions in salary awards usually affect the motivation and morale of civil servants, and in turn the overall performance of both institutions and individuals.

Employee Attitudes on CSRs

As shown in Figure 4.5 below, 59.3 percent of the civil servants interviewed felt that CSRs come and go but things basically remained the same. This shows that the majority of civil servants did not believe that CSR were not likely to change anything at all. This kind of attitude, if not addressed, is bound to create a serious threat in the implementation of CSRs, in general, and the PMP, in particular. However, 55.5 percent of the respondents were still opportunistic that CSR efforts were not a waste of valuable time that could be put to better use elsewhere, and that if effectively managed they could produce good results.



Source: Compiled from field survey data

Lack of Leadership to Spearhead and Co-ordinate the PMP Implementation

There seems to be no visionary leadership in most ministries, including those visited, to oversee the implementation of the PMP. As such, though the PMP has been widely introduced and installed in the civil service, it has not been fully operationalised. In fact, implementation has been haphazard and inconsistent.

What is worth noting is that almost all heads of departments in the ministries visited did not seem to understand what their responsibilities and roles were in as far as performance management, improvement and appraisal were concerned. Hence, the majority of them considered all matters concerning the PMP and APAS as solely the responsibility of the human resource departments when in fact it is now generally agreed that performance management and appraisal should be the concern and responsibility of every manager in an organisation/unit as they have a direct impact on the overall performance of the same units or organisations they head.

CONCLUSION

Generally, the implementation of the PMP in the civil service has brought about a new work culture of participative work planning at both departmental and individual level. The PMP had also to a large extent created a clear focus of what goals and objectives were to be achieved in government ministries and institutions by aligning individual expectations with organisational goals and objectives.

Although the challenges that the PMP implementation process was facing appear to be many the greatest impediment that the process was facing was the lack of adequate financial resources resulting in difficulties in implementing strategic and annual work plans in most ministries and institutions, and let alone introducing PRP and support training/skills development programmes in order to build capacity within the civil service.

Coupled with this, was the lack of leadership to spearhead the implementation of the PMP and act as agents of change in the ministries. If these challenges are not addressed, the introduction and installation of the PMP in the Zambian civil service will become more of rhetoric than reality.

WAY FORWARD

As a way forward, the government can adopt the following in order to improve the implementation of the PMP in the civil service:

Reduction of the Five-Step PMP Implementation Strategy

The five-step PMP implementation strategy should be reduced to three by merging step one (Launch Meeting), step two (PMP Briefing Meeting at Department/Provincial Level) and step three (Installation Workshop) into one, to be titled “PMP Launch and Installation Workshop”. This is because steps one, two and three are overlapping and therefore, should be combined to make one step thereby cutting down on costs and time. The recommended step should, however, be comprehensive enough to introduce the PMP and launch it at levels in the ministries and institutions.

Further Decentralisation of PITs to Departments

Rather than having ministerial PITs the government should instead create PITs for each department in the ministries and institutions with membership drawn from within the departments as a way of soliciting for wider participation and understanding of performance management, in general, and the PMP, in particular. PIT meetings at departmental level should, in turn, be chaired by departmental heads, who should also become automatic members of MPMCs. Creating PITs for each department was better than the current approach whereby the MPMCs and PITs were operating in parallel to each other.

Provision of Resources

Financial and physical resources should be provided at all levels of the PMP implementation process. This would also make it very difficult for civil servants to give an excuse for not meeting their targets and hide poor job performance. It is only through this that the implementation of the PMP can be successful and made easier in the civil service.

PMP Implementation Monitoring and Evaluation Mechanism

A PMP implementation monitoring mechanism should be developed so as to ensure that the right things were being done at the right time and ensure that resources were not being put to waste. The scheduled reviews of the PMP implementation process in all the ministries and institutions concerned should, at all costs, be carried out. In addition, a PMP evaluation strategy and programme should be developed.

Adoption of a Rewards and Incentives Policy

The government should develop and implement a clear rewards or incentives policy as one way of improving the performance and motivation of the civil servants. The government can choose either to give rewards and incentives to teams or individuals.

Adoption and Implementation of a Training Policy

The government should accelerate the process of adoption and implementation of the national training policy that was currently in draft form. It should also come up with a comprehensive staff development programme to be applied throughout the civil service. This entails, however, making a provision in the national budget to fund such programmes.

Effective Management of Human Resources

The government should resolve the current dilution of authority over human resources and its management in the civil service. Although the PSMD has overall authority over human resource management and development it was, more often than not, by-passed by the PSC, MFNP, PSRP Task Force and the Secretary to the Cabinet over matters such as hiring, retrenchments and improvement of civil servant's conditions of service, etc. Therefore, the government should make provisions for only one authority, possibly PSMD, to manage human resources in the civil service. Alternatively, the human resource management function could be decentralised further to the line ministries with the PSMD confined only to

providing policy guidance on issues pertaining to human resource management in the civil service.

Continuous Review of the Civil Service Regulations and General Orders

There is need to review, on a continuous basis, the rules and regulations and/or the General Orders that govern the conduct of civil servants. This is necessary because the civil service needs to change and/or adapt to the changes that may or have taken place within or without the civil service. These changes may be socially, economically or politically motivated.

Use of Information and Communication Technologies (ICTs)

In this technological age, the government should make use of ICTs so as to improve decision-making and communication in the civil service. The use of computer networks, such as Local Area Networks (LANs) and Wide Area Networks (WANs), can provide faster means of communicating the goals and objectives of the PMP, and also conveying feedback. The government can also choose from a range of performance management and appraisal software available that would make the implementation and application of APAS to be more efficient and effective.

Education on Performance Management

All members of staff in government ministries and institutions, especially those in management, should be educated on the importance of the PMP, in particular, and performance management, in general. This can be done through training workshops or seminars, which should also stress the fact that the implementation of the PMP and operationalisation of performance management are responsibilities of management teams in every ministry or institution and not the human resource departments as currently misunderstood.

APPENDICES

Appendix 1: Work Plan

ACTIVITY	DATES	DURATION (WEEKS)
1. Proposal Writing	31/12/03 – 11/02/04	6
2. Questionnaire Design	12/02/04 – 11/03/04	4
3. Data Collection	11/10/04 – 15/01/05	8
4. Data Entry	16/01/05 – 31/01/05	2
5. Data Analysis	01/02/05 – 14/02/05	2
6. Write-up of Draft Report/Dissertation	15/02/05 – 08/05/05	4
7. Write-up of Final Report/Dissertation	09/05/05 - 18/05/06	49
TOTAL (IN WEEKS)		75

Appendix 2: Proposed Budget

ITEM	ACTIVITIES	AMOUNT (K)	TOTAL (K)
1.0 1.1	Proposal Development Printing three copies of a 30 paged proposal @ 2000 each	180,000.00	180,000.00
2.0	Photocopying of 250 (9 paged) questionnaires @ K200.00 each	450,000.00	450,000.00
3.0	Transport costs to and from the field (data collection) for 40 man days @ K40, 000.00 per trip	1,600,000.00	1,600,000.00
4.0	Costs for lunch @ K15, 000.00 for 40 man days during data collection	600,000.00	600,000.00
5.0 5.1 5.2	Production of Dissertation Printing of 4 copies of the report @K150, 000.00 per copy Binding of 4 copies of the report @ K40, 000.00 each	600,000.00 160,000.00	760,000.00
6.0 6.1	Stationery 5 reams of paper @K30,000.00 each	150,000.00	150,000.00
7.0	Contingency	200,000.00	200,000.00
TOTAL (K)		K3,940,000.00	K3,940,000.00

Appendix 3: Questionnaire for Civil Servants

QUESTIONNAIRE ID:.....

**EVALUATION OF THE CIVIL SERVICE PERFORMANCE
MANAGEMENT PACKAGE (PMP) IN ZAMBIA**

Please fill in this part

Ministry:.....
Department:.....
Job Title:.....
Date of Interview:.....
Start Time:.....
End Time:.....

INTRODUCTION FOR RESPONDENTS

My name is Mr. Njekwa Mate, a postgraduate student at the University of Zambia (UNZA), conducting a study on the Civil Service Performance Management Package (PMP) in Zambia. The purpose of this study is to enable me, in part, fulfil the requirements for the award of a Master of Public Administration at UNZA. You have been sampled as a respondent in this study and I would like to ask you a few questions. The information you will provide will be kept strictly confidential and will be aggregated with that offered by other respondents. I, therefore, encourage you to be as open as possible and express yourself freely.

INSTRUCTIONS

1. Please “circle” OR “tick” the answer that reflects your opinion or viewpoint.
2. Where a pre-determined set of answers is not given please write the answer that is closest to your opinion in the space/spaces provided.

SECTION A: BACKGROUND INFORMATION

1. Gender: (1) Male (2) Female
2. How old are you?.....years
3. Marital status:
(1) Single
(2) Married
(3) Divorced

- (4) Widowed
- (5) Separated

4. Highest level of education attained...

- (1) Primary
- (2) Junior Secondary
- (3) Senior Secondary
- (4) Certificate/Diploma level
- (5) Degree level
- (6) Postgraduate level
- (7) Other (specify).....

5. What is your basic monthly salary, including allowances?

- (1) Less than K 250,000
- (2) K 250,001- K 500,000
- (3) K 500,001- K 750,000
- (4) K 750,001- K 1,000,000
- (5) More than K 1,000,000

	1= Less than 2 years ago 2= 2-4 years ago 3= 4-5 years ago 4= 5-6 years ago 5= More than 6 years ago 99= I don't know
6. When did you join the civil service?	1 2 3 4 5 99
7. When did you start serving in your current position?	1 2 3 4 5 99

8. You are employed on...

- (1) Permanent basis
- (2) Contract basis
- (3) Temporal basis
- (4) Other (please specify).....

9. In which civil service grade are you?

- (1) Grade I
- (2) Grade II
- (3) Grade III
- (4) CDE
- (5) Other (please specify).....

SECTION B: PERFORMANCE MANAGEMENT

	1= Yes 2= No 88=Not Applicable
10. Are you aware of your ministry's strategic plan?	1 2 88
11. If 'No' to Q.10, why?	
.....	
12. Does your ministry follow its strategic plan?	1 2 88
13. If 'No' to Q.12, why?	
.....	
14. Are you aware of your department's work plan?	1 2 88
15. If 'No' to Q.14, why?	
.....	
16. Does your department follow its work plan?	1 2 88
17. If 'No' to Q.16, why?	
.....	
18. Do you have a work plan for your current position?	1 2 88
19. If 'No' to Q.18, why?	
.....	
20. If 'Yes' in Q.18, did you take part in creating a work plan for your current position?	1 2 88
21. Do you follow your work plan?	1 2 88
22. If 'No' to Q.21, why?	
.....	
23. Is the work plan created for your current position clear and easy to follow?	1 2 88
24. If 'No' to Q.23, why?	
.....	

25. Have targets been set for your current position?	1	2	88
26. If 'No' to Q.25, why?			
.....			
27. If 'Yes' in Q.25, did you participate in setting targets for your current position?	1	2	88
28. Are the targets set for your current job achievable?	1	2	88
29. If 'No' to Q.28, why?			
.....			
30. Does your ministry have adequate resources to meet the targets that have been set?	1	2	88
31. Does your ministry reward good performance?	1	2	88
32. If 'No' to Q.31, why?			
.....			
33. Does your ministry penalise those who do not meet their performance targets?	1	2	88
34. If 'No' to Q.33, why?			
.....			

35. The work plan/targets set for my job are:

	1=Strongly Disagree; 2=Disagree; 3=Indifferent; 4=Agree; 5=Strongly Agree; 88=NA/NR; 99=DK/NS						
(a) Appropriate	1	2	3	4	5	88	99
(b) Specific	1	2	3	4	5	88	99
(c) Measurable	1	2	3	4	5	88	99
(d) Achievable	1	2	3	4	5	88	99
(e) Realistic	1	2	3	4	5	88	99
(f) Time-bound	1	2	3	4	5	88	99

	1= Never; 2= Rarely 3= Sometimes 4= Always 88= Not Applicable 99= I don't know
36. How often are the targets set for your ministry/ department met.	1 2 3 4 88 99
37. How often do you meet the targets set for your job?	1 2 3 4 88 99

	1= Yes; 2= No 88= Not Applicable 99= I don't know
38. Are the targets/work plan set for your job kept up to date and reviewed at least once during the year?	1 2 88 99
39. If "No" to Q.38, why?	
.....	
40. If circumstances change during the year are targets, including training and development plans, amended as necessary?	1 2 88 99
41. If "No" Q.40, why?	
.....	

42. How often is your performance evaluated/appraised?

- (1) Never (*skip to Q.47*)
- (2) Once a year
- (3) Once in 2 years
- (4) Once in 3 years
- (5) Other (specify).....
- (99) I don't know

43. When was your performance last evaluated/appraised?

- (1) Less than a year ago
- (2) One year ago
- (3) 2 years ago
- (4) 3 years ago
- (5) More than 3 years ago
- (88) Not Applicable (*skip to Q.47*)
- (99) I don't know (*skip to Q.47*)

44. How much time were you given to prepare for your last performance appraisal?
- (1) Less than one week
 - (2) Between one and two weeks
 - (3) Two – four weeks
 - (4) More than four weeks
 - (88) Not Applicable (*skip to Q.47*)
 - (99) I don't know

	1= Yes; 2= No 88= Not Applicable 99= I don't know
45. Did you receive feedback after your last performance evaluation?	1 2 88 99
46. In case of a delay, have you ever reminded your supervisor of the need for an appraisal?	1 2 88 99

47. Is there a fixed date when your performance should be evaluated?
- (1) Yes
 - (2) No (*skip to Q.49*)
 - (88) Not Applicable (*skip to Q.49*)
 - (99) I don't know (*skip to Q.49*)

48. If 'Yes' to Q.47, state the date?.....

49. Does your ministry have written criteria for performance evaluation?
- (1) Yes
 - (2) No (*skip to Q.52*)
 - (88) Not Applicable (*skip to Q.52*)
 - (99) I don't know (*skip to Q.52*)

50. If 'Yes' to Q.49, were you informed about the criteria used to evaluate your performance in the last evaluation/appraisal?
- (1) Yes
 - (2) No (*skip to Q.52*)
 - (88) Not Applicable (*skip to Q.52*)
 - (99) I don't know (*skip to Q.52*)

51. If 'Yes' to Q.50, how were you informed about the criteria used to evaluate your performance in the last evaluation/appraisal?
- (1) Informally
 - (2) Formally in writing

- (3) Other (specify).....
 (88) Not Applicable
 (99) I don't know

52. On a scale of 1 to 5 indicate the extent to which you disagree or agree with the following statements?	1= strongly disagree 2= disagree 3= indifferent 4= agree 5= strongly agree 99= I don't know
(a) Performance appraisal in the civil service today is just a matter of routine and serves little purpose.	1 2 3 4 5 99
(b) Performance appraisal in the civil service today is not only closed, secretive and highly subjective but also not results oriented as it lacks performance focus.	1 2 3 4 5 99
(c) Performance appraisal in the civil service today is not directly linked to the identification of performance gaps and their corresponding training needs in relation to targets that were set.	1 2 3 4 5 99
(d) There is effective administration of performance appraisal in the civil service today.	1 2 3 4 5 99

53. To what extent does the following occur in the civil service today?	1= never 2= sometimes 3= always 99= DK/NS
(a) Performance appraisal is linked to training and skills development	1 2 3 99
(b) Performance appraisal is linked to the application of rewards.	1 2 3 99
(c) Performance appraisal is linked to the application of sanctions.	1 2 3 99

54. Do you think Performance Management in the civil service today...	1= Yes 2=No 99= DK/NS
(a) Links work to your ministry/division's strategic plan, goals and objectives.	1 2 99
(b) Facilitates the development of clearly stated targets and better understanding of roles.	1 2 99
(c) Encourages employees to participate in planning of work and work process.	1 2 99
(d) promotes better communication.	1 2 99

(e) Helps to ensure that judgement about employee's effectiveness is fair and objective.	1	2	99
(f) Encourages a climate for continuous and an on-going focus on improving skills and work process.	1	2	99
(g) Helps in designing a more focused training based on the needs of the organisation and its employees.	1	2	99

55. Would you prefer the following in the civil service today?	1= Yes 2= No 99= DK/NS		
(a) Performance based reward system.	1	2	99
(b) Non-performance based reward system.	1	2	99
(c) Tangible rewards (such as increased pay and promotion) to be given for poor job performance.	1	2	99
(d) Intangible rewards for good performers.	1	2	99
(e) Both tangible and intangible rewards be applied.	1	2	99
(f) Sanctions be applied for poor job performance.	1	2	99
(g) All poor performers be sent for further training if the cause of poor performance is the lack of or insufficient skills.	1	2	99
(h) Poor performers should be fired.	1	2	99
(i) Poor performers should be retired or retrenched.	1	2	99
(j) Poor performers should be demoted.	1	2	99

SECTION C: IMPACT OF THE PMP

56. Work planning in the civil service today has...

- (1) To a very large extent created a clear focus of what goals and objectives are to be achieved by each worker.
- (2) To a large extent created a clear focus of what goals and objectives are to be achieved by each worker.
- (3) Indifferent.
- (4) To a little extent created a clear focus of what goals and objectives are to be achieved by each worker.
- (5) To a very little extent created a clear focus of what goals and objectives are to be achieved by each worker.
- (6) Not changed anything at all.
- (7) Other (specify).....
- (99) I don't know.

57. Training and skills development as a result of performance appraisal in the civil service today has led to...

- (1) Improvement of individual job/work performance

- (2) Very little improvement of individual job/work performance.
- (3) No improvement at all.
- (4) Other (specify).....
- (99) I don't know.

58. The application of rewards and sanctions in the civil service today has...

- (1) To a very large extent motivated civil servants to put in more to improve their performance.
- (2) To a large extent motivated civil servants to put in more to improve their performance.
- (3) Somewhat motivated workers to improve their performance.
- (4) Not affected the motivation of workers in any way.
- (5) Other (specify).....
- (99) I don't know.

59. Work planning in my current position has...

- (1) To a very large extent made me have a clear focus of the goals and objectives to be achieved.
- (2) To a large extent made me have a clear focus of the goals and objectives to be achieved.
- (3) Indifferent.
- (4) To a little extent made me have a clear focus of the goals and objectives to be achieved.
- (5) To a very little extent made me have a clear focus of the goals and objectives to be achieved.
- (6) Not changed anything at all.
- (7) Other (specify).....
- (99) I don't know.

60. The application of rewards and sanctions in the civil service today has...

- (1) To a very large extent motivated me to put in more to improve my performance.
- (2) To a large extent motivated me to put in more to improve my performance.
- (3) Indifferent.
- (4) To a little extent motivated me to improve my performance.
- (5) To a very little extent motivated me to improve my performance.
- (6) Not affected the motivation of workers in any way.
- (7) Other (specify).....
- (99) I don't know.

61. On a scale of 1 to 5 indicate the extent to which you disagree or agree with the statement that the Performance Management Package in the civil service today has...
- (Where 1=Strongly Disagree; 2=Disagree; 3= Indifferent; 4= Agree; 5=Strongly Agree)

(a) Improved organisational and individual performance.	1	2	3	4	5
(b) Ensured that there is an agreed framework and understanding of planned goals, standards and competence requirements between managers and subordinates.	1	2	3	4	5
(c) Ensured a process of delivery of results and improving Performance through staff development, team cohesion and increased commitment and motivation of employees.	1	2	3	4	5
(d) Brought the alignment of individual expectations with organisational goals.	1	2	3	4	5
(e) Helped put in place a natural process of management that conc everyone in the organisation and encourages constructive and o relationships between subordinates and their managers.	1	2	3	4	5
(e) Directly linked the performance appraisal system to the application of rewards, sanctions and training/skills developme	1	2	3	4	5
(g) Brought about a new work culture of work planning and target setting.	1	2	3	4	5
(h) Introduced a more objective annual performance appraisal syst	1	2	3	4	5
(i) Improved communication between supervisors and their subordinates.	1	2	3	4	5

SECTION D: ATTITUDES TOWARDS REFORM

62. To what extent do you disagree or agree with the following statements:	1=Strongly Disagree 2=Disagree 3=Indifferent 4=Agree 5=Strongly agree 99=I don't know
(a) Civil service reforms come and go but things basically remain the same.	1 2 3 4 5 99
(b) Valuable time that could be put to better use is wasted on civil service reform efforts.	1 2 3 4 5 99
(c) The only tangible result of attempts at civil service reform is making civil servants feel less secure in their jobs.	1 2 3 4 5 99
(d) Under the present system, civil servants are often given jobs without the necessary qualifications to carry them out.	1 2 3 4 5 99
(e) Under the present system, civil servants are often given jobs without the necessary experience to carry them out.	1 2 3 4 5 99
Under the present system, civil servants are often given jobs without the necessary resources to carry them out.	1 2 3 4 5 99
A bonus or other financial reward is one way of motivating civil servants.	1 2 3 4 5 99

63. What comments do you have about this study?

.....

.....

.....

END OF INTERVIEW

THANK YOU!

Appendix 4: Interview Guide for PIT Representatives

EVALUATION OF THE CIVIL SERVICE PERFORMANCE MANAGEMENT PACKAGE (PMP) IN ZAMBIA

Please fill in this part

MINISTRY:.....

DATE OF INTERVIEW:

START TIME:

END TIME:

INTRODUCTION FOR RESPONDENTS

My name is **Mr. Njekwa Mate**, a postgraduate student at the University of Zambia (UNZA), conducting a study on the Civil Service Performance Management Package (PMP) in Zambia. The purpose of this study is to enable me, in part, fulfil the requirements for the award of a Master of Public Administration at UNZA. As a PIT member you have been selected as a respondent in this study and I would like to ask you a few questions. The information you will provide will be kept strictly confidential and will be aggregated with that offered by other respondents. I, therefore, encourage you to be as open as possible and express yourself freely.

INSTRUCTIONS

1. Please write the answer that is closest to your opinion in the space/spaces provided.
2. If your answer is “Yes” or “No” provide an explanation.

Q. 1. Has your ministry set up PMP implementation timetables, work plans and ground rules for the PIT?

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

Q.2. Has the PIT in your ministry identified any issues that may have arisen during the implementation of the PMP and recommended solutions to management for appropriate action?

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

Q.3. Does the PIT in your ministry liaise regularly with a nominated MDD official and other PITs?

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

Q.4. Does the PIT in your ministry meet at least once every month?

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

Q.5. Does the PIT in your ministry review progress in the implementation of the PMP and report to MDD/Permanent Secretary and other senior management on a quarterly basis?

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

Q.6. Has the PIT in your ministry ever arranged and enhanced further PMP training in the ministry and provinces?

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

Q.7. Does the PIT in your ministry make follow-ups on specific needs identified by the APAS?

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

Q.8. Has the PIT in your ministry initiated and developed strategies for improving both individual and organisational performance?

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

Q.9. Does the Pit in your ministry co-ordinate the preparation and use of work plans?

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

Q.10. Does the PIT in your ministry induct new members of staff on General Orders, Financial Regulations, Conditions of Service, PMP, APAS and operations of the Ministry?

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

Q.11. Has the PIT in your ministry ever prepared a budget which should be included in the Ministry's budget?

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

Q.12. Does the PIT in your ministry sensitise all members of staff in the ministry or provinces on the importance of PITs?

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

Q. 13. Has the PIT in your ministry facilitated the establishment of PITs at provincial and district levels and other implementing agencies?

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

END OF INTERVIEW

THANK YOU!

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