

**EVALUATION OF THE EFFECTIVENESS OF THE ANNUAL
PERFORMANCE APPRAISAL SYSTEM (APAS) IN SELECTED MINISTRIES
OF THE ZAMBIA CIVIL SERVICE**

By

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requirements for the degree of Master of Public Administration

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- a) Represents my own work;
- b) Has not previously been submitted for a degree at this or any other University;
- c) Does not incorporate any published work or material from another report.

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CERTIFICATE OF APPROVAL

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ABSTRACT

In 1997, the Government of Zambia introduced the Annual Performance Appraisal System (APAS) which was an integral part of the Performance Management Package (PMP) with the principal objective of introducing a culture of work planning and target setting in Government Ministries and Other Spending Agencies. The objectives were to improve efficiency and effectiveness of the Public Service in the performance of its functions and put in place an effective personnel appraisal instrument in making vital personnel decision. The main concern of this study was that for the past 19 years of the existence of the APAS, performance in the Civil Service has not. There was still poor service delivery resulting from under performance from main of the Civil Servants.

The main objective of this study was to evaluate the effectiveness of the APAS in improving performance in selected Ministries of the Zambian Civil Service. Specific objectives included: (i) to determine the implementation of performance planning and monitoring among Civil Servants in selected Ministries (ii) to establish if the APAS was effectively used in appraising performance of Civil Servants in selected Ministries,(iii) to determine the extent of the utilization of the APAS in making Human Resource decisions in selected Ministries.

Both primary and secondary methods of data collection were used. This study involved the use of questionnaires, semi-structured interview guide and other relevant documents. A mixture of stratified random and clustered sampling was used to draw a sample 126 respondent from three (3) restructured Ministries namely Education, Health and Agriculture. Quantitative data was analyzed using the Statistical Package for Social Sciences (SPSS) and Microsoft Excel Computer Software Package.

The study revealed that APAS was not effectively used in appraising performance in concerned Ministries. Departmental and Individual Work plans and target setting were not strictly adhered to in all the concerned Ministries. Furthermore, APAS was only used for the purposes of confirmation and substantive promotions in the Civil Service. The study also revealed that there were inconsistencies in implementing performance planning, monitoring and feedback provision in the concerned Ministries. It was also revealed that the APAS was not effectively used in making critical human resource decision such as identifying officers who should be promoted. Finally, it was revealed that the APAS had not achieved almost all the objectives for which it was established.

DEDICATION

The document is dedicated to people who have had great influence on both my life and my study program for this Master's degree.

I dedicate this document to my wife, Grace Chipalo Kamfwa, and my Children, Kayeye Kamfwa, Chabala Kamfwa,, Esnart Mpuya Kamfwa,, Chimwemwe Kamfwa and Lilian..K. Kamfwa.

I also wish to dedicate the document to the most hardworking Civil Servants who, despite having not been rewarded in their efforts to contribute to national development, have never given up and are self-motivated.

Finally, I dedicate the document to the Almighty God, who gave me wisdom and encouragement from the time I started school. Through the Almighty, I express my profound appreciation, inspiration and encouragement from my late Father, Mr. Lephon Kamfwa Kayeye, and my Mother, Mrs. Esnart Mpuya Kamfwa.

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I am greatly indebted to all the Civil Servants who responded positively at Ministries of Education, Health and Agriculture, in both Ndola and Lusaka.

Nonetheless, the researcher apportions no responsibility on any of the parties herein mentioned for whatever misrepresentation, misconceptions and /or omissions.

LIST OF ABBREVIATIONS

| | |
|--------------|--|
| ACR | Annual Confidential Report |
| APAS | Annual Performance Appraisal System |
| APECS | Annual Performance Evaluation in the Civil Service |
| HRIS | Human Resources Information System |
| KRA | Key Result Area |
| KPI | Key Performance Indicators |
| MBO | Management by Objectives |
| MDD | Management Development Division |
| PA | Principal Accountabilities |
| PAT | Performance Against Targets |
| PEP | Performance Enhancement Process |
| PMP | Performance Management Package |
| P R P | Performance Related Pay |
| PMS | Performance Management System |
| PRSP | Public Service Reform Programme |
| PSM | Public Service Management |
| PSMD | Public Service Management Division |

SMART **S**pecific, **M**easurable, **A**chievable, **R**ealistic, **T**ime Bound.

SPSS Statistical Package for Social Sciences

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CHAPTER ONE

INTRODUCTION AND BACKGROUND

INTRODUCTION

This dissertation presents an evaluation of the effectiveness of the Annual Performance Appraisal System (APAS) in the Civil Service through selected Ministries of Education, Agriculture and Health, in the Zambia Civil Service. The APAS is new appraisal tool which is currently being used since the launch of the Performance Management Package (PMP) in 1997. It was intended to put in place an effective personnel evaluation instrument that would be based on target setting and work planning in order to improve performance in the Public Service and create optimal, efficient and effective service delivery.

BACKGROUND TO THE STUDY

Measuring performance has continued to expand over the past twenty (20) years and has been the order of the day in today's public sector. This is because the focus on performance, not only has an impact on the typical functions of management and components like Human Resource Management, finance, strategy and many more, but also makes a difference in the nature of policy and management systems in the public sector (Bouckaert & Halligan, 2008).

Prior to the introduction of the Performance Management Package (PMP), assessment of individual performance was through the Annual Confidential Report (ACR). The Zambian government had been using the ACR passed on from the British Colonial Administration, as the only tool for assessing performance in the public service. The ACR was not objective as it was based on the supervisors' personal observations and perceptions about an individual. This appraisal tool was not based on work planning and targets setting and, therefore, it had no baselines for performance delivery. The ACR was later found to be one sided because the Appraisee did not have access and input in the whole process since the manager or supervisors had to do the whole process without the input and contribution of the one being appraised.

According to Cabinet Office (1997), the ACR failed to give confidence to the Public Servants, since it was a closed system and only the Managers or Supervising Officers had access to the

whole process. The ACR never inspired the appraisee because it was seen as a way of settling old scores between the juniors and their supervisors. Very few Public Servants had confidence in the ACR because it never promoted career development, rewards and recognition but was strongly used for sanctions.

In order to improve performance assessment, action was initiated under the Public Service Reforms Programme (PRSP) to restore the credibility of the staff reporting mechanism through the introduction of a new Annual Performance Appraisal System (APAS) to replace the traditional annual confidential reporting system (PRSP Bulletin, 2006). The APAS was introduced under component two (2) of the PSRP two (2) which was launched in November, 1993, and its goal was to improve the quality, efficiency and cost effectiveness of the Public Service to the people of Zambia, (Mulikita, 2002). This came after the government's realization that the performance of the civil service was not improving. One of the focus of the PRSP was Management and Human Resource Performance improvement. That, therefore, prompted two objectives that lead to the birth of the APAS.

The objectives of component Two (2) of the Public Service Reform Program (PSRP) were:

- (i) To improve the efficiency and effectiveness of the Public Service in the performance of its functions by establishing Management Systems of accountability and performance in the Public Service and developing skills which will enable senior managers to effectively manage the Public Service.
- (ii) To put in place an effective personnel evaluation instrument and management information system to enable the Government to compile and manage data useful in making vital personnel decisions at the time of confirmation, promotion, discipline, transfer and retirement of Public Servants, (ibid).

According to Cabinet Office (1997), the APAS was, therefore, a component of the performance Management Package (PMP). It is the Civil Service mechanism used for appraising the performance of the individual Civil Service employees. It is a system of annually reviewing and assessing a job holder's performance in the job against set targets of the work plan. More specifically, the APAS was introduced to:

- (i) Assess the job holder's achievements (Performance) against set targets.

- (ii) Establish the jobholders strengths and weaknesses in the performance of the job;
- (iii) Identify the causes of the weaknesses;
- (iv) Recommend further developmental or training needs of an individual to fill the training gaps between a job specification , job description and the individual ; and
- (v) Appropriately reward employees who perform well.

STATEMENT OF THE PROBLEM

The principal objective of the PMP was to introduce a culture of work planning and an open appraisal system to facilitate the monitoring and evaluation of performance and individual productivity in the Public Service. The main goal was to improve efficiency and effectiveness in service delivery in the Public Service.

To ensure that the employees' performance was properly assessed, the government introduced a new performance appraisal tool known as APAS, which was an integral part of the PMP. The introduction of the APAS gave hope to Management that employees' performance would improve whereby poor performers would be highlighted and recommended for training, while good performers would be recommended for Promotion or notch increment in the salary. The implementation of the Performance Appraisal System was to ensure that employees were effectively assessed and to increase work performance, (Ibid, 2006).

The main concern of the study was that for the past nineteen (19) years the APAS had been used as an appraisal tool whose principal objective was to improve performance and individual productivity in the Civil Service. Despite being appraised every year, the employees' performance in the Civil Service had not reached the standard expected by the general Public. The services were still not delivered effectively and efficiently. As a result, it was not known whether APAS effectively succeeded in improving performance and individual productivity in the Civil Service.

GENERAL OBJECTIVE

The general objective of the study was to evaluate the effectiveness of the APAS in improving performance in Selected Ministries of the Zambia Civil Service.

Specific Objective

1. To determine implementation of the performance planning and monitoring among Civil Servants in the selected Ministries.
2. To establish if the APAS is effectively used in appraising performance of Civil Servants in selected Ministries.
3. To determine extent of the utilization of the APAS in making Human Resource decisions in selected Ministries

Research questions

The study sought answers to the following questions.

- i. How was the implementation of performance planning and monitoring among done Civil Servants in the Ministry?
- ii. How effective was the APAS used in appraising performance improvement in the Ministry?
- iii. How was the APAS being utilized in making Human Resource decisions in the Ministry?

SIGNIFICANCE OF THE STUDY

This study was significant because it generated some knowledge and understanding about the APAS in work planning, target setting and making vital personnel decisions based on the performance reviews of employees in the Civil Service.

The findings of this study may be used by policy makers to reformulate performance appraisals in the country, as the study provided important information on what exists in the appraisal process. It will also contribute to the body of knowledge on the effectiveness of performance appraisals.

This study would bring to light employees understanding and appreciation of the performance appraisal system and the relevance of an objective, systematic and effective performance appraisal.

CONCEPTUAL FRAMEWORK

This study was informed by the theoretical frameworks governing *Management Evaluation Model*, with a clear reflection on performance appraisals. According to Payne et al (1994), the basic idea of the management evaluation approach is that the evaluator's job is to provide information to management to help them in making decisions about programmes, products and others. The evaluator's job is to serve managers or whoever the key decision makers are for that programme. Ogula (2002) quoted by Mkandawire (2012) also adds that "the rationale of the management oriented evaluation approach is that evaluation data are an essential component of good decision making". Therefore, this study employed the Context evaluation, input evaluation, process evaluation and product evaluation CIPP Model as proposed by Stufflebeam.

According to Smith (1980), CIPP model was developed by the Phi Delta Kappa Committee on evaluation. Stufflebeam (1971) describes evaluation according to the CIPP model as a "process of delineating, obtaining and providing useful information for judging decisions alternatives". The CIPP evaluation model is therefore a Comprehensive framework for guiding evaluation of programs, projects, personnel, products, institutions and systems. According to Stufflebeam's CIPP Model (1971), this model has a number of components which it addresses. It is a simple system model applied to programme evaluation. A basic open system includes input, process and output. Stufflebeam added context, included input and process, and relabeled output with the term product. It is important to note that the CIPP model components are typically viewed as separate forms of evaluation, but they can also be viewed as steps or in comprehensive evaluation (ibid).

Summary of the CIPP Management Model according to Stufflebeam

Context evaluation – this serves planning decisions by identifying unmet needs, and unused opportunities. It helps in examining and describing the context of the programme under evaluation, conducting a needs and goals assessment, determining the objectives of the programme, and determine where the proposed objectives will be sufficiently responsive to the identified needs, Stufflebeam (1971).

This study would use context evaluation in examining whether the objective work planning and target setting to improve service delivery has been the cornerstone in performance improvement. This study will also check if effectiveness has been achieved Vis a Vis the objectives for which the performance appraisal process was established in the Civil Service. *Input evaluation* –this

serves structuring decisions by projecting and analyzing alternative procedural designs. It has to do with activities such as a description of the program inputs and resources, a comparison of how the programme might perform compared to the other programmes, an evaluation of the proposed design of the programme and examination of what alternative strategies and procedures for the programme should be considered and recommended, Stufflebeam (1997).

This study would link the process of strategic planning, work planning, target setting and performance appraisal. The study also links performance improvement towards the set goals in that particular year or period of the appraisal. Employee goals that are met or have significant progress made by a set time such as the next evaluation.

Process evaluation – this serves implementing decisions by monitoring project or programme operations. It has to do with examining how the programme is being implemented, monitoring how the programme is performing, auditing the programme to make it is following required legal and ethical guidelines, and identifying defects in the procedural design or the implementation of the programme. Evaluators typically provide this kind of feedback to the programme personnel because it can be helpful in making process evaluation decisions such as decision about how to modify or improve the programme, Stufflebeam (1997).

In this study, process evaluation would help in assessing whether improved performance is rewarded and punished in an event that there is sub-standard performance.

Product evaluation – this serves recycling decisions by determining the degree to which the objectives have been achieved and by determining the causes of the obtained results. It has to do with determining and examining the general and specific outcomes of the programme such as those which require using impact or outcome assessment techniques, measuring anticipated outcomes , attempting to identify unanticipated outcomes, conducting a retrospective benefits/cost assessment and conducting a cost effectiveness, (ibid).

The concept of the CIPP model as postulated by Stufflebeam resonates very well with this study. This study links product evaluation to the reward/sanction that comes with the level of expected performance. The study links the human resource decisions that are made after the conclusion of the appraisal process. The CIPP evaluation model is a comprehensive framework for guiding

evaluation of personnel and systems. Corresponding to the letters in the acronyms CIPP, this model's core parts are context, inputs and product evaluation. In general these four parts of an evaluation respectively asks, what needs to be done? How should it be done? Is it being done?

Did it succeed?

Did it succeed? Product evaluation is part is divided into impact, effectiveness, sustainability and transportability evaluation. Respectively, these four product evaluation subparts ask, were the right beneficiaries reached? Were the needs met? A way of assessing the effectiveness of an appraisal system is by measuring its degree of the impact on the general outputs in terms of planned work and targets set. In this study, therefore, the term effectiveness was used to refer to the degree to which performance was improving service delivery. Generally, the CIPP Model, is more focused on determining the effectiveness of any program and the personnel involved. It can be correctly argued that the effectiveness of the organization can only be known after the performance of organization activities planned. Therefore, contextual evaluation of the CIPP model resonates well with effective work planning process from which performance appraisals can be conducted. Effectiveness in an appraisal system can hence, measure the work planned and the target met out of what was planned.

Another way of assessing the effectiveness of the input evaluation in the CIPP model would be to examine work planning process. The input evaluation asks question of, how shall we do it? Work planning must be aligned to the organization's long term objectives. Work planning must state, in specific terms, targets to be achieved (at institutional or individual employee levels). Feedback and monitoring must be developed to check achievement of goals. Both the supervisor and the subordinate must have full commitment to the work planned.

This study adopted the process evaluation of the CIPP model which asks a question, are we doing as planned? In every performance appraisal there has to be performance monitoring. Performance monitoring is an activity which involves a series of observations carried out to show the extent of progress towards attainment of set goal in work plans. Performance monitoring should, therefore, be based on well-defined indicators, shown in the strategic plans, and targets as contained in departmental and individual work plans. Product evaluation of the CIPP model, looks at the outcome and the impact created in the whole process of the evaluation. It asks a

question, has what was planned achieved? This is an area that requires feedback to be provided on the planned activities whether they have achieved or not.

LITERATURE REVIEW

Introduction

To ensure that there was a consolidated background to the study, it was essential to have an extensive review of information on related literature in order to strengthen the study. This literature review is focused on defining the APAS, objectives of the APAS, effectiveness of performance appraisal, challenges of the performance appraisal, requirements and components of a good appraisal system. Therefore, this literature review was born out of the desire to find answers to some unanswered questions raised to fill the information void that their arguments leave.

The Concept Performance Appraisal

Kirkpatrick (2006) defines an Appraisal as “the evaluation or judgment of how well a job has been done, always done by the supervisor with or without input from other people”. An appraisal interview has been defined as “the discussion of the appraisal between the supervisor (reviewer) and the employee (person being reviewed). This interview may consist of communication of the supervisor’s appraisal to the employee and vice versa and agreements on the strengths of the employee, fair appraisal, job segments and needing improvement and also on performance improvement plan that specifies what needs to be done in order to improve performance.

Different scholars have different views of the term ‘performance appraisal’ and have defined it differently. Lansbury (1988) defined it as “the process of identifying, evaluating and developing the work performance of employees in the organization, so that the organizational goals and objectives are more effectively achieved, while at the same time benefiting employees in terms of recognition, receiving feedback, catering for work needs and offering career guidance”.

Shelly (1999) describes performance appraisal as the process of obtaining, analyzing and recording information about the relative worth of the employee. The focus of performance appraisal is measuring and improving the actual performance of the employee and also the future

potential of the employee. Its aim is to measure what an employee does. Shelley, again, considers performance appraisal as a systematic way of reviewing and assessing the performance of an employee during a given period of time and planning for his future. It is a powerful tool to calibrate, refine and reward the performance of the employee. By focusing the attention on performance, performance appraisal goes to the heart of HR management and reflects the management's interest in the progress of the employee.

Moats (1999) corroborate Shelley's (1999) position and further adds that performance appraisal is a process by which organizations evaluate employees perform based on preset standards. Moats describes the purpose of the appraisal as helping managers effectively staff companies and used human resource, and ultimately improving productivity. According to Moat when conducted properly, appraisals serve the purpose Shelly describes by: (1) showing their employees how to improve their performance, (2) setting goals for employees, and (3) helping managers to assess subordinates' effectiveness and take actions related to hiring, promotions, demotions, training, compensation, job design transfers and terminations.

The above exposition given by Moats and Shelley collectively establish performance appraisal, as a clear and concise, regular and unbiased system of rating an employee's performance in his/her current position, which can also be used to determine how far the employee can go in career development. The above expositions will further help this study to verify if the Zambia

Civil Service's introduction of the APAS agrees with the two author's exposition. These concepts provide a guide to the APAS as in perspective of study with regard to its purpose.

The above definitions of performance appraisal clearly show the dimensions of performance and/or criteria that are used in the process of evaluation. This makes performance appraisal a process of evaluation, where quantitative scores are often assigned based on the perceived result of the job performance of the employee on the criteria used, and the scores are also reviewed to the appraisee

.

The above views will, therefore, help the study in defining weather the APAS is an organizational framework, which records the performance of its employees and the whole organization. Furthermore, the above views will help the study to cross check if the

introduction/objectives of the APAS and replacement of the ACR are in conformity with the above definitions given by the above authors and scholars

Objectives of Performance Appraisals

Fletcher (1994) asserts that the objective of the appraisal scheme should be determined before the system is designed in details. The objectives will, to a large extent, dictate the methods and performance criteria for appraisal so that they should be discussed with employees, managers and trade unions to obtain their views and commitment. The main objectives of an appraisal system are usually to review performance, potential and identify training and career needs. In addition, the appraisal system has to determine whether employees should receive an element of financial reward for their performance.

Wesley (2004) also identifies some objectives of performance appraisals indicated below:

- i) To review the performance of an employee over a given period of time ii) To judge the gap between the actual and the desired performance.
- iii) To help the management in exercising organization control
- iv) Helps to strengthen the relationship and communication between management SuperiorsSubordinate and Management-Employees.
- v) To diagnose the strengths and weaknesses of an individual so as to identify the training and development needs of the future.
- vi) To provide feedback to the employee regarding their past performance. vii) Provide information to assist in the other personal decisions in the organization.
- viii) To judge the effectiveness of the other human resource functions of the organization such as recruitments, selection, training and development.

Competent appraisal of individual performance in an organization or company serves to improve the overall effectiveness of the entity. McGregor in Moats (1999) describes the three main functional areas of performance appraisal systems as: administrative, informative and motivational. According to Addison-Wesley (2001), appraisals serve an administrative role by facilitating an orderly means of determining salary increases and other rewards, and by delegating authority and responsibility to the most capable individuals. Again, Moats says the informative function is fulfilled when the appraisal system supplies data to managers and

appraises about individual strengths and weaknesses. Bodil (1997) finally describes the motivational role to entail creating a learning experience that motivates workers to improve their performance. When effectively used, performance appraisals will be seen to be playing a major role in helping employees and managers establish goals for the period of the next appraisal (Addison-Wesley, 2001).

This study draws one major lesson from Fletcher, Wesley, McGregor, Addison –Wesley and Bodil. This is that performance appraisal should eventually have an aim of identifying training and career needs, identifying strengths and weaknesses financial rewards and improving service delivery. The five authors above gave general objectives that have acted as guidance to most of the organizations that want to create a good performance appraisal system. Furthermore, this study will use the above objective to see the linkage with some of the objectives on which the Zambian appraisal system has been anchored. The study will also validate the perception of the Performance appraisal system that is used in most organizations including the Zambian Public Service.

Effectiveness of Performance Appraisals

The effectiveness of a system is defined as an external standard “of how well the system has met the demands of the various groups and organizations that are concerned with its activities”. It is also a construct for doing the right things or having validity of outcomes. (Hines et al 2000)

Walsh and fisher (2005) asserts that the ideal purpose of the appraisal is to present employees with worthwhile feedback that the latter can instantaneously use to improve respective performance. This may involve encouragement to carry on with their good performances and positive behaviors and suggestions on what aspects need to be changed. Managers can demonstrate to their subordinates the value of improving their performance and of development of skills for possible promotion, added responsibilities, and increase in monetary compensation and benefits.

According to Ikemefume & Chidi (2012) effective performance appraisal system is important in improving the performance of the employee; encourage him or her to bring out their opinions or to seek clearance on the duties of the job. An effective performance appraisal system should also be free of bias with the appraiser being objective and the method of appraisal must be

characterized with fairness and equity. It should be transparent in order to give feedback to employees regarding their strengths and weaknesses. Performance Appraisal should also be concerned with establishing a plan for performance improvement.

Talking of an organization's performance improvement in particular, (Stone, 2008) advocates that its appraisal system has to be dynamic. It should focus on the growth of the employees and development by setting new goals other than judging and making decisions about the employees' performance. This kind of appraisal is likely to be effective as evidenced by a study that was conducted by the Hay group the most admired organization in the world set goals that are very challenging and link pay reach the goals and are more long term performance oriented, (ibid).

The three authors above, Wash and Fisher, Ikemefume and Chidi, and Stone bring out a point on which an effective appraisal system is anchored, which is *feedback* to the appraise. This study will, therefore, adopt the effectiveness of feedback in the appraisal process. Though Wash and Fisher does not specify the best suggestion how to pin point what has to be changed in the feedback process, this study will adopt the view by the two authors as a basis for an effective appraisal.

(Mullins, 2005) asserts that the underlying objective of performance appraisal is to improve the performance of individuals leading to improvement in the performance of the organization as a whole. An effective appraisal scheme, therefore, offers a number of potential benefits to both the individual and the organization.

- (i) It can identify an individual's strengths and areas of development and indicate how such strengths may best be utilized and weaknesses overcome.
- (ii) It can help to reveal problems which may be restricting progress and causing in-efficient work practices.
- (iii) It can develop a greater degree of consistency through regular feedback on performance and discussion about potential. This encourages better performance from staff.
- (iv) It can provide information for human resource planning, to assist succession planning, to determine suitability for promotion and for particular types of employment and training.

- (v) It can improve communications by giving staff the opportunity to talk about their ideas and expectations, and how well they are progressing.

Mullins (2005) further asserts that the effectiveness of any appraisal system relies heavily on the quality and reliability of assessment. Variations in the consistency of reporting standards can quickly lead to a feeling of dissatisfaction and injustice. There are many potential sources of rating errors including, for example, *perceptual distortions* such as *stereotyping* and the *halo effect*. Where a senior manager has the opportunity to confirm the ratings and countersign the appraisal this may help to identify inconsistencies and those appraisers who appear to be too generous or too critical their assessment.

Mellbring (1999) postulates that managing employees' performance to the required standards of the organization demands total commitment from management. The Performance Appraisal System established by the organization can either be costly or beneficial to it depending on how much effort the human resource department is putting. It could be costly if the organization is not getting the best result from its employees in terms of performance. The resources required to carry out effective performance appraisal can cost a lot of money if the benefit is not realized. Management need to be careful and strict when the time of assessing employees comes.

The above observations by Mullins are almost all the reasons why the Annual Confidential Report (ACR) in Zambia was abolished and the APAS introduced. Mullins observations will relate to this study in analyzing if the APAS has areas that allow stereotyping and halo effect. Mellbring will relate to this study in checking whether inconsistencies in the appraisal process is the cost involved as a final product.

Verspoor (2001) asserts that one of the ways in which the human resource department can understand and know the employees properly is through the use of the Performance Appraisals. When employees are appraised, their strength and weakness at work usually come to surface. When then Human resource manager understands his or her workforce, it will be easier to design and implement the required training for the employees or even some motivational strategies for the employees. Many employers fail to get the best out of their employees because they do not understand them at place of work.

Lockyner (2002) Human resources are assets to the organization if handled carefully. This means that if not well motivated workers can make the organization collapse or experience a lot

of losses. They can destroy the reputation of the organization without the owners knowing as they mishandle reliable clients. Management should be very careful when dealing with their employees. A motivational strategy should be designed that can satisfy the employees. Goals and objectives should be realistically set and even the performance appraisal system should be more practical than theoretical.

The two authors bring out very important points that there is need by management and human resource department in understanding employees. Therefore, the effectiveness of the APAS in making Human resource decision relies on how often employees are appraised. The expositions made by the two authors above will be used in this study to see if the Zambia APAS met the above expectations.

Challenges of Performance Appraisal

Rasch (2004) observes that there are chances of opposition for valuation due to fear. If the evaluation system is poor, it will not give adequate effect. Problems such as *leniency* or *harshness error*, *central tendency error*, *personal bias error*, *contrast error* also affect the performance appraisal of an employee. Each employee should be evaluated by his/her supervisor and to discuss each other to set objectives for upcoming evaluation. This discussion should cover the review of overall progress, problems encountered, performance improvement possibilities, long term career goals, specific action plan about job description and responsibilities, employee development interest and needs, to concentrate specific areas of development, to review performance objectives and standards, ongoing feedback and periodic feedback.

Rasch's observations are the ones that were very common in the Zambia ACR because they did not leave room for the Supervisors to discuss performance improvement with their subordinates. There could be some noticed challenges in the appraisals system .This study, therefore, will endeavor to cross check, if supervisors find time to set targets with their subordinates and weather performance improvement is usually discussed.

Requirements of a Good Appraisal System

The study conducted by Njekwa Mate (2006) asserts that 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 behavior 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. In his study, Mate wanted to know whether feedback was given to the appraised or not. From his findings it can be concluded that most of the workers are not given feedback.

According to Njekwa Mate (2006) 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 pays lips as part of the new payroll management and established project. This was designed to make the process more transparent and consistent. An examination of the civil servants pay slip reviewed that each employee’s performance was to be appraised at least once in a year. The study revealed that 77.9% of the respondents “disagreed” with the statement that there was a fixed date when their performance should be evaluated. From the above findings, it can be concluded that the appraisal process for every worker in the Zambian Civil Service is done annually, however, most of the civil servants are not aware about it.

Mate (2006) further asserts that 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 skills development to be undertaken by the concerned job holder, so as to improve their performance. The study further reviewed that the majority of Civil Servants interviewed (58.9%) were with a view that there was no effective administration of performance appraisal in the civil service today , while an aggregate majority of them (58.9) perceived the performance appraisal in the Civil Service today as that which was just a matter of routine and serving little purpose.

Mate’s research brings out a very important question of who is expected to provide feedback in the appraisal process. Mate’s findings are that there is no commitment on providing feedback on rewards, sanctions, training and skills gap. In this study mate’s findings will be used to validate if there has been a shift in the trend. This is very important for this study because giving feedback contributes to the effectiveness of the appraisal process.

According to Cummings and Worley (2005) early studies concluded that objective feedback as a means for improving individual and group performance has been “impressively effective” and has been supported by a large number of literature reviews over the years. Another researcher concluded that “objective feedback does not usually work, it virtually always works. In field studies where performance feedback contained behavior-specific information, median performance improvements were over 47%; when the feedback concerned less specific information, median performance improvements were over 33%. In a meta-analysis of performance appraisal interventions, feedback was found to have a consistently positive effect across studies. In addition, although most appraisal research have focused on the relationship between performance and individuals, several studies have demonstrated a positive relationship between group performance and feedback.

The above studies do not disclose whether the appraisal process was designed for small firms or government. The study is particularly important as it will show weather the Zambian appraisal system needs a meta-analysis or the behavior-specific information in its design. This study therefore focuses on meta-analysis of performance appraisal due to its responsiveness in many areas of the appraisal process.

According to (Chatterjee, 1999) a good performance appraisal system to be valid must be: *relevant*, not *contaminated*, and not *deficient*. **Relevant** implies that there must be clear links between the performance standards for a particular job and an organization’s goals. Not **contaminated** means that the appraisal must avoid assessing other elements besides performance. Not **deficient** stands for an assessment that measures all the important aspects of performance. In a word, a performance appraisal system must be valid and in order to be that, it must conform to the standards outlined above.

While it is difficult to point out which one is the best appraisal system, it is important to mention that performance appraisal systems that are successful have certain characteristics. According to (Antony, Perrewe, & Kacmar 1999), the criterion for success is such that a good performance appraisal should have clear objectives; reflecting the needs of all stakeholders with a clear purpose. In this case one may think of administrative or developmental purposes mentioned in earlier. Further, management and employees must be endorsed were by the whole workforce supports the system. This means that even in the case of expenses like further training, appraisal instruments, meetings and time, management must be able to foot the expenses. An appraisal system must be designed and also be characterized with flexibility so that it adapts to the

dynamic changes going on, it should accommodate the various philosophies of the organizational and geographical location. (ibid)

According to Giles and Mossholder (1990) one of the most frequently measured appraisal reaction is satisfaction. Appraisal satisfaction has been mainly viewed in three ways:

- i) Satisfaction of the appraisal system
- ii) Satisfaction with the appraisal system
- iii) Satisfaction with performance ratings

Satisfaction of performance appraisal is an indication of the degree to which subordinates are satisfied, serves as a report of the accuracy and fair evaluations of performance, and the feel that they will improve their working relations with their supervisors.

Assessing the appraisal fairness is a more complicated phenomenon compared other reactions from performance appraisal. In recent times, however, researchers in performance appraisal have brought to life the concepts of procedural and distributive justice and have used these measures to assess and justify the issues of fairness (Korsgaard and Roberson, 1995). To this effect, Appraisal fairness has been integrated in four different ways:

- (a) Fairness with performance ratings
- (b) Fairness with the appraisal system
- (c) Procedural justice, and (d) Distributive justice.

Most employees have mixed feelings with performance appraisal systems. While some believe that it carries some biases and largely fails to meet its objectives, others find it a means to justify their performance. According to Rasch (2004), managers commit mistakes while evaluating employees and their performance. Some of these biases are perceived by employees as ways of unfairly interpreting their performances. Biases and judgement errors of various kinds may spoil the performance appraisal process. Bias, according to Shelly (1999) refers to inaccurate distortion of a measurement.

Moats points out that, even when a performance evaluation programme is structured appropriately, its effectiveness can be diluted by the improper use of subjective as opposed to objective measures. The above authors are all quite relevant to this study because they argue that a good performance appraisal is one which is relevant, not contaminated and not deficient. This study will adopt the position of Gile and Mossholder, and Korsgaard and Roberson whose views are satisfaction and fairness in the appraisal process respectively.

In his research, Nyirenda (1990) asserts that there are certain standards or requirements that a performance system should meet if it is to serve its purpose for the organization using it. A good performance appraisal system must be job oriented, reliable valid for the purpose for which it is being used, standardized in its procedures and practical in its administration. It should be suited to the organization culture; for example a system based on employee participation and openness, as the Annual Performance Evaluation in the Civil Service (APECS) scheme claims to be, would be a non-participative in its approach to other employee-related policies. Readymade performance evaluation systems imported from other organisations and or countries rarely function satisfactory. This failure is largely due to organizational cultural differences.

The study by Nyirenda did not clearly state the reasons why the APECS was abolished in 1993 and government designed the APAS which is currently being used in the Civil Service.

Nonetheless, Nyirenda's study is relevant to this study because it brings out the importance of creating a good performance appraisal system at a place of work. Nyirenda also brings out a very important point that a good appraisal system is one which is participatory and home grown.

This study will therefore endeavor to check if the APAS has such attributes.

Conclusion

In conclusion, therefore, the literature reviewed shows that performance appraisal is often used to assess individual performance of employees in an organization. It is defined as process of identifying, evaluating and developing the work performance of the employees so that organization goals are more effectively achieved. All objectives of performance appraisal point to the fact that performance should be reviewed and rewarded.

Literature has shown that an effective appraisal system is one which provides worthwhile feedback, it is free of bias characterized with fairness and equity. Given the fact that there have been no extensive studies on evaluation of the effectiveness of the Zambian appraisal system, it was imperative to fill that gap in literature. In fact, little has been researched or published on the effectiveness of the APAS.

The study was, therefore, largely based on original research combined with secondary data. This Study was meant to approach the research from the general to the specific. It was hoped that it would bring out a number of factors that could be responsible for the failure or success, particularly in the Civil Service. Unlike the other studies done before, this study was critically and exclusively analyzed on how the APAS has performed.

METHODOLOGY

Research Design

In undertaking this study, a cross sectional, non-experimental design was used. Thus, the Research had no control over the variables and merely reported the findings of the factors under investigations. A survey approach was used to evaluate the effectiveness of the Annual Performance Appraisal System (APAS) in the Zambia Civil Service. Triangulation was used to generate quantitative and qualitative data, the methods were chosen as they brought out the relevant information needed for the explanation of the phenomena of interest.

Sample size and distribution

A sample of 126 respondents were used for this study. These were selected based on the proposition from Bartlet et al (2001) that if the population is within the region of 1679, a sample of 118 is ideal. Hence the Sample of 126 in this study was ideal. According to (PSMD 2016), the three Ministries have the following total numbers of Civil Servants, Ministry of Education 103, 657, Ministry of Health, 41,849 and Ministry of Agriculture, 7,844 All the selected Ministries were fully restructured and had implemented the performance appraisal system. The

three Government Ministries were selected to provide in-depth information on the effectiveness of APAS and provide a comparative analysis between and among the Ministries. The 3 Ministries were selected because they had completed their restructuring process by the time of the study.

Table 1: Sample Distribution by Ministry and Civil Service Grades

| Ministry | Division I | Division II | Division III | Total |
|---------------|----------------|--------------|--------------|------------|
| | S/ Scale (I-M) | S/Scale(C-H) | S/Scale(A-B) | |
| Education | 10 | 16 | 16 | 42 |
| Health | 10 | 16 | 16 | 42 |
| Agriculture | 10 | 16 | 16 | 42 |
| Totals | 30 | 48 | 48 | 126 |

Source: Field data
Sampling Design

A mixture of stratified and cluster sampling was used to select the required samples from the 3 Ministries that were restructured at that time. It also covered PSMD because they were the end users of the APAS. Stratified and cluster sampling methods were chosen because of the fact that the Civil Service in Zambia is segmented into Divisions which are derived from the salary structures. The structures are segmented according to management levels that is top management (Division 1) that are in salary scales I-M, middle management (Division 2) that are in salary structure C-H and the lower management (Division 3) in salary scale A-B.

The principle behind stratified sampling according to Nkhata (1998) the first requirement is to divide the population into categories of strata. After the strata have been identified, the next step is to use simple random sampling or systematic sampling within each stratum.

This study used a mixture of sampling methods because and according to Blalock Jr (1981) both stratified and cluster sampling can be used, under certain circumstances, to improve the efficiency of the sampling design. In other words, may be used designed to yield greater accuracy for the same cost or, if you prefer, to involve less cost for the same accuracy.

Sampling Frame

The sampling frame used was the Establishment Register of 2014 for each Ministry. Each of the Ministry has an updated register that shows active and funded posts as compiled by the PSMD.

Data Collection Instruments

A questionnaire with open and closed-ended questions was used to collect quantitative information from the 126 respondents in the three (3) Ministries. A questionnaire was used as it provided an easy way of soliciting quantifiable information on the effectiveness of the in the Civil Service. On the other hand, an in-depth Interview Guide was used to collect qualitative information from the key informant at the Public Service Management Division.

This tools permitted the collection of detailed and rich information regarding the effectiveness of APAS in the Civil Service in Zambia. Thus, qualitative and quantitative data collection techniques were used to collect data on the implementation of APAS.

Quantitative Data

Quantitative data was captured using a semi-structured questionnaire designed to evaluate the effectiveness of APAS in the three (3) Ministries. The questionnaire had both closed and open ended questions.

The open ended questions were designed to collect qualitative data from the respondents concerning APAS in their respective Ministries. The questionnaire also captured basic demographics, level of employment, salary rank and qualification. This information was essential to measure the effectiveness of APAS in the selected government Ministries.

Qualitative Data

An in-depth interview schedule was used to collect detailed qualitative data from key informants at the PSMD. This information was essential to provide detailed view of the effectiveness of APAS in the Civil Service.

Secondly, qualitative information was captured from reports and documentation at PSMD. This provided a comprehensive view of APAS from the time it was introduced in the Public Service.

Data Collection Procedure

A Self-administered Questionnaires were distributed to the three (3) Ministries through the Department Heads, each selected respondent was required to complete the questionnaire on their

own. All questionnaires were constructed in English, this was so to ensure uniformity in the way the questions were asked and also because the target population was literate to understand and answer the questions.

After a week, questionnaires were collected from the Ministries, questionnaires were checked for consistence and coding and were entered into SPSS for analysis. In-depth interviews were conducted by the Interviewer (Researcher). This was a one to one interview. The interviews were transcribed in readiness for analysis. Consent was sought to record and make notes of the interviews. Strict anonymity and confidentiality was assured.

Data Analysis

Univariate and bivariate analysis was used to evaluate the effectiveness of APAS in the selected Ministries of the Zambia Civil Service. Primary data collected was entered and analyzed using the Statistical Package for the Social Sciences (SPSS version 11.0) Descriptive statistics were used to analyze employees' view of the effectiveness of APAS. Qualitative data was transcribed, typed and arranged according to themes and analyzed using thematic areas. The APAS manual was used as a guiding principle in analyzing and contextualization the data collected. Microsoft word 2002 was used to type the dissertation and creation of the tables.

STUDY LIMITATIONS

Thought the results of the Survey remains valid and reliable, the researcher suffered some challenges before, during and after data collection. The following were some of the challenges. Firstly, there was a serious financial constraint because at the time of the Survey Government as a sponsor had not released the research allowance to help the researcher prepare and produce the tool. Therefore, that also made the distribution of the questionnaires delayed.

Secondly, most of the selected respondents were not willing to participate in the survey because they had a fear that they would be reprimanded if known. Additionally, most Civil Servants felt that they had being answering questionnaires which never added value to the remunerations. Thirdly, because of the second reasons above some questionnaires were delayed and others were submitted incomplete. Nevertheless, the researcher had to replace and selected extra respondents who were cooperative and willing especially for those questionnaires that were submitted blank or not answered at all.

Fourthly, the senior officers in Division one (1) especially the Top Management claimed they had no time to answer the questionnaires and in some cases ended up passing them to their subordinates to answer on their behalf , this therefore could have compromised some responses that required individual input at a certain level. The above limitations did not change the validity of the results in anyway because the researcher had to put in some remedial measures.

STRUCTURE OF THE DISSERTATION

Chapter One: presents the background of the study, objectives, statement of the problem, conceptual frame work, literature review, methodology, sampling procedures and techniques of the respondents who were included in the Survey.

Chapter Two: presents and discusses the Historical, Demographic, Social and Economic context of the Study Area.

Chapter Three: presents findings and discusses the implementation of the performance planning and monitoring process among Civil Servants in the selected Ministries.

Chapter Four: presents findings and discusses the effectiveness of the APAS in appraising Civil Servants in the selected Ministries.

Chapter Five: presents findings and discusses utilization of APAS in making Human Resource decisions in the selected Ministries.

Chapter Six: presents a summary of conclusions of the study.

CHAPTER TWO

HISTORICAL, DEMOGRAPHIC AND GEOGRAPHICAL CONTEXT OF THE STUDY AREA

INTRODUCTION

This Chapter was meant to discuss the issues surrounding the genesis and historical aspects of the Area of study. It was necessary to the study to ensure that there was enough information on the genesis of the APAS and that it would answer other related questions to the study. It was meant to inform the rest of the study about the transition from the ACR to the APAS.

GEOGRAPHICAL AND DEMOGRAPHIC ASPECTS OF THE STUDY AREA.

Zambia is a landlocked country situated in the Southern central part of Africa. Zambia covers an area of about 752,620 square kilometers of land and has an estimated population of 13,046,508 million people in 2010. Total number of males was at 6,046,455, females were at 6,652,053 .Population growth rate was 2.8%. The majority of Zambia's population lives in the rural areas estimated at 65% while 35% live in the urban areas. Lusaka Province was the fastest growing Province with an annual rate of population growth of 4.6 percent. (Central Statistical Office 2013).

Figure 1: Geographical position of the study area



Source: CSO, 2013

Administratively, Zambia is divided into ten (10) Provinces and Hundred and five Districts (105). The government comprises of central and local government system; the latter is administered through District Councils. Lusaka is the capital and largest city of Zambia. It is located in the southern part of the central plateau of the Country, at an elevation 1300m (4h 256 ft). According to the preliminary results of the 2010 National Census, the city has a population of 1,742,979 and is considered as one of the fastest growing (in terms of population) cities in Africa. It is the commercial center as well as center of government, and the four main highways of Zambia radiate north, south, east and west from it. Lusaka has the highest population density with an estimate 64 of people per square kilometer. The Median age was estimated at seventeen (17) in 2000, Central Statistical Office (2000).

Lusaka being a capital city, hosts all the Ministries that are in the Zambia Civil Service. Furthermore, the administration of the Ministries are also conducted at both Provincial and District levels. The Zambian Bureaucracy has Nineteen (19) government Ministries and Ten (10) Provincial Administration Offices stationed in the respective ten (10) Provinces. One Ministry namely, Home Affairs and all the ten (10) Provincial Administration Offices have not been restructured and this implies that they are still using the ACRS. The size of the Zambian bureaucracy amounts to Two Hundred and One Thousand, Seven Hundred, Eighty- Eight (201,788) employees of both unionized and un-unionized (PSMD 2016). Since 1993, the Public Service Management Division, the Public Service Commission and the Management Development Division at Cabinet Office had been implementing the far-reaching process.

HISTORICAL PERSPECTIVE OF THE APAS

According to Cabinet Office (1997), the government of the Republic of Zambia, in the late 1980s acknowledged that the Civil Service ACR on individual performance was just a matter of routine serving little purpose. The ACR was characterized with loss of confidence of its credibility. Efforts to develop and introduced new instruments for measuring individual performance were initiated.

In 1993, the PRSP was launched and it re-invigorated the need for improved performance Management Systems. A Permanent Secretary Technical Committee was set up to finalize work on a new appraisal system and drew an implementation plan. In 1994, there was need for further work to simplify the performance appraisal system (ibid).

In 1995, employees from Management Development Division (MDD) and Public Service Management Division made consultations with Coopers and Lybrand an organization based in the United Kingdom over performance improvement in the Zambia Public Service. In 1996, there was further work by the Common Wealth Secretariat with MDD and the PSMD to design the PMP that included the APAS.

At the launch of the APAS in 1997, the government of the Republic of Zambia through the Secretary to the Cabinet indicated that APAS Workshops would be conducted in all restructured Ministries and Provinces where APAS would be introduced. These Workshops included a detailed Tutorial, using the user Guide. Participants would have the opportunity to experience a practical session simulating the appraisal process, (Cabinet Office 1997) .

From its inception, the APAS USER GUIDE Manual made it clear that for the performance of every employee, and eventually the whole Public Service to improve, the basic responsibility falls on every supervisor. This was to ensure that the best possible use is being made of all the resources available at work. Among these resources are the employees. From time to time they were supposed to know how well or not so well they are doing at work. This so applied to supervisors as well as the employing secretariat and PSMD itself, this meant that both the supervisor s and subordinates had a basic need to appraise performance. In this way, questions to be asked and decisions to be made are determined. Thereafter, action can be taken to improve performance at the individual, team and organization levels, that is, in the Ministries and the rest of government departments (Cabinet Office, 1997).

At individual level, some of the issues that were of concerned are such that the employee needed to have a clear understanding of his or her job; be aware of what was expected to be achieved; know his or her strengths or weaknesses; know the problems which were to be discussed with the supervisor; know his/her career prospects and also identify what kind of training had to be considered. Most importantly of all, the employee needed to ask himself/herself whether he or she performed all that can be reasonably expected of him/her to meet both needs of the employee and the Ministry.

At the supervisory level, according to the APAS manual launched in 1997, in addition to what the employee or rather subordinate were expected of, the supervisor was expected to know his subordinates so well and if at all there are any problems, they should be addressed. He or she was also expected to do everything possible to improve the output of the people under his charge by making it clear to them what is required from their work and be aware of their training needs and how they are met. The manual also stipulates that the supervisor identified and developed a likely successor so that he/she may be considered for promotions. He was also expected to come up with actions to undertake in order to improve team work and overall performance.

(ibid).

At the organization level, the *Zambian Public Service* as whole was expected to have a clear picture of and be satisfied about the best use of its human resources. By appraising the performance of all the employees, both managers and the managed at all levels from top downwards, the *Public Service* were expected to collect essential information on a number of issues which require decisions and control such as the number and mix of skills, qualifications and experience in the right levels; identification of gaps and overlaps; identification of who needs training and at what time; know who would perform better if transferred to other posts. The organization should also identify the problem areas in overall performance and what action must be taken to secure improvements. It must also know how well supervisors manage the organization, (Cabinet Office, 1997) the APAS should, therefore, be a helpful tool for the *Zambian government*. It has been designed in such a way that it is regularly reviewed because it tells both the public service and its workers how it is being managed and what requires to be done to solve any problem areas. It has also been designed in such a way that there will be no room for bias, (ibid).

The APAS manual has clearly stipulated that the APAS applies to all civil servants. Its design implies that every employee requires to be appraised and is involved. The appraiser and the appraisee take part in the process. The APAS Form (see Appendix A) is designed in a simple way and all the various items in it have been explained in the appendix too. The system works in such a manner that the supervisor reviews the work plan and targets according to the job description and the appraisee should contribute to the process. The supervisor then appraises the current level of performance being achieved by the jobholder in meeting the agreed targets, (Cabinet Office, 1997).

The whole idea is such that Human Resources and Administration Department should monitor the implementation of the process. There is also strong emphasis on performance because Performance Appraisal is placed in a wider performance management context. The APAS is expected to address issues of planning performance, coaching and monitoring, reviewing and evaluating performance, improving work processes, behaviors and attitudes and also improve the quality and delivery of the public service, (ibid).

In order to achieve the aim of PRSP the initial component was to plan and implement management and human resources improvement which involved the introduction of performance management systems of accountability and developing skills which enable senior management to effectively manage the Civil Service. Component 2 of the PSRP calls for improved performance management systems, which provide for accountability and develop management skills. This is to be achieved by results-oriented work planning and reporting on results. The APAS has been designed to achieve these objectives. (ibid).

TYPES OF APPRAISALS THAT ARE CONDUCTED

Government had come up with four (4) types of appraisals which were expected to be conducted within a year for different officers. The four appraisals were designed to attend to specific areas of the expected performance.

General Annual Performance Appraisal- was conducted at the end of every year to appraise the individual officer's performance in a particular year from January to December. This appraisal is for promotions, demotions, transfers and training.

Incremental Performance Appraisal- was conducted when the officer's annual incremental date is due (date of appointment to present post). The recommendations in this appraisal are based on annual increment (recommendation to be made for the current period).

Performance Appraisal for Confirmation - was conducted after six (6) months' probation period. The recommendation made in this appraisal is for confirmation in acting position.

Performance Appraisal for Promotion -is conducted after six (6) months acting in a position with a view of being considered for promotion. This appraisal is specifically for promotion.

The General Annual Performance Appraisal was particularly meant to assess the general performance of the individual officers in that year of the appraisal. It was particularly designed to make decisions on promotions, demotions, transfers, and training. This appraisal would also identify performance gaps that would attract skills development. Cabinet Office (1997)

The Incremental Performance Appraisal was designed to particularly give a performance related pay (PRP). Officers would get notches based on how they performed in the period of that appraisal. Only officers who performed above the agreed targets would get the increment in the salary notches, (ibid).

The performance Appraisal for Confirmation was particularly designed to appraise the officers who were due for admission to the permanent and pensionable establishment. This appraisal was particularly meant for the appointed officers in the Public Service.

The Performance Appraisal for promotion was particularly designed to substantively promote officers that had completed their acting appointments. This appraisal was meant to be conducted after six months of the acting period. This appraisal was specifically for substantive promotions. This appraisal was designed to see if the officer on acting appointment was able to meet the targets as agreed with the supervisor.

All the four appraisals were expected to be applied to the Civil Servants depending on what was to appraised in that particular year. Therefore, the APAS was adequate and sufficient enough to appraise all round performance.

Demographic Classification of Respondents

Background characteristics are important not only in explaining people's general behavior. Background characteristics presented in this section include: age, sex, marital status, level of Education, division of current employment status, income and duration of service relative to Ministry of service.

Figure 2 percent distribution of respondent's background characteristic.

| Characteristics | Ministry | | | | | | TOTAL Count (%) |
|-------------------------------------|-----------|------------|-------------|------------|-----------|------------|-----------------------|
| | Education | | Agriculture | | Health | | |
| | Count | Percent | Count | Percent | Count | Percent | |
| SEX | | | | | | | |
| Male | 18 | 43.9 | 19 | 55.9 | 21 | 60 | 58(52.7) |
| Female | 23 | 56.1 | 15 | 44.1 | 14 | 40 | 52(47.3) |
| AGE GROUP | | | | | | | |
| Below 30 | 3 | 7.3 | 5 | 14.7 | 3 | 8.6 | 11(10.0) |
| 30-34 | 17 | 41.5 | 14 | 41.2 | 16 | 45.7 | 47(42.7) |
| 35-39 | 14 | 34.1 | 13 | 38.2 | 13 | 37.1 | 40(36.4) |
| 40+ | 7 | 17.1 | 2 | 5.9 | 3 | 8.6 | 12(10.9) |
| MARITAL STATUS | | | | | | | |
| Single | 3 | 7.3 | 10 | 29.4 | 14 | 40 | 22(24.5) |
| Married | 33 | 80.5 | 24 | 70.6 | 20 | 57.1 | 77(70.0) |
| Divorced | - | - | - | - | 1 | 2.9 | 1(0.9) |
| Widowed | 5 | 12.2 | - | - | - | - | 5(4.5) |
| EDUCATIONAL LEVEL | | | | | | | |
| Certificate | 12 | 29.3 | 12 | 35.3 | 8 | 22.9 | 32(29.0) |
| Diploma | 18 | 43.9 | 15 | 44.1 | 20 | 57.1 | 53(48.2) |
| Bachelor's Degree | 9 | 22.0 | 7 | 20.6 | 5 | 14.3 | 21(19.1) |
| Master's Degree | 2 | 4.9 | - | - | 2 | 5.7 | 4(3.6) |
| YEARS OF SERVICE | | | | | | | |
| Less than 5 | 10 | 24.4 | 11 | 32.4 | 8 | 22.9 | 29(26.4) |
| 5-10 | 7 | 17.1 | 8 | 23.5 | 11 | 31.4 | 26(23.6) |
| 11-15 | 14 | 34.1 | 2 | 5.9 | 9 | 25.7 | 25(22.7) |
| 16-20 | 4 | 9.8 | 10 | 29.4 | 4 | 11.4 | 18(16.4) |
| Over 20 | 6 | 14.6 | 3 | 8.8 | 3 | 8.6 | 12(10.9) |
| DIVISION OF CURRENT POSITION | | | | | | | |
| Division One | 8 | 19.5 | 2 | 5.9 | 8 | 22.9 | 18(16.4) |
| Division Two | 31 | 75.6 | 29 | 85.3 | 21 | 60 | 81(73.6) |
| Division Three | 2 | 4.9 | 3 | 8.8 | 6 | 17.1 | 11(10.0) |
| TOTAL | 41 | 100 | 34 | 100 | 35 | 100 | 110 |

Source: Field Data

From Table 2 above, all the three (3) Ministries male respondents accounted for 52.2% while the females accounted for 47%. The results most likely suggest that the institutions have more male's employees than females. However, the study did not take into consideration whether gender is a factor at the point of recruitment in the Civil Service.

The results from the table reveal that the research clustered around the age groups between 30-34 and 35-39 years who accounted for 42.7% and 36.4% of the respondents respectively. The age group 40 and above, accounted for 12%. From the above field data, it can be suggested that the

Zambian Civil Service is mostly comprised of the Middle age group since the majority respondents in the survey clustered around the age 30-39 years of age. The age variable was necessary for this study, as it was meant to show whether age is a factor in better service delivery or not. The survey also needed to find out if the Zambian Civil Service was highly comprised of the old age group that are about to exit the system vis-à-vis high performance and service delivery.

Table 2 also shows the educational levels, from the above data, it can be suggested that most of the Civil Servants (48.2%) hold Diplomas as their highest qualifications. While there are very few with Master's Degree (3.6%), while (19.1%) hold Bachelor degrees. The qualification variable was included in the study to validate whether performance is closely associated with the qualifications that one holds or vice-versa. It was also meant to give the outlook of the qualification levels in the Civil Service. It can be suggested that the majority of the Civil Servants have Diplomas (48.2%) and Certificates (29.0%). The reason is that most of the jobs in the Civil Service especially between Salary Scales (C-H) the entry minimum qualification is a Diploma.

The jobs in Salary Scales (I-R) are in management category and the minimum entry qualification was a Bachelor's Degree or equivalent. The jobs in these Salary Scales are less because they were in a Management category and every Ministry had a lean structure, as you get to the apex in the Establishment/Structure. Most of the respondents clustered around 1 to 5 years who accounted for (26.4%), while 5-10 years accounted for (23.6%) and 11-15 years accounted for (22.7).

CHAPTER THREE

IMPLEMENTATION OF THE PERFORMANCE PLANNING AND MONITORING PROCESS AMONG CIVIL SERVANTS IN SELECTED MINISTRIES.

INTRODUCTION

This chapter presents and discusses findings on the implementation of performance planning and monitoring among the Civil Servants. The study embarked on this part of the research to purely understand whether the employees had comprehensive understanding of the APAS

Process. The objective was to know whether the implementation in planning and monitoring could be responsible for the failure or success of the programme. If implementation was very low, it simply implies that the process cannot be competently and comprehensively handled.

WORK PLANNING/TARGET SETTING AND THE APPRAISAL PROCESS

According to the Public Service Performance Operational Manual (2009), a work plan is a written outline of what is to be achieved over a given period of time. It is a detailed calendar of activities that show the duties/tasks that should be performed on a daily, weekly, monthly or annual basis. It takes into account the organizational and work unit priorities and should be in such a manner that an individual employee can be assessed against proposed outcomes. Generally, people plan because they want to know exactly what they are supposed to do, hence, reducing uncertainty. People also plan in order to enhance rationality that is to introduce logic into decision-making and problem solving. Work planning also enhances accountability by opening the decision making process to all the people who are involved.

In the Zambia Civil Service, there are two (2) levels of work planning namely, Departmental work plan and Individual work planning. The Departmental work plan is what each Department in the organization must do in terms of the annual work plan. It has annual and long term objectives, it has set targets and a list of activities. A Departmental work plan must have the personnel to be involved in achieving the set goals and a list of materials, it should also have the assumptions and a work plan chart. Developing the individual work plan involves describing what the employee is expected to accomplish and agreeing what will be the results of the employee's efforts. Overall, the process of defining individual work plan for the employee should involve the participation of both the supervisor and the subordinate. The Zambian Civil Service has designed that individual work planning should be done on a quarterly basis to ensure that there is some meaningful continuation in work planning as well as to allow for adjustments resulting from changes in government priorities in its programming. (Public Service Performance Operating Manual, 2009)

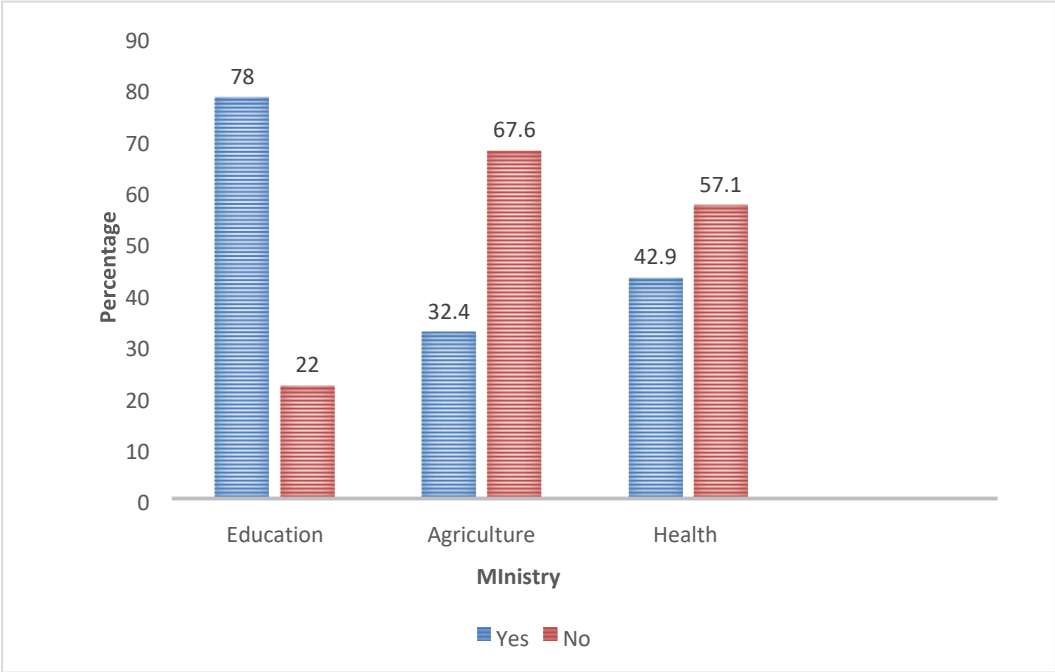
Work planning should end up with finalizing the target setting and the Head of Department should ensure that the set targets are in conformity with the **SMART** (Specific, Measurable, Achievable, Realistic and Time bound) attributes and are a description of the departmental objectives or targets. It is from this process that the Departmental Work Plans are expected to

be drawn from the national documents such as the Vision 2030, the Sixth National Development Plan and the Ministerial Strategic Plan. The Departmental Work Plan are only expected to be drawn from the above documents and eventually the individual work plan drawn from the Departmental work plan. (ibid)

From work planning there is need to do performance monitoring. Performance monitoring is an activity which involves a series of observations carried out to show the extent of progress towards attainment of set goals in a work plan. Specifically, monitoring should involve checking if deadlines are being met, if activities are adequately being supported by availability of resources, optimum utilization of resources and measuring progress towards achievements. While the planning process starts from the higher level ending with the lower individual level, monitoring of activity implementation and achievement of the results is a bottom up process starting at the individual level. (PSMD Concept paper, 2012).

Performance monitoring should clearly point out subordinate areas of strength and weaknesses as well as any short comings in his/her performance resulting from other factors other than the employee.

Figure 2: Distribution of Respondents by Awareness of performance planning before the appraisal (n=110)



Source: Field Data

Realizing that APAS might be a relatively new phenomenon in some Ministries and government agencies, respondents were asked if they were aware of performance planning before conducting the performance appraisal. Figure 2 shows that relative to other Ministries, most Civil Servants were not aware that performance planning was a pre-requisite to performance appraisal save for the Ministry of Education, whereas more respondents, 68 and 57 percent, were not aware of the existence of APAS in the Ministry of Agriculture and Health respectively.

The findings of this study corroborates with that of Mate (2006), in his study he asked if Civil Servants were aware of work plans. On Departmental work plans 23.8% said they were not aware, while 90.7 said they were aware and 9.3 % said they did not know. This therefore shows that there is still a problem on awareness on Departmental work planning. Concerning the individual work planning, Mate’s study revealed that 78% were aware of work planning while 22% were not aware. For the 22% response, there was need to find out what could have been a challenge.

Table 3: Distribution of Respondents by whether they sit with supervisors to agree on the targets for the appraisal period

| Do you agree with the Supervisor on targets and work plan? | Frequency | Percent |
|---|------------------|----------------|
| Yes | 24 | 21.8 |
| No | 53 | 48.2 |
| I don't know | 32 | 29.1 |
| Non Response | 1 | 0.9 |
| Total | 110 | 100.0 |

Source: Field Data

Table 3 above shows that at least 21.8% acknowledged that they sit with the supervisors to agree on targets and work plans. However, 48.2% indicated that they were not meeting with the supervisors to agree on the targets and the work plans. 29.1% indicated that they did not know. The 21.8% of the respondents who acknowledged that they sat with supervisors to agree on the targets and work plans. They said target setting was discussed after the departmental work plans had been drawn. They indicated that Supervisors found time to sit with them and came up with some realistic targets that were the basis of drawn up an individual works

The 48.8 % respondents who responded that they never sat with their supervisors to agree on the targets, had three reasons:

- i) They indicated that there was lack of seriousness by Management and supervisors to develop targets for everyone.
- ii) Some of the Ministries were not very certain on how to link the national planning document to strategic plans and later on the individual work plan.
- iii) Lack of individual work plans from which targets for individual work plans could be drawn.

Overall, the process of defining individual work plans for the employee should involve the participation of both the supervisor and the subordinate. The individual work plans were expected to be done on quarterly basis to ensure that there was some meaningful continuation in work planning as well as to allow for adjustments resulting from changes in government priorities in its programming.

The supervisor/Manager was expected to review the employee’s role and define expected results/targets in collaboration with the employee. This was to be done in the context of the Departmental work plan. Therefore, the relationship between the Departmental plans and individual’s job description where expected to be visible. Aspects of an employee’s job on which he/she will specifically focus in order to effectively contribute to the attainment of Departmental goals as defined in the work plan. (APAS User Guide 1997).

Table 4: Distribution of Respondents by whether their previous appraisals were based on work plan

| Was your previous appraisal based on a work plan? | Frequency | Percent |
|--|------------------|----------------|
| Yes | 48 | 43.6 |
| No | 52 | 47.3 |
| I don’t know | 10 | 9.1 |
| Total | 110 | 100.0 |

Source: Field Data

From table 4 above, the study discovered that 47.2 % of the respondents never used individual annual work plans during the appraisal process. However, 43.6 % indicated that they used the work plans for their appraisal.

Most of the respondents indicated that supervisors did not liaise with their subordinates to develop and agree on the individual work plans based on their job descriptions. Individual work plans were supposed to outline individual output based targets which were derived from

departmental targets. Individual targets are monitored on a quarterly basis using the Performance against Targets (PAT) approach. At the end of the appraisal period, individual performance is measured using the APAS.

The 47.2% response also attributed the no response due to limited orientation of public service in the Performance Management Package (PMP) and inadequate structural capacity to process APAS cases. From the above, it was clear that there were very few cases of appraisal whose targets were clearly set and are adhered to. Therefore, the responsibility of ensuring that work plans/target were set and kept to date and reviewed at least once in a year could be defeated. From the above data, it clearly shows that there were no targets that were set which Specific, Measurable, Attainable, Reliable and Time-bound (**SMART**). And in any case, the 9.1% clearly shows that some officers have never even sat down with their supervisors to set targets. Most of the targets were set without taking into account the SMART principal. This was attributed to supervisors not guiding how to link Departmental work plans to individual work plans.

Table 5: Distribution of Respondents by weather their targets in the individual work plans were SMART

| Are targets in your individual work plan SMART? | Frequency | Percent |
|--|------------------|----------------|
| Yes | 23 | 20.9 |
| No | 74 | 67.3 |
| I don't Know | 13 | 11.8 |
| Total | 110 | 100.0 |

Source: Field Data

From table 5 above, the respondents were asked if their targets were **SMART**. 20.9% of the respondents said their targets were SMART. While, 67.3% of the respondents said their targets were not SMART at all and 11.8 % said they did not know. The 23 respondents who accounted for 20.9% felt that their targets in their individual work plans were SMART because they accomplished all the planned activities at the end of each appraisal year. They said their targets were usually specific and attainable. They also indicated that they usually discussed their target before the beginning of each appraisal year. The 74 respondents who accounted for 67.3% indicated that their targets were not SMART. They said at times there was no Departmental work plan from which they could draw their individual work plans because their departmental managers do not provide guidance for them.

Table 6: Distribution of Respondents by weather there is a link between individual and the Departmental work plans.

| Is there a link between individual work plans and the Departmental work plan? | Frequency | Percent |
|--|------------------|----------------|
| Yes | 29 | 26.4 |
| No | 47 | 42.7 |
| I don't know | 33 | 30.0 |
| Non Response | 1 | 0.9 |
| Total | 110 | 100.0 |

Source: Field Data

From table 6 above, respondents were asked if there was a link between the individual work plan and the Departmental work plan. 29 respondents who accounted for 26.4% indicated that yes their individual work plans were linked to the departmental work plans. 47 respondents who accounted for 42.7 % indicated that no their individual work plans did not link to the departmental work plan. 33 respondents who accounted for 30.0% indicated that they did not know if their individual work plans linked to the departmental work plan. The 26.4% respondents attributed their yes response to the fact that all section and / unit heads hold session with staff member to discuss the implication of Departmental work plan on their jobs. They also indicated that there was consistency in planning process from the national level to the sector Ministries. They also indicated that there was leadership in the planning process that guided the process at Ministerial level.

42.7% and 30.0% indicated no and they did not know response respectively. They attributed their responses to the fact that, the leadership did not involve them in Departmental work plans and hence it was difficult to link the Departmental work plans to their individual work plan. Generally, most respondents felt that Heads of Departments did not ensure that staff members individually identify areas of their contributions to Departmental work plans. Some of the respondents indicated that they did not know work planning and their appraisal was dependent on their daily routine activities. This, therefore goes to show that as long as there was no link between the Departmental and individual work plans, then the whole APAS process is short circuited.

Table 7: Distribution of Respondents by weather their Work plan for their jobs are evaluated annually.

| Is your Work plan for your job evaluated annually? | Frequency | Percent |
|---|------------------|----------------|
| Yes | 19 | 17.3 |
| No | 50 | 45.5 |
| I don't know | 39 | 13.5 |
| Non Response | 2 | 1.8 |
| Total | 110 | 100.0 |

Source: Field Data

Table 7 above shows the frequency and percentage distribution of respondents who indicated whether their individual work plans were evaluated or reviewed on a yearly basis. From the field data above, 19 respondents who accounted for 17.3% agreed that their work plans were reviewed annually, while 50 respondents accounting for 45.5% disagreed that their individual work plans were reviewed on the annual basis.

The 45.5% respondents attributed their response to failure by the top management to come up with the Departmental work plan from which the individual work plans can be drawn. They also attributed the problem to lack of leadership on the PMP, as most of the Managers and supervisors did not even know the activities that were involved prior to the beginning of the whole programme. Some of the top managers were even reluctant to translate the Strategic plans into the Departmental work plans. They felt the process was time consuming and therefore opted to concentrate on their routine duties and leaving the whole process to their juniors. This was one reason that also affected institutional performance because supervisors did not seem to pay attention to Departmental and individual deliverables.

A key informants from PSMD said “Ministries and Institutions needed to select Key Performance Indicators (KPI) that would be used to measure progress against agreed outcomes. The KPI will help in coming up with Departmental work plans from which the individual work plans could be drawn from.” (02/12/2014)

Table 8: Distribution of Respondents by how often they meet targets in their work plan.

| How often do you meet your targets in your work plan? | Frequency | Percent |
|--|------------------|----------------|
| Once a year | 16 | 14.5 |
| Twice a years | 8 | 7.3 |

| | | |
|------------------|------------|--------------|
| When need arises | 65 | 59.1 |
| Never | 20 | 18.2 |
| Non Response | 1 | 0.9 |
| Total | 110 | 100.0 |

Source: Field Data

From table 8 above, 14.5% met their targets once a year, 59.1% met their targets when need arose and 18.2% never met their targets. The 59.1% respondents who met their targets only when need arose attributed the problem to outdated job descriptions with unclear Key Result Areas and Principal Accountabilities, while others did not even have job descriptions.

Most of these respondents claimed that they had never been oriented on how to set performance targets in their individual work plans. They also attributed the failure to lack of leadership will and direction. As for respondents in the Ministry of Education, officers attributed failure to up hazard allocation of work and too many assignments being allocated to individual officers. The 18.2% respondents said they had never met their Targets due to the fact that no one had helped them on how to come up with the said targets. They also claimed that they didn't have the job descriptions from which they can draw individual work plans and later on the performance targets.

59.1 % of respondents agreed that there was no consistent in capacity building on the APAS, later on monitoring and evaluation. They indicated that it was the duty of the Head of Department to agree with the Departmental staff on the KRA by going through each of them to ensure that staff members understand them and are aware of the effects on their work. They observed that the supervisors needed to insist on developing **SMART** targets. They further observed that supervisors rarely got involved in setting targets. This therefore abrogated the flow process of the APAS programme.

Table 9: Distribution of Respondents by weather there is performance planning at Departmental level.

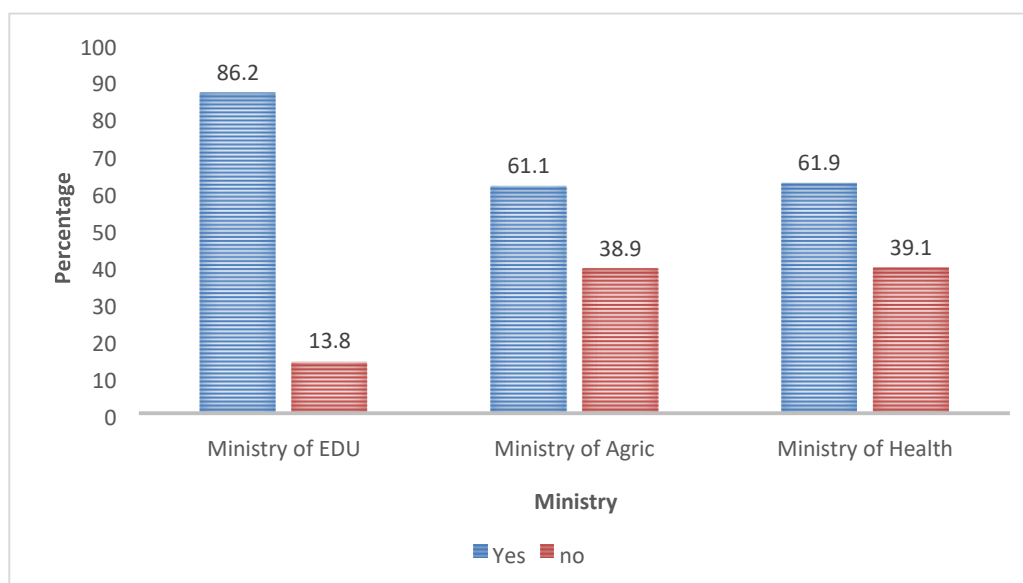
| Is there performance planning at Department level? | Frequency | Percent |
|---|------------------|----------------|
| No | 57 | 51.8 |
| Yes | 53 | 48.2 |
| Total | 110 | 100.0 |

Source: Field Data

From table 9 above, the 110 respondents, 57 who accounted for 52.8% disagreed that there was performance planning at Department level, while 53 who accounted 53 respondents who accounted for 48.2% agreed that there was performance planning at Departmental level. From the information above, the 51.8 % respondents claimed that at no time have they been called for a meeting to do with performance planning for the directorate. They also claimed that the Departmental Heads did not even give them policy guidance on the APAS vis-à-vis the Departmental work plans.

The above information clearly showed that there was no direction from the Heads of Departments concerning Departmental work planning. At Departmental level, work planning involved translating of Ministerial objectives into concrete outputs or deliverables (targets expected to be achieved in order to contribute so overall organizational goals and objectives). The Heads of Departments needed to take a lead in guiding activities and work as a facilitator throughout the entire process. The outlook from the field data above, goes to show that review of past performance to provide a basis for planning for the following year did not even take place in most of the Ministries. This was attributed to lack of action plans by the supervisors and the individual. The supervisors did not design timetables of when they would sit for Departmental work planning and give a roadmap to the subordinates on how the whole process was to be conducted. 51.8 % of respondents however insisted that the Departmental Heads should be the ones to spearhead the Departmental planning. They attributed lack of Departmental planning to just poor attitude by some of the Heads of Department. In addition, they observed that Heads of Departments needed to request groups to critique the presentations, provide feedback and identify areas of interdependency.

Figure 3: Percent Distribution of Respondents by views that there was performance monitoring at Departmental level (n=110).



Source: Field Data

The respondents were asked if there was performance monitoring at Departmental level. Most of the respondents from the three Ministries indicated that was performance monitored at Departmental level. They indicated that, specifically, Departmental performance monitoring involved meeting the deadlines, activities supported by the availability of financial resources and monitoring progress towards achievements of results.

86.2% under the Ministry of Education indicated that Departmental performance monitoring was consistently done. They attributed their responses to the fact that there was planned monitoring by the standard officers throughout the appraisal period. In the Ministries of Health and Agriculture, the respondents attributed their responses to the fact that there were welldefined indicators shown in the strategic plan, and targets contained in Departmental work plans. From the three Ministries, the yes response was attributed to the fact performance monitoring was an activity which involves a series of observations carried out to show the extent of progress towards attainment of set goals in work plans. Generally, most of the respondents indicated that their performance was monitored.

Table 10: Distribution of Respondents by whether individual performance is effectively monitored through APAS.

| Is individual performance effectively monitored through APAS? | Frequency | Percent |
|---|-----------|---------|
| No | 48 | 43.6 |

| | | |
|--------------|------------|--------------|
| Yes | 14 | 12.7 |
| I don't know | 47 | 43.7 |
| Non Response | 1 | 0.9 |
| Total | 110 | 100.0 |

Source: Field Data

From table 10 above, 48 respondents who accounted for 43.6% indicated that there was no effective monitoring in their Ministries, 47 who accounted for 42.7% indicated that they know that there was a monitoring of performance through the APAS in their Ministries.

The 48 respondents who accounted for 43.6 % said their individual performance was not being monitored through the APAS process. They indicated that there was no outlined timeline of APAS monitoring despite that being in the individual work plan. Newly appointed officers did not know what was required of them after finishing the six (6) months probationary period. Some of the respondents indicated that for the process to be effective, there was need to link repeated appraisal failure sanctions such as non-award of annual increment, confirmation, promotion or subsequent dismissal from the Public Service. They further added that Ministries needed to take in into account employee performance before awarding.

From the above, it was clear that performance Monitoring and Evaluation systems of the effectiveness was not in place and one wondered how the programme was monitored in Ministries and institutions. Performance monitoring and reporting in the selected Ministries was observed to be very erratic and not very consistent. The study discovered that most of the employees were never appraised and if anything the appraisal was only done for confirmation purposes. The respondent observed that there were no Officers designated to monitor and ensure that the APAS was effective.

Table 11: Distribution of Respondents by whether their supervisors conduct performance check-ins.

| Do Supervisors conduct performance check-ins? | Frequency | Percent |
|--|------------------|----------------|
| Yes | 37 | 33.6 |
| No | 60 | 54.6 |
| I don't know | 13 | 11.8 |
| Total | 110 | 100.0 |

Source: Field Data

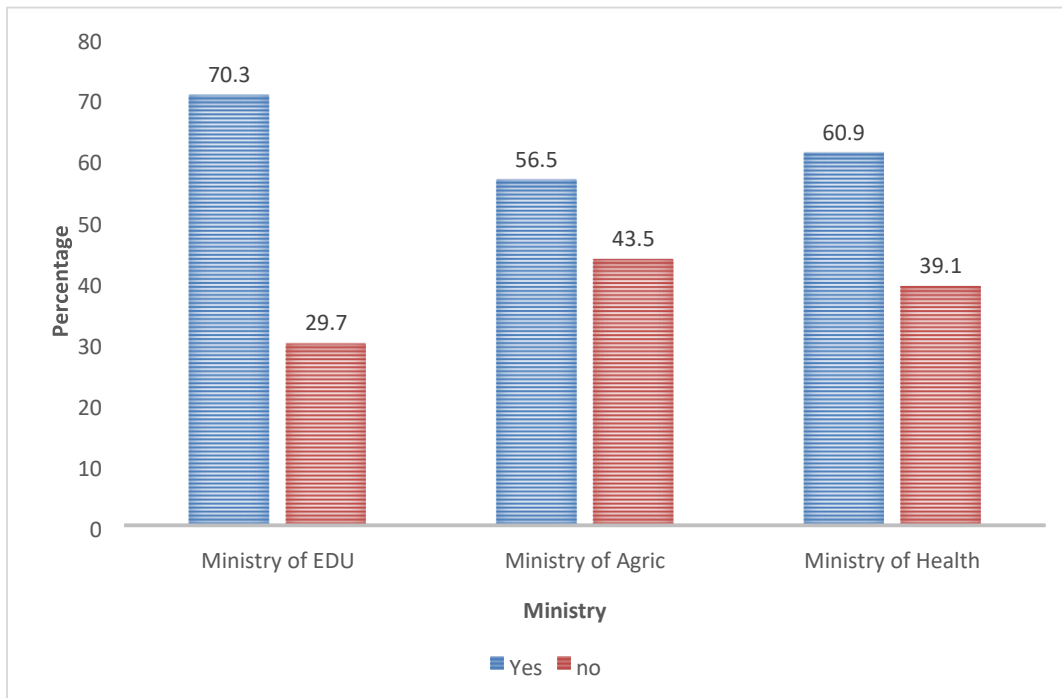
From table 11 above, 37 respondents who accounted for 33.6% agreed that supervisors conducted performance check-ins at Departmental level, while 60 respondents who accounted for 54.6% disagreed that supervisors conducted performance check-ins at departmental level.

According to the Public Service Performance Management Operational Manual (2009), performance check-ins refers to an ongoing process designed to keep employee performance on track and most importantly, to permit adjustments as required. 60 respondents who accounted for 54.6 % attributed the problem to leadership not being committed to drive the whole process. They also said there was no single person who was directly responsible for monitoring the process. They also indicated that supervisors only responded if there were some monetary gains attached to the process, like holding of workshops and seminars. 25 of the 60 respondents who accounted for 54.6 % said there was no specific officers to check-in the process of the APAS right from the departmental planning to the individual work planning.

Some respondents also observed that while the planning process started from the higher level ending with the lower individual level, monitoring of activities and achievement of results was a bottom-up process, starting at individual level. General of the respondents, however, told the researcher that the supervisors were supposed to conduct periodical check on the performance of the subordinates. Supervisors were also expected to also point out the subordinate's areas of strengths and weaknesses as well as many shortcomings in performance resulting from other factors other than the employee.

This therefore, showed that there was no proper monitoring as required in the APAS flow process, making the whole process chaotic and problematic.

Figure 4: Distribution of Respondents by views that there was performance reporting in the Ministry (n=110).



Source: Field Data

From the figure 4 above, most of the respondents affirmed that there performance reporting in the Ministry at both Departmental and individual levels. 70.3% from the Ministry of Education said performance reporting was a key requirement for the confirmation of staff on probationary period especially the teaching staff. 56.5% from the Ministry of Agriculture said there performance reporting through the APAS. 60.9 % under the Ministry of Health also indicated that there was performance reporting.

General of the respondents said that the APAS was a fairly good tool for reporting performance as compared to the ACR. They observed that all what was needed was to strengthen how to identify gaps and challenges. Notable among the gaps, were that it should be consistently used and identify those high performers who deserved promotions and also identify low performers for training to enhance the skills competences.

Feedback should also be provided by the end-user because no feedback is ever provided by PSMD. According to Wesley (2003), feedback is as important as conducting the appraisal. Without feedback, most of the workers will lose confidence in the system since they will not be able to identify it with their development. Therefore, there is need to ensure regular feedback. Failure to do that could affect staff interest in the process, as much as possible feedback should be given to staff on their performance.

DISCUSSION OF FINDINGS

One of the specific objective of this study was to determine knowledge on performance planning and monitoring in selected Ministries.

According to the Public Service Performance Management Operational Manual (2009), Performance monitoring is an activity which involves a series of observations carried out to show the extent of progress towards attainment of set goals in work plans. Specifically, monitoring involves checking if deadlines are met, if there is optimal use of resources and measuring progress towards achievement of results. Monitoring should be based on welldefined indicators, shown in the strategic plan, and targets as contained in Departmental and individual work plans. Monitoring should also be based on the use of appropriate monitoring tool (ibid).

This study revealed that performance planning among the selected Ministries was not consistency and prioritized as outlined in the both the Public Service Performance Management Operational Manual and the APAS User Guide. There was no mechanism to compel Ministries to report on the assessment on institution performance. PSMD Concept Paper (2012) also observed that in most cases the strategic plans did not have clear, relevant, economic, adequate and measurable performance indicators resulting in non-measurability of government programmes.

The study found that in some cases there was no linkage between the Departmental and individual work plans. The respondents attributed that to failure by the supervisors to coordinate the whole APAS process. Failure to create linkages would result in difficulties to align departmental targets with individual activities and targets. That will therefore, result in the individual work plans not having SMART targets. Heads of Departments need to ensure that staff members individually identify areas of their contributions to Departmental work plans.

The study revealed that most of the civil servants did not have work plans. In some other cases, they were not aware of the work plans. Based on work plans, each individual member of staff should be monitored to ensure that he/she performed activities according to the work plan. Monitoring was an ongoing process designed to keep employee performance on track and most importantly, to permit adjustments as required. This implied that there must be periodical checkups on the performance of the selected implementation of the targets and activities. The

supervisors needed to point out the areas of strength and weakness as well as any short comings in the subordinate's performance resulting from other factors other than the employee.

The findings of this research resonated well with research carried out by Lydia Kanchebele (2012) who did an investigation of the main impediments to the institutionalization of the APAS in the Zambia Public Service. In her study, Kanchebele revealed that several years had passed since the launch of the APAS, and the government has done very little in ensuring that Civil Servants create a sense of ownership and commitment towards it. This study totally agrees with Kanchebele's findings, supervisors and top management in the Zambia Civil Service had not created ownership and commitment to the whole process of the APAS flow process. That therefore, had trickled down to the junior officers who views and feel that the APAS was just a share waste of time and did not add value to their jobs.

This study found that feedback was not provided to the appraisee. For monitoring to be successful there was need to also give feedback that would result in satisfactory performance and appropriate behavior. It also encouraged the subordinate to provide response to the supervisor's feedback. It also identified performance gaps and collaboratively developed and agreed on solutions for performance improvement. Mate (2006) equally revealed similar findings as to whether civil servants received feedback regarding their performance in the last appraisal, 33.5 % claimed that feedback was given against 33.2% who said it was not given. The revelations made by Mate resonated with this study and brought out a clear picture that there is little or no performance feedback which was provided by either the supervisors or the end users of the APAS. Therefore, as indicated earlier, this study totally agreed with the assertion by Wesley (2003) feedback is as important as the conducting the appraisal. Without feedback, most workers will lose confidence in the system since they will not be able to identify it with their development

This study revealed that performance monitoring and reporting were not given priority and strictly adhered to. The respondents attributed that to non-commitment by supervisors. Similarly, Kanchebele (2012) revealed that open communication and feedback between supervisors and subordinates was close to non-existent in the Zambia Public Service, that explains why the APAS, an open system of appraising Civil Servants was facing serious challenges of lack of acceptance. In order to operationalize the performance monitoring and

evaluation system of the APAS, there was need to put in place a framework which is both institutional and administrative.

The Ministries/Institutions needed to identify a Department and officers to be responsible for the effectiveness of APAS and the monitoring and evaluation process. This meant that there can be an officer who would directly be reporting to the responsible officer on the performance of the institution and the individuals. Performance reporting is also very important in the appraisal process. Performance reporting was the sure way of providing feedback. Feedback that is provided can help the appraised person reflect on his / her own weaknesses. Feedback is considered by McNamara (2000) as an important way of ensuring that workers know their weaknesses so that it will be the basis for addressing those weaknesses.

For the APAS to be effective there was need to consider coming up with the institutional assessment framework for the Ministries and institutions that agreed on the outcomes to monitor and evaluate performance. Reporting of individual employee performance was guided by the APAS, the supervisors who agreed on the targets with the job holders were expected in the same vain to ensure that they monitor the whole process up to the end. Based on individual work plans, each individual member of staff performance was expected to be monitored to ensure that he /she performed activities according to the work plan. The supervisor was expected to report individual performance based on the individual work plan and the performance against targets (PAT).

CONCLUSION

The chapter evaluated the implementation of the performance planning and monitoring. Generally, from the field data collected, performance planning and monitoring in the concerned Ministries was just a matter of routine that required to be fulfilled. At Departmental level, the annual work plans outlined the activities and resources necessary for achievement of resources. Therefore, if there was inadequate funding to the Ministries against what was planned, then planned targets become unachievable. Inadequate resources to meet the targets seriously threatened service delivery.

There was no clear link between the performance targets that were set by Departments and the performance as stipulated in the strategic plans. That therefore, translated into poor individual work plans that were mostly not SMART. Additionally, lack of job descriptions for some jobs adversely affected the individual performance planning because there was no documents from

which the KRAs and PAs could be drawn from. There was also a problem of carryover of targets, in some cases, targets were not reviewed during or within the year and hence they had to be carried forward to the following year.

Monitoring and reporting are very important and an integral component of the whole process. If there was poor monitoring of the process then the outcome was equally expected to be poor. This study discovered that the targets and activities planned were not consistently monitored, that therefore, resulted into poor service delivery. Feedback was also not provided regularly as required. Failure to provide feedback, made officers think that the APAS process is not significant and is just a share waste of time. The APAS was therefore, perceived to be more of a routine exercise than a developmental tool, a perception that does not create an enabling environment for the institutionalizing of the APAS to thrive.

Finally, lack of seriousness and commitment from managements and supervisors made the whole APAS process to be chaotic and problematic. As long as there was no commitment from top leadership in the Ministries, then APAS was a failed program.

CHAPTER FOUR

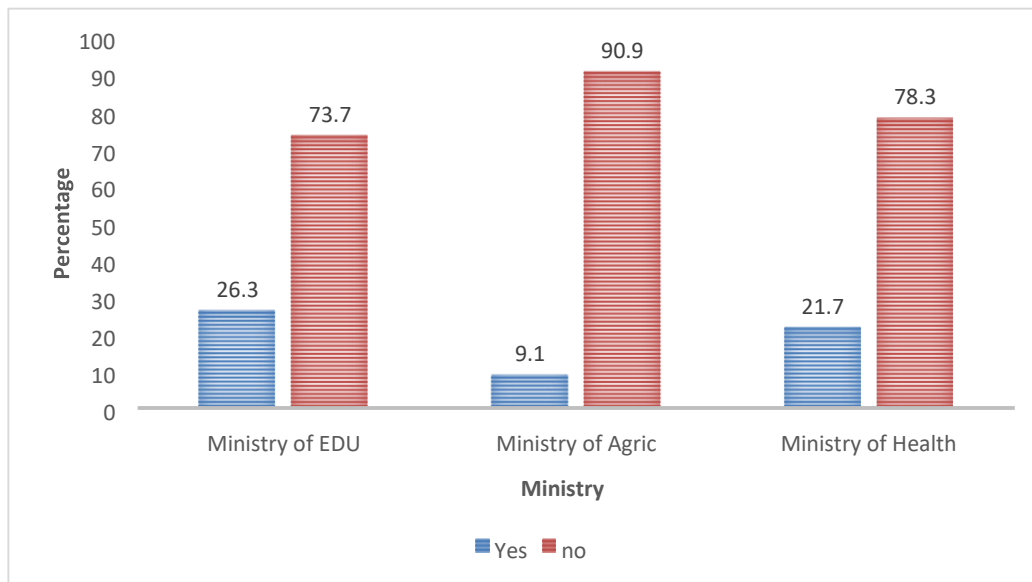
EFFECTIVENESS OF APAS IN APPRAISING CIVIL SERVANTS IN SELECTED MINISTRIES.

INTRODUCTION

This chapter presents and discusses research findings of the effectiveness of the APAS in appraising performance of all Civil Servants in selected Ministries that were sampled. In accordance with the understanding established in the conceptual framework of management evaluation model, effectiveness was evaluated according to the degree to which the purpose of the organization were achieved. Therefore, the purpose of this chapter was to understand whether the APAS was effective in appraising performance as set out in the objective of Performance Management Package (PMP). The chapter also presents and discusses research findings on whether the three (3) Ministries appraised staff based on the agreed work plan targets.

Figure 5: Distribution of Respondents by whether APAS had been effective in

appraising Civil Servants (n=110).



Source: Field Data

The success of any programme relies on whether people are aware of its benefits, the implementation of APAS in the three sampled Ministries had been in existence for the past 20 years. Respondents were asked whether APAS had been effective in appraising performance. Figure 5 shows that most of the respondents reported that the APAS had not been effective, 74, 91 and 78 percent of respondents in the Ministries of Education, Agriculture and Health respectively indicated no response. Some respondents attributed the failure to lack of leadership, most Ministries perceived the APAS as a PSMD baby. Others said the APAS had no strength in handling the Officers that defiantly were under performing. This goes to show that most of the Civil Servants had believed that the APAS has not effective vis-à-vis the initial objectives that it was established for.

The study conducted by Njekwa Mate (2007) also revealed almost the same findings. In that study, Mate probed the perception of the performance appraisal system in the Civil Service. 24.6 % agreed that there was effective administration of performance appraisal in the Civil Service, while, 25 % disagreed, 12.7 did not know and 5.1 % were indifferent.

Table 12: Distribution of Respondents by weather the APAS is applied to all Civil Servants in Ministries.

| Is APAS applied to all employees in your Ministry? | Frequency | Percent |
|--|-----------|---------|
| Yes | 29 | 26.4 |

| | | |
|--------------|------------|--------------|
| No | 47 | 42.7 |
| I don't know | 33 | 30.0 |
| Non Response | 1 | 0.9 |
| Total | 110 | 100.0 |

Source: Field Data

From table 12 above, 29 respondents who accounted for 26.4% agreed, 47 respondents who accounted for 42.7% disagreed, and while 33 respondents who accounted for 30.0% said they did not know. The 29 respondents who accounted for 26.4% agrees that the APAS is applied to all employees in their respective Ministries. This, however, did not give a good reflection because the majority of the respondents (47) accounting for 42.7% gave a NO response.

The 42.7% who disagreed indicated that the APAS was mandatory, but it was selectively used for confirmations and promotions purposes only. Some respondents also indicated that there was no officer who was specifically tasked to monitor who fills in and who does not. When probed further, most of the respondents attributed the NO response to having no systems in and, hence, creating confusion of who should be responsible for the failure of the APAS

The 26.4% of the respondents were not even sure of who should use the APAS and who shouldn't. Generally, the 26.4 % of the respondents felt that there was no direction on the APAS process, as they thought it was only for those officers in the Ministries who were acting and are due for substantive promotions and confirmations only. Some supervisors equally indicated that the APAS was just a tool to use for the confirmations and substantive promotions, nevertheless others indicated that the tool can also be used to identify skills gaps in officers who are under performing.

From the above information, it goes to show that the APAS was not well coordinated and hence employees do not even bother to follow it because they know too well that no one will reprimand them. The institutions lack specific officers responsible for human resource performance management due to the fact that emphasis is placed on ministerial function of planning.

A study conducted by Mate (2006) also revealed similar findings that correlated with this study. In Mate's study, respondents were asked on how often their performance was appraised. 58.9% indicated that once in a year. 26.7 % said they were never appraised at all. 7.6 % said they did

not know, while 1.7 % respectively said there was no specific time, before promotion and once in two years.

The study by Mate brings out two important points which shows how ineffective the APAS process is in the Civil Service. 1.7 % of respondents said there was no specific time. This therefore, means that there was a possibility that some appraisals were not even taking place. Similarly, the 0.8 % may not have been appraised as it was a prerogative of the supervisor to set time and dates for the appraisal process. In any case, some supervisors negated the appraisal because of its lengthy process. For example, ten (10) out of the thirty (30) supervisors interviewed, indicated that APAS programme was too lengthy such that if all the steps were followed routine work would suffer.

Table 13: Distribution of Respondents by Times appraised in current position

| How many times have you been appraised in Current position? | Frequency | Percent |
|--|------------------|----------------|
| Never | 49 | 44.6 |
| Once | 36 | 32.7 |
| Twice | 20 | 18.2 |
| Non Response | 5 | 4.5 |
| Total | 110 | 100.0 |

Source: Field Data

In table 13 above, respondents were asked to indicate the number of times they had been appraised in their current positions, how often they were appraised on the annual basis and when they received feedback after being appraised. Table 3 shows that 44.6% of the respondents were never appraised in their current positions, 32.7% stated that they were appraised once and 18.2 % stated that they were appraised twice in their current positions. However, 4.5 % of the respondents did not give any response.

The highest responses that accounted for 44.5% indicated that they had never been appraised since they started work, this therefore, was an indication that performance appraisal was not mandatory but a matter of choice. However, 32.7% indicated that they were at least appraised once in a year, though there was no consistency in the process. Generally, most of the respondents were never appraised.

The findings in this study have been illuminated by the findings of Kanyanta (2009). In that study it was revealed that the new APAS was not operating as expected. In that regard, the study found that even employees were rarely appraised and that the appraisal only tended to be carried out when employees were due for promotion and when they were being admitted to the permanent and pensionable establishment.

There was also some similarity in the findings of this study and that of Mate (2007). Asked if Civil Servants performance was appraisal, Mate’s study revealed that 26.7 said they were never appraised, 58.9% said they were appraised once a year and 7.6 did not know.

Table 14: Distribution of Respondents by who should initiate the appraisal process.

| Who do you think should initiate the appraisal process | Frequency | Percent |
|---|------------------|----------------|
| My Supervisor | 39 | 35.5 |
| The Human Resource officers | 20 | 18.2 |
| Job holder | 21 | 19.1 |
| I don’t know | 30 | 27.2 |
| Total | 110 | 100.0 |

Source: Field Data

From table 14 above, 35.5 % respondents know that it is the supervisor who should initiate the appraisal process, 18.2 % knows that it is the Human Resource Officers.

35.5% indicated that they expected the supervisors to initiate the process of the appraisal. This was, therefore, an indication that jobholders were not well sensitized of the flow process of the APAS. The Supervisors also did not play their role of giving leadership on the development of Departmental work plans which were expected to be drawn from the Ministerial strategic plans and national planning documents such as the Vision 2030 and the Sixth National Development Plan. 27.3% indicated that they did not know who should initiate the process. This goes to show that there was serious misunderstand and guidance on the part of leadership on who should spearhead the process. However, according to the Public Service Performance Management Operational Manual (2009) the Head of the Department will take the lead in guiding activities and work as a facilitator throughout the entire process.

Without clear guidance on which Department was expected to initiate the appraisal process, there was no Department that picked up responsibility for the success or failure of the

programme. Most respondents felt that there was need to have a specific Department whose mandate will just be to deal with Departmental and individual work plans. Nevertheless, the instruction on the APAS form are very clear, instruction number four (4) states that, the appraise should complete part 1, human resource and Administration should initiate the process by ensuring that the APAS forms are given to the officers to be appraised, APAS User Guide

(1997).

Table 15: Distribution of Respondents by whether the appraisal system is open and free with the supervisor

| Is the appraisal open, free and fair with your Supervisor? | Frequency | Percent |
|---|------------------|----------------|
| Yes | 53 | 48.2 |
| No | 22 | 20.0 |
| I don't know | 33 | 30.0 |
| Non Response | 2 | 1.8 |
| Total | 110 | 100.0 |

Source: Field Data

From table 15 above, it clearly showed that most of the Civil Servants were aware that the APAS was at least an open appraisal system as compared to the ACR. 48.2 % were aware that the APAS was an open and free appraisal as compared to the ACR. However, 20.0 % felt that the APAS was also not an open and free programme of the appraisal. The 33 respondents who accounted for 30.0% said they did not know, since some of the supervisors had perceived performances and were not ready to discuss with the officer they are appraising. They said there was really no difference between the ACR and the APAS because some supervisors still had a tendency of not sitting down with the jobholders.

The 20% responses goes to show that the programme was still not open, as most of them still felt that supervisors did not involve the jobholders on the basis that supervisors felt the process was time consuming since it was a very lengthy one. The 22% respondents further observed that the only way Civil Servants would have confidence in the APAS was by ensuring that the rating on competences are clearly agreed upon by the supervisor and the Officers being appraised. It was observed that most of the supervisors had never created time to have an open and free interview with their subordinates.

The findings of Kanchebele (2012) illuminated well on the above findings. Kanchebele revealed that implementers were perceived to be incompetent and lacked the expertise to encourage Civil Servants to do appraisals. It was generally agreed that most supervisors lacked experience and relevant training to effectively conduct meaningful appraisal. This study agreed with the revelation by Kanchebele, out of the 30 supervisors interviewed on 10 had undergone training on the APAS application.

Table 16: Distribution of Respondents by whether there was follow-up action after the appraisal process.

| Is there follow-up action after the appraisal process? | Frequency | Percent |
|---|------------------|----------------|
| Yes | 23 | 20.9 |
| No | 74 | 67.3 |
| I don't Know | 13 | 11.8 |
| Total | 110 | 100.0 |

Source: Field Data

Table 16, shows distribution of respondents who indicated whether there was follow-up action after the appraisal process. 20.9% accepted that there was a follow-up action after the appraisal process, while 67.3% were with a view that there was no follow-up action. For the 23 respondents who accepted that in the APAS there was follow-up action, they had based on the justification that performance competences and gaps determined the follow-up action. The 67.3% respondents attributed their response to failure by the system in identifying officers that require career development in their jobs were performance has not been improving. The 67.3% also felt that the APAS was designed in such a way that would not even compel supervisors to identify areas where an officer can undertake some career development. Most of the respondents viewed the APAS as mere administration tool that is just used for the sake of promoting institutional formalities in terms of promotions and confirmations. Performance appraisal for confirmation purposes was usually undertaken after six months of acting in the position.

The 67.3% who gave a no response felt that if the APAS was used to identify the officers who were under performing in their in their jobs, the tool could greatly increase on the job knowledge and hence increasing on the output and productivity. However, some respondents felt that the APAS was not even used to identify the jobholders who had difficulties in their performance due to inadequate skills. In most Ministries, there were very few Officers who are aware that the

APAS can improve job knowledge, forgetting that it was the same tool that can be used to identify their job competencies and performance.

Table 17: Distribution of Respondents by whether the results of the APAS are a true reflection of their ability.

| Are the results of the APAS a true reflection of your ability? | Frequency | Percent |
|---|------------------|----------------|
| Yes | 42 | 38.2 |
| No | 35 | 31.8 |
| I don't know | 32 | 29.1 |
| Non Response | 1 | 0.9 |
| Total | 110 | 100.0 |

Source: Field Data

Table 17, shows distribution of respondents who thought the results of the APAS was a true reflection of their ability. 42 respondents agreed accounting for 38.8% while 35 respondents disagreed accounting for 31.8% and 32 accounting for 29.1% could not respond. It shows that many of the officers felt that the APAS was a true reflection of the individual abilities. Nevertheless, 31.8% of the respondents still feel that their actual abilities were not a true reflection of what was rated in the APAS. The respondents felt that there was no major difference of how the rating was done in the ACR. They said that even the APAS was equally subjective on how the supervisor rated the job holders.

The (35) respondents who accounted for 31.8%, strongly argued that the APAS did not truly reflect the abilities of the individual nor the performance of the job itself. They strongly felt that the tool was just a rubber stamp to give promotions and other rewards to jobholders who in fact were under performers in some cases. They argued that if the APAS was identifying individual’s abilities, then the right people could have been identified, unlike were promotions were based on who you know and political patronage.

Out of the 35 respondents who gave a no response, 15 respondents felt that the ratings on the competences were always preconceived and not matching what they really put in, they viewed the APAS as not really undoing the defects that were in the ACR. They observed that supervisors still had a final say on the way they perceive the job holder whether right or wrong hence they based the appraisal on observable behavior. Therefore, the supervisor had the final say on the ratings.

Table 18: Distribution of Respondents by the period they received feedback after being appraised.

| When do you receive feedback after being appraised? | Frequency | Percent |
|--|------------------|----------------|
| Within a month | 10 | 9.1 |
| After a month | 4 | 3.6 |
| After two months | 2 | 1.8 |
| After three months | 23 | 20.9 |
| Never | 59 | 53.7 |
| Non Response | 12 | 10.9 |
| Total | 110 | 100.0 |

Source: Field Data

From table 18 above, 59 respondents who accounted for 53.6% indicated that they never received response from PSMD every time that the APAS forms were submitted, while 23 respondents said they receive feedback after three months. The 53.6% respondents claimed that PSMD who were supposed to be the end-users of the APAS do not give feedback because they are equally busy with other routine works. This therefore made the whole process not being followed and making it incomplete.

The failure to provide feedback could be due to inadequate structural capacity by PSMD. According to (PSMD Concept Paper, 2012) currently, the Civil Service employs over 150,000 people. The PSME section of PSMD has a compliment of four (4) Performance Systems Officers who handle the APAS forms. The concept paper stated that the current system of sending all the appraisal forms to PSMD for approval is, therefore, unpractical and unsustainable as each officer will have to work on an average of 37,500 appraisal forms (x 3 as there are three appraisal types) per annum.”

Mate (2006) also correlates with this study, asked whether they received feedback on a fixed date after appraisals, 72.9 % said no. 18.6 % said they did not know. Generally, the responses from that study equally shows that feedback was never provided. Therefore, the findings by Mate were consistent with the findings from this study that feedback was never provided. As a result, the whole APAS flow process was incomplete.

Table 19: Distribution of Respondents by weather there is orientation on the APAS

| Level of orientation on the APAS | Frequency | Percent |
|---|------------------|----------------|
| High | 17 | 15.5 |
| Low | 81 | 73.6 |
| I don't know | 12 | 10.9 |
| Total | 110 | 100.0 |

Source: Field Data

From the table 19 above, 17 respondents who accounted for 15.5% gave rated the level of orientation on the APAS as high, 81 of the respondents who accounted for 73.6 % rated low and 10.9% did not know response.

The 81 respondents who gave a no response accounted for 73.6% indicated that in most Ministries and Institutions, capacity on the APAS was built among Senior Management staff and then rolled out to other members of staff at different stages in time. According to some respondents, this had not worked well since most of the senior members of staff did not have time dedicated to the rollout process. Some of the respondents observed that most of the Senior Management staff were concerned with gaining their individual knowledge and not being able to share with their junior officers.

Most respondents also observed that the effectiveness and usage of the system had been limited, as it missed out on the orientation of a large section of the Civil Service employees resulting into little individual and organizational performance improvement. Additionally, some respondents observed that unlike in the past, all Civil Service workers on first appointment underwent induction before being deployed.

The above observations were supported by the revelation in the (PSMD Concept Paper 2012) which stated that the poor adherence to individual performance, work planning and evaluation can mainly be attributed to limited orientation of the Public Service employees in the Performance Management Package (PMP). Additionally, the concept paper asserts that, time lag in orientation of junior staff leads to disparities in understanding the APAS process and consequently creating challenges in operationalization of the process.

Table 20: Distribution of Respondents by whether the APAS is used to improve job performance.

| Has APAS improved your job performance | Frequency | Percent |
|---|------------------|----------------|
|---|------------------|----------------|

| | | |
|--------------|------------|--------------|
| Yes | 49 | 44.5 |
| No | 30 | 27.3 |
| I don't know | 31 | 28.2 |
| Total | 110 | 100.0 |

Source: Field Data

From table 20 above, 49 respondents who accounted for 44.5% said YES, 39 respondents who accounted for 27.3% said NO, while 31 respondents who accounted for 28.2 % said they did not know.

The 49 respondents who accounted for 43.5% agreed that the APAS had helped in improving job performance. Nevertheless, the respondents observed that there was need for serious commitment among the Top management to ensure that only the APAS flow process was strictly adhered to. They also observed that there was serious need to induct the officers at the point of entry into the Public Service so that they were fully aware of the importance of the APAS.

The 30 respondents who accounted for 27.7% said the APAS had not helped to improve job performance. This was because the employees who were found to be under performers were not taken for staff and career development to ensure that their job performance was improved and eventually leading to improved institutional performance.

General of the respondents, however, indicated that there was need to ensure that strengthened institutional mechanisms were in place for job improvement, create adequate structural capacities and also promote leadership through the M&E implementation framework. They observed that there was need to link job improvement to the provision of all the necessary tools required to perform the job. Furthermore, they observed that if the planned activities for the job were not funded, the job may not be improved because it lacked baseline. It was observed that the APAS was also aimed at identifying performance gaps but it was not effectively used for that particular purpose.

Table 21: Distribution of Respondents whether the APAS identifies individual performance gaps.

| Does the APAS identify your individual performance gaps? | Frequency | Percent |
|---|------------------|----------------|
| Yes | 19 | 17.3 |
| No | 59 | 53.6 |
| I don't know | 32 | 29.1 |

| | | |
|--------------|------------|--------------|
| Total | 110 | 100.0 |
|--------------|------------|--------------|

Source: Field Data

Table 21 above, shows the general picture of the responses concerning the APAS identifying individual performance gaps. 19 respondents who accounted for 17.3% responded with a yes, 59 respondents accounted for 53.6% and responded with a no, while 32 for 29.1% did not know.

From the above research findings, 19 respondents who accounted for 17.3% said the APAS was indeed able to identify the performance gaps if strictly conducted and the process adhered to, while 59 respondents accounted for 53.6% and observed that the APAS had no capacity to identify the performance gaps. They also observed that the APAS did not even attract any remedies where and when under performance was identified.

The 19 respondents who accounted for 17.3% acknowledged that the APAS was able to identify performance gaps in an event that if officers fail to meet the agreed targets in the work plans. 32 respondents did not know whether the APAS was able to identify their performance gaps. This, therefore, goes to show that the 32 respondents did not understand the factors involved in work planning and target setting.

The 59 respondents who accounted for 53.6 % justified that the APAS had no capacity to identify performance because the whole process was not followed and strictly adhered to. They indicated that the APAS did not have a provision to compel the appraising officer to identify the performance gaps.

In her study, Kanchebele (2012) revealed that when appraisal are conducted, there is often a lot of bias and subjectivity involved in the ratings by the supervisor. There is practically no motivation to embrace the system thus the lack of acceptance and a sense of commitment towards it.

Table 22: Distribution of Respondents by weather Top Management in their Ministry monitors the APAS process.

| Does Top Management monitors the APAS process? | Frequency | Percent |
|---|------------------|----------------|
| Yes | 17 | 15.5 |
| No | 81 | 73.6 |
| I don't know | 12 | 10.9 |

| | | |
|--------------|------------|--------------|
| Total | 110 | 100.0 |
|--------------|------------|--------------|

Source: Field Data

Table 22 above, shows that 17 respondents who accounted for 15.5% agreed that Top management monitors the APAS flow process, while 81 respondents, accounting for 73.6%, disagreed that Top management did not monitor the APAS flow process. From the above Table, the 73.6% respondents claimed that there is no specific time when the Top management has been actively involved to discuss with departmental staff the KRA by going through each of them. Most of the respondents (73.6%) also claimed there was NO leadership in monitoring the whole APAS process. Additionally, some respondents said some of the Managers did not even understand the APAS flow process. This could be a reason why there were no reports that are submitted for institutional performance.

The above findings agree with the findings of Kanchebele (2012), the study revealed that the level of commitment of the top leadership in various government organization, to the performance appraisal process was very low. This being the case, there is simply no zeal or determination to effectively implement programmes such as appraisals. The situation is that, the senior executives are usually out of their offices for one reason or the other. Furthermore,

Kanchebele's study revealed that civil servants perceive the APAS to be a non-participatory managerial and developmental tool in the Zambia Public Service.

A Key informant from PSMD, however, told this researcher that "it was the duty of each manager to measure individual performance against institutional performance. Lack of a performance monitoring and evaluation systems at institutional level had resulted in the failure to determine the extent to which planned activities contributed to the attainment of institutional objectives and improvement of service delivery." (02/12/2014)

Table 23, Distribution of Respondents by reasons for ineffective individual performance

| Reasons for ineffective individual performance | Frequency | Percent |
|--|------------------|----------------|
| Lack of institutional mechanisms to monitor APAS process | 3 | 2.7 |
| Lack of Job Descriptions | 28 | 25.5 |
| Lack of Mandatory programme for orientation | 40 | 36.4 |
| Poor and negative Civil Service work culture | 2 | 1.8 |

| | | |
|--|------------|--------------|
| Lack of Terms and Conditions of Service on rewards/sanctions | 37 | 33.6 |
| Total | 110 | 100.0 |

Source: Field Data

From table 23 above, 36.4% indicated that there was lack of orientation/induction on the APAS, especially for the new staff, 33.6% indicated that there was lack of Terms and Conditions of service on the rewards and sanctions, 25.5% indicated that they lack job descriptions. While 1.8% indicated poor and negative work culture.

The 40 respondents who accounted for 36.4% said that the outstanding reason for ineffective individual performance was that there was no mandatory programme to induct new entrants in the Civil Service. Most of the respondents said they were newly employed and they were still on their probationary period despite serving the 6 months probationary period. They said ever since they joined the Civil Service they had never been inducted on the APAS, Terms and Conditions of Service and the Disciplinary Code of the Public Service. They observed that there was a policy to induct the new staff, even in the Ministries through the training policy, but that was not adhered to.

37 respondents who accounted for 33.7% pointed out that there was lack of Terms and Conditions of Service on reward/sanction. The 37 respondents observed that the Terms and Conditions of Service is silent on the sanctions of underperformance. The Terms and Conditions of Service and the Disciplinary Code do not clearly state the kind of sanctions that are to be meted on the under performers. Additionally, there was no specification on the rewards for the high performers.

28 respondents who accounted for 25.5% indicated that there was lack of the job description for the APAS to be implemented. For the APAS to be effective it required the job description of the job holders who were being appraised, most of the newly employed officers indicated that they had no job description, they work without knowing the KRA and their PA. 25.5% of the respondents indicated the lack of job description as a major constraint. Indeed for the APAS programme to be completed the job description had to be attached to the APAS.

The job description showed the job purpose, the Key Result Areas (KRAs) and accountabilities. Therefore, in the absence of the job description it was very difficult to even take into consideration the performance areas that needed to be assessed. It was also discovered that most

of the officers especially in the Technical Ministries such as Health and Agriculture, most of the job holders did not have job descriptions. They indicated that they have reported the matter to their supervisors who have taken it up their human resources departments. However, one wonders how they had been conducting target setting and drawing up the individual work plans.

2 respondents who accounted for 1.8 % indicated the poor and negative work culture in the Civil Service had contributed to individual ineffective performance. Kanchebele (2012) revealed that Civil Servants perception of the guaranteed job security in the Civil Service was another serious impediment to the institutionalization of the current performance appraisal system. This revelation from that study goes to show that some Civil Servants feel that they can never be dismissed for underperformance.

2.7% of the respondents indicated the lack of institutional mechanism to monitor the APAS had also been a huge serious reason because there was no single officer either in Top management or Middle management designated to monitor the APAS. There was totally no ownership from Top to down and hence the APAS was just a matter of choice and routine for those who were due for confirmation. They observed that if there was a separate Department in the Ministries whose mandate was just to monitor the APAS then failure or success of the programmes can be attributed to such a Department.

DISCUSSION OF THE FINDINGS

The effectiveness of the APAS in appraising performance among Civil Servant in selected Ministries can be attributed to the fact that, capacity in PMP was built in senior management staff first before it was rolled out to other members of staff at different stages in time. And hence, the effectiveness and usage of the programme had been limited as it had missed out on the large section of the Civil Service employees resulting into little individual and organizational performance improvement. The time lag in the orientation of junior staff could have led to disparities in understanding the system and consequently creating challenges in the implementing and operationalizing the system. This discovered that the APAS was ineffective in appraising performance among Civil Servants. The findings of this study correlated with the findings of Mate (2007) who was evaluating the effectiveness of PMP in the Public Service. He discovered that the APAS was not consistently used in appraising performance.

For any programme to be effective, it has to produce successful results for which it was intended. The effectiveness of the APAS can be determined from the objectives for which it was set. Basically, it was to improve the efficiency and effectiveness of the Public Service in order to improve performance and also having an effective personnel appraisal instruments in order to make vital personnel decisions. In his study, Kanyanta (2009) asserts that APAS was introduced in all restructured Ministries and Institutions. However, in the ten (10) Ministries that were include in his study, it was found that the Performance Management System (PMS) was only used to determine an employee's suitability for promotion. In other words, the PMS was not used routinely to assess employee's performance but was demand driven in that employees only completed the APAS forms if they had been acting in a higher position and were seeking confirmation. Arising from that, Kanyanta, found that it was difficult for supervisors to ascertain the weaknesses of their subordinates and take remedial action such as recommending appropriate skills development to improve service delivery. The findings by Kanyanta corroborated with the findings of this study. The APAS cannot be regarded as being effective because it has not produced successful results for which it was intended. The APAS had been demand driven, meaning it does not measure performance at all. It was never used to assess individual performance.

According to the Terms and Conditions of Service for Public Service (2003), it was mandatory that officers on first appointments were inducted in the operations of the Civil Service. However the opposite is the case, when new Officers were recruited on first appointment they were not oriented or inducted in performance management during their probation period. Most of the officers on first appointment did not even understand what was expected in their jobs. Apart from the findings of this study, the (PSMD Concept Paper, 2012) revealed that the poor adherence to individual performance was due to limited orientation of Public Service employees in the PMP. Additionally, there had been a partial installation and implementation of the PMP and the APAS due to limited resources.

The ineffectiveness of the APAS in appraising performance of Civil Servants can be attributed to the manner in which it was rolled out. This study revealed that it was rolled out in piece meals. The roll out started with senior managers. In his study, Kanyanta (2009) also revealed that workshops were attended by selected senior managers from all Departments of the Ministries. The senior managers would then train their staff under their charge. However, this was not always the case as those who had been trained never seemed to be willing to share knowledge with their subordinates. Kanyanta further revealed that some Permanent secretaries blamed that

on PSMD and the Management Development Division (MDD) , who they said never made follow ups with the Ministries in order to determine whether the APAS was working as planned or not. The two Divisions also put the blame on the senior managers for failure to share knowledge with the subordinates. Furthermore, Kanyanta's study found that even in the two (2) Division the Performance Management System (PMS) was not entirely institutionalized.

The revelations in Kanyanta's study resonated very well with this study. It can be deduced that the invited senior managers were more interested in the allowances for the workshops because they had failed to roll out to their subordinates upon returning to their respective stations. There was also a blame game noticed among the players involved in the roll out, PSMD and MDD blames senior managers, while senior managers also blames PSMD and MDD. What was even waste were the glaring revelations that the two Divisions which were spearheading the rollout had not institutionalized the system. One would be right to conclude that the whole process was fraud.

The APAS was also designed to identify the performance gaps especially in those officer that were unable to meet their targets in their course of duty. The study revealed that the APAS was not deliberately used to by most of the supervisors to identify the gaps in the under performers. The APAS form at 2.4 interrogates the appraisee to state the targets that were not achieved in the appraisal period. At 3.2 it mandates the supervisor to recommend for a follow-up action. According to Cabinet Office (1997), the follow up action to be taken was a recommendation made by the supervisor taking into the rating on both the targets and performance competencies. This recommendation could either relate to skills development, rewards or sanctions. This however, showed that some supervisors deliberately chose to ignore their mandate, better still, some supervisors just had inertia to go through the whole process.

This study also revealed that, there are other reasons for the ineffective individual performance. One of the reasons given, was lack of job Descriptions. In almost all the three (3) Ministries, a good number of officers did not have job descriptions. For those who had, they were either outdated or not conforming to the job. As a result of that, an appraisal cannot be genuinely conducted because part 2 of the APAS requires to fill in the Key Result Areas (KRA) and the Principal Accountabilities (PA). The KRAs and PAs are only found on the job description. Therefore, minus that the appraisal would be incomplete.

Another reason was the poor and negative work culture in the Civil Service. Both the supervisor and the subordinate never bothered to remind one or the other on the appraisal programme and the activities concerned. Some supervisors concentrated so much on routine duties than improving performance in their organizations. Equally, some employees or subordinates had a laizze-fare attitude toward work and therefore they wouldn't remind their supervisor for fear of exposing themselves. This resonated very well with Kanchebele (2012) who revealed that Civil Servants perception of the guaranteed job security in the Public Service is another serious impediment to the institutionalization of APAS. Over the years, it has been discovered that job security in the Zambia Public Service has brought about a relaxed attitude among employees towards work. This scenario is a hindrance to the institutionalization of the APAS in the sense that Civil Servants know for sure they will not be fired for under performance.

Most of the Civil Servants feel that the Public Service is a heaven of peace for under performers. As long as the perceptions became rooted in the Civil Service, then, improved performance will become a pipe dream.

CONCLUSION

This Chapter clearly brought out the extent to which the APAS had been effective in appraising performance in the selected Ministries. The statistics portray a very negative perception of the effectiveness of the APAS in improving performance at both institutional and individual level. Going by the findings in this study, the APAS had not impacted positively on improving performance in the Civil Service. It had not been effective in improving performance that would result in efficient service delivery.

The major reason that cut across in all the selected Ministries was that leadership did not buy into the whole APAS process. There was lack of seriousness by management and supervisors that eventually spread to the junior or subordinate officers. Therefore, that resulted in poor service delivery. One can conclude that the APAS was rushed and its implementation was not consistent with the steps outlined in the operational manual.

Generally, the poor working culture among the Civil Servants in the Zambia Civil Service has resulted in poor performance that eventually results into poor service delivery. The perception by Civil Servants that there is job security in the government and officers are never fired over under performance has rendered the APAS to be very ineffective

Despite being mandatory, the APAS process was just a matter of choice and demand driven to most of the supervisors and subordinates. As long as there was no commitment and leadership by the managers and supervisors the whole APAS process can be perceived as a failed project. The whole process looked good on paper, but, the implementation was in some cases uphazard chaotic and problematic.

Finally, since the APAS had failed to perform as expected, the Zambia Civil Service should not rush into starting new or other appraisal programme before doing a serious postmortem of why there was failure to meet the intended objectives.

CHAPTER FIVE

UTILIZATION OF THE APAS IN MAKING HUMAN RESOURCE DECISIONS IN SELECTED MINISTRIES

INTRODUCTION

This chapter presents and discusses research findings on the extent of utilization of the APAS in making human resource decisions in the concerned ministries. The purpose of the chapter was to check and whether the objectives of the APAS are strictly being adhered to. One of the reasons why APAS was introduced was to put in place an effective personnel appraisal instrument and management information system to enable government to compile and manage data useful in making vital personnel decisions at the time confirmations, promotions, discipline transfer and retirement of Civil Servants.

Table 24: Distribution of Respondents by weather the APAS in the Civil Service is used to make vital personnel decisions.

| Is APAS in the Civil Service used to make vital personnel decisions? | Frequency | Percent |
|---|------------------|----------------|
| Yes | 33 | 30.0 |
| No | 41 | 37.3 |
| I don't know | 36 | 32.7 |
| Total | 110 | 100.0 |

Source: Field Data

From table 24 above, 37.3% of the respondents agreed that APAS was used in making vital personnel. The 36 respondents who accounted for 32.7% did say they did not know if the APAS was utilized to make vital personnel decisions. Most of the respondents (41) who accounted for 37.3% gave a NO response. When the response was probed further, the respondents indicated that most of the supervisors did not base their identification on performance. For instance, when it came to promotions the supervisors picked those who had very good personal relationship with them.

Some respondents, pointed out that in some cases there was corruption, nepotism and bribery in the selection of personnel for promotion, staff development and Labour Day awards. The Labour Day awards in some institutions have been a source of conflict among the supervisors and their subordinates, some respondents indicated that they did not know the criteria used by supervisors to select the most hardworking officers. The 37.3% contended that there was no clear measure and justification on the way the supervisors came up with the recipients of the awards. They indicated that the supervisors just appointed some of the people who are close to them and in some cases those who provided information about others.

The 32.7% respondents largely attributed failure by the APAS not to give confidence to the Officers being appraised because it had moved away from the objectives on which it was founded. The APAS was established to put in place an effective personnel appraisal instrument and management information system to enable the government to compile and manage data useful in making vital personnel decisions at the time of confirmation, promotions, discipline, transfer and retirement of public servants. (Cabinet Office 1997). These decisions were not really based on the principals on which it was founded. One of the observation was that there was still centralized decision making mechanism on most human resources matters resulting in delayed decision making.

36 respondents who accounted for 32.7% said they did not know whether the APAS was utilized to make human resource decisions. This, therefore, goes to show that there was very little knowledge among the Civil Servants on why the APAS was established. When probed further, 41 respondents indicated that in some cases they had to plead with supervisors for them to be confirmed in their jobs. While, 36 respondents expressed disappointment that there was no system in place despite having the APAS process. 33 respondents who accounted for 30.0 %

said yes the APAS was used to make human resource decision, one of the reasons they gave was that they were substantively promoted after filling in the APAS. Others observed that they got confirmed after filling in the APAS. In any case, the APAS was skewed on just two vital personnel decision which are confirmations and substantive promotions in the Civil Service.

Table 25: Distribution of Respondents by whether APAS is used for General Annual Performance Appraisal

| Is APAS used for General Annual Performance Appraisal? | Frequency | Percent |
|---|------------------|----------------|
| Yes | 48 | 43.6 |
| No | 52 | 47.3 |
| I don't know | 10 | 9.1 |
| Total | 110 | 100.0 |

Source: Field Data

From table 25 above, 48 respondents who accounted for 43.6 % responded with a YES, while 52 respondents who accounted for 47.2 % said NO and 9.1 said they did not know. According to the 48 respondents who accounted for 43.6% the APAS had been used to correctly identify officers who should be recommended for promotion, demotion transfer and training. The APAS was a very strong tool used to identify those who required training.

According to the 48 respondents, the APAS was unlike the ACR because the supervisors were able to see the incapacitation in officers who cannot meet their targets and hence recommend them for training to capacitate them. While 52 respondents who accounted for 47.2 % responses said that the APAS, just like the ACR, had not been used to identify which officers were high performers, instead selection was based on personal relationship with their supervisors. The respondents observed that the APAS had components which could identify the training needs of individual officers but the tool was not fully used.

From the 52 respondents, some observed that the APAS was never used to apply sanctions such as transfers and demotions for poor performance. They further observed that the APAS did not identify the under performers and in fact ended up awarding the under performers. Some respondents felt that the APAS was not even consistently applied to all the officers, as it was expected. They further observed that some supervisors did not even have time to sit with their subordinates to review the whole process. The respondents indicated further that no single Civil Servant had been dismissed from the Civil Service for under performance. This therefore

showed that the use of APAS was skewed to confirmations and substantive promotions and not the general performance of individual officers.

Table 26: Distribution of Respondents by whether APAS is used for Performance Appraisal for Confirmation.

| Is APAS used for performance appraisal for confirmation only? | Frequency | Percent |
|--|------------------|----------------|
| Yes | 58 | 52.7 |
| I don't know | 52 | 47.3 |
| No | 0 | 0 |
| Total | 110 | 100.0 |

Source: Field Data

From table 26 above, 58 respondents who accounted for 52.7 indicated that their confirmations were done through the APAS, while 52 respondents who accounted for 47.2% indicated that they did not know. The Terms and Conditions of the Public Service demanded that an officer on first appointment shall be required to serve a six months probationary period before he/she can be confirmed or be called an established officer. Therefore, all personnel appointed in the Public Service as Civil Servants were subjected to a mandatory performance appraisal through the APAS.

The 58 respondents who accounted for 52.7% acknowledged that they were appraised before they were finally confirmed. However, out of the 58, some of them indicated that they were confirmed during that time when the ACR was still being used as the appraisal tool. They nevertheless complained that with the ACR they could not see what the supervisors wrote about them, but the APAS accords an individual chance being appraised to see what the supervisor had written about that particular individual. They also praised the APAS that it was able to bring out the weaknesses of an individual so that they are identified for training if they are incapacitated. They also indicated that unlike the ACR, the APAS was at least open in the sense that the supervisor would sit down and discuss performance with the person being appraised.

The 52 respondents who accounted for 47.2% were mainly the new entrants in the Civil Service, they said they did not know because they never sat with their supervisors to actually discuss the targets, performance competences and the follow-up action. They further observed that they had served their six months probationary period but they had not been appraised for confirmation.

Table 27: Distribution of Respondents by weather APAS is used to decide on increment of salary notches.

| Is APAS used to decide on increment of your Salary notches? | Frequency | Percent |
|--|------------------|----------------|
| Once | 6 | 5.5 |
| Twice | 5 | 4.5 |
| Never | 61 | 55.5 |
| I don't know | 38 | 34.5 |
| Total | 110 | 100.0 |

Source: Field Data

Table 27 above, shows that 55.5% were never appraised for incremental performance appraisal, while 5.5% stated that they were appraised once, 4.5 were appraised twice and 34.5 never responded in any way. The study discovered that the incremental performance appraisal was usually not considered, despite the incremental date set on payslips.

38 respondents who accounted for 34.5% indicated that they did not know if salaries notches were increased using the APAS, indicating that they had seen the incremental date on the pay slips but did not know what that meant since no one had bothered to explain to them what that date meant. 61 of the respondents who accounted for 55% indicated that they never received any salary increment after being appraised. The 55% of respondents felt that the incremental performance appraisal could not work because government only made salary increments through the negotiations of conditions of service. A system that never segregated the performers from non-performers, hence demotivating the performers.

In her study, Kanchebele (2012), revealed that Appraisal Related Pay (ARP) was critical challenge to successful institutionalization of the APAS in that, if not suitably designed and introduced sensibly into an environment where trust is high and there is readiness to adapt to change, employees resist the appraisal system altogether. She further revealed that as it is, ARP has failed to motivate civil servants to embrace the APAS but has rather left them demotivated.

Hence, there are many doubts about the credibility of the APAS. Kanchebele's study illuminated well on this study, in this study it was revealed that PSMD never implemented the increase in notches because there was collective bargaining processes that the Civil Service had embarked on.

Table 28: Distribution of Respondents by knowledge as whether the APAS identifies who should be promoted.

| Does APAS identify who should be promoted in your Ministry? | Frequency | Percent |
|--|------------------|----------------|
| Yes | 37 | 33.6 |
| No | 60 | 54.6 |
| I don't know | 13 | 11.8 |
| Total | 110 | 100.0 |

Source: Field Data

Table 28 above, shows the frequency and percentage distribution of the respondents whether they think the APAS was a tool that was used to identify who should be promoted. 33.6 % of the respondents felt that it was a correct tool which had been used to promote employees. 54.5% were with a view that it was not a tool which was consistently used to promote employees. Most of the respondents who account for 54.5% strongly felt that promotions were never identified through the APAS, instead it was who you know and how is close to you in the corridors of power. The respondents said the APAS was just used as a rubber stamp because it was not followed strictly as required in the APAS manual.

The 54.5% of respondents indicated that some of the promotions in the Civil Service were not actually done on merit. Some of the employees who were promoted were non-performers but because they had some connections and relationships with the powers that be, they were given promotions even when they had under performed. Some respondents felt that in most cases there was no clear system of identifying who should be promoted. Additionally, the 54.5% respondents said there was no correlation between the employees that were promoted and their great performance, in fact, some of the officers were none performers.

Generally, most respondents felt that promotions in the Civil Service was seriously malady by corruption, nepotism, tribalism and political patronage. This therefore, had greatly hindered the institutionalization of the APAS in most of the government Ministries. Based on that, most respondents felt that the APAS process was just a share waste of time because their performance went unnoticed by their supervisors.

Table 29: Distribution of Respondents by whether the APAS is used to decide on their rewards.

| Is APAS used to decide on your rewards? | Frequency | Percent |
|--|------------------|----------------|
| Yes | 38 | 34.5 |
| No | 70 | 63.7 |
| I don't know | 2 | 1.8 |
| Non Response | 0 | 0 |
| Total | 110 | 100.0 |

Source: Field Data

Table 29 above, shows the frequency and percentage of respondents who indicated whether the APAS was used to decide on their rewards. 38 respondents agreed that the APAS was used to decide on their rewards, while 70 respondents disagreed that the APAS was not used to determine the rewards.

Most of the respondents had a lot of misgiving about the APAS being used as a tool to decide on the rewards. 70 respondents who accounted for 63.7% felt that the Incremental Performance Appraisal had not been consistently used by PSMD to award increment in salary notches to those employees whose performance had been outstanding. General of the respondents observed that, despite, the annual incremental date appearing on the pay slips the annual increment was never followed and adhered to. This has left most of the officers wondering why the annual incremental date still appeared on the pay slips. 63.7% of respondents observed that reward and sanction systems should be linked to performance with respect to Annual increments, Certificate of recognition for Labour Day awards, Confirmations, Promotions and Collective bargaining. Among the 70 respondents, some indicated that they would prefer tangible rewards such as money.

In the study by Mate (2006), a similar question was asked as to linking appraisals to rewards, sanctions and training. 64% of the Civil Servants interviewed said that performance was never linked to rewards. In that study, most of the Civil Servants preferred performance based rewards such as increased pay and monetary benefits or incentives. This therefore, goes to show that most of the Civil Servants are actually demotivated leading into losing confidence in the APAS programme.

Table 30: Distribution of Respondents by whether the APAS is used to identify training needs.

| Is APAS used to identify your training needs? | Frequency | Percent |
|--|------------------|----------------|
|--|------------------|----------------|

| | | |
|--------------|------------|--------------|
| Yes | 30 | 27.3 |
| No | 67 | 60.9 |
| Non Response | 13 | 11.8 |
| Total | 110 | 100.0 |

Source: Field Data

Table 30, shows the frequency and percentage distribution of respondents who indicated whether the APAS identifies training needs among employees.

From the above table, 30 respondents agreed that the APAS was a tool that can be used to identify training needs, while 67 respondents accounting for 60.9% indicated that the APAS was never used to identify the training needs. The 67 respondents alluded to the fact that whenever a recommendation was done for an officer to go for training, PSMD, through the APAS, did not implement the proposal done by the supervising officer.

The respondents felt that there was too much inconsistency in the system for identifying who should go for training, especially short term training abroad, the 67 respondents also had misgivings about the way the training plans were arrived at. Most of the respondents felt that a training plan should be drawn from the follow up action recommended in the APAS especially on matters to do with training. General of the respondents felt that the APAS did not in any way provide a part which could compel supervising officers to identify training needs in other areas apart from the line of duty an officer was performing.

60.9% of respondents observed that the APAS was a weaker tool in identify training needs. The APAS was a very weak tool to identify long term training needs, because it did not compel the supervisors to identify the skills gaps that led to under performance. They felt that the Training Needs Assessment tool was in fact the most appropriate tool to identify training needs. They added that the APAS was more focused on identifying the Key Result Areas (KRA) that are in the job descriptions. Arising from the above findings, one can conclude that the APAS had not been effective in identifying the skills gaps and training needs.

Table 31: Distribution of Respondents by weather the APAS is used to decide on sanctions for underperformance

| Is APAS used to decide sanctions for underperformance? | Frequency | Percent |
|--|-----------|---------|
| Yes | 29 | 26.4 |

| | | |
|--------------|------------|--------------|
| No | 32 | 29.1 |
| I don't know | 47 | 42.7 |
| Non Response | 2 | 1.8 |
| Total | 110 | 100.0 |

Source: Field Data

Table 31, above shows the distribution of respondents who indicated on whether the APAS was used to decide on sanctions. From the table above, respondents who accounted for 26.4% agreed that the APAS was used, while 32 respondents who accounted for 29.1% disagreed.

Some respondents also observed that there were limited provisions for sanctions in the Terms and Conditions of the Public Service and the Disciplinary Code. The 47 respondents who accounted for 42.7% had no knowledge whether the APAS was a tool that is used to apply sanctions to the underperforming employees in the Civil Service. This goes to show that most of the officers are not aware of the other functions that the APAS can play. They further observed that it was very difficult to quantify under performance on which the sanctions can be based. The 47 respondents revealed that they had never heard of any officer who had been charged for under performance.

Similarly, Mate (2007), revealed 50% of the respondent said sanctions were never applied to underperforming officers. 73.3 % supported the applications of sanctions for poor performance, while, 89.4 % were of the view that poor performers be sent for training and skills development.

Kanchebele (2012), also revealed that, APAS has no sanctions attached to it, there is no punishment given for non-compliance. This is because it had no legal framework backing it. Therefore, on-performers go unpunished.

The two studies above collaborated well with this study. There is very little that had happened to institutionalize sanction for underperformance. There was serious need by the Civil Service to consider a legal framework that could cover performance in the Public Service.

Table 32, Distribution of Respondents by whether there are weaknesses in the APAS

| APAS weaknesses in human resource decision making | Frequency | Percent |
|--|------------------|----------------|
| It encourages demotions | 3 | 2.7 |
| It is applied selectively | 28 | 25.5 |

| | | |
|---------------------------------|------------|--------------|
| Feedback is never given by PSMD | 40 | 36.4 |
| Other reasons | 2 | 1.8 |
| Non Response | 37 | 33.6 |
| Total | 110 | 100.0 |

Source: Field Data

From table 32 above, 3 respondents who accounted for 2.7% felt that the appraisal tool only encouraged demotions, 28 of the respondents who accounted for 25.5% felt that the APAS was applied selectively, 40 respondents who accounted for 36.4% felt that there was no feedback from given from PSMD on the decision taken.

Responses from the above, clearly showed that there was inadequate structural capacity to process the APAS in terms of decision making. The 40 respondents justified that ever since they started filling in the APAS forms, at no time was feedback from PSMD provided. The 36.4% responses accused PSMD of just making a formality that does not work in any way. One of the appraisal they cited was the APAS for increment which does not yield anything apart from the next appraisal date appearing on the payslip.

The 25.5% responses attributed the weakness to the APAS, as being applied selectively on some individuals who are favored for promotions and confirmations. They equally observed that the APAS was only demanded by PSMD for confirmation and substantive promotions only. They equally blamed PSMD for not monitoring the way the APAS was used and applied in most of the Ministries and other spending agencies.

PSMD Concept Paper (2012) revealed that PSMD does not have the structural capacity to process APAS cases from all Ministries and institutions upon full institutionalization of PMP. The current system of sending all appraisal forms to PSMD for approval was, therefore, unpractical and unsustainable as there are only 4 officers who work on them.

DISCUSSION OF FINDINGS

The third specific objectives of this study was to determine to which extent was the APAS used in making Human Resource decisions in the Ministries.

According to Cabinet Office (1997), one of the objectives of the APAS was to put in place an effective personnel appraisal instrument and management information system to enable the

government compile and manage data useful in making vital personnel decisions at the time of confirmations, promotions, discipline, transfers, and retirements of the Public Servants. From the above objective, one can assert that the underlying essence of performance appraisal is to improve the performance of an individual leading to improvement in the performance of an organization as a whole. An effective appraisal scheme therefore offers a number of potential benefits to both the individual and the organization. One of the effects of the APAS was to identify an individual's strengths and areas of development and indicate how much strengths may be utilized and weaknesses overcome. It can help to review problems which may be restricting progress and causing inefficient work practices. It can also develop a greater degree of consistency through regular feedback.

This study revealed that the APAS was skewed to only two of the personnel decision and those were confirmations and substantive promotions. Despite, the APAS being consistent in confirmation and substantive promotions, it was equally discovered that the APAS was not comprehensively used because in some cases there were no job descriptions and work plans. The APAS was not effectively used to identify the high performers who could be promoted. Furthermore, the study revealed that promotions in the Civil Service were seriously malady with corruption, nepotism and tribalism. This therefore, gives a sad reading that most of the promotions are in the Civil Service are driven by such vices that erodes the integrity and credibility of government. The revelations of promotions being given on political patronage in both Mate's study and this study was also a source of concern, not every Civil Servant would want to get involved into political affiliations. Promotions which were based on political appeasement usually affected improved service delivery because those appointed in that manner tended to appease their appointing authority and not the people who they are employed to serve.

This study found out that the APAS had a provision of ensuring that all those Civil Servants who were noticed to be under performing in the Civil Service were sent for training so that there was job improvement that would result into performance improvement by most of the job holders. The case is the opposite, the APAS was never consistently used to identify skills gap that leads to underperformance. A study conducted by Kanyanta (2009), revealed that in a number of cases, employees made their own efforts to upgrade their skills. In this regard, the study found that of those who said that they attended a Leadership/Management development programme, 21.7 % said that their Permanent Secretary/Head of Department did not play a role in identifying and sending them to attend the course. Similarly, Mate (2006), on how often was

performance linked to training and skills development. 55% said it never linked, 24.2% said sometimes, 11.9% did not know and only 8.9% said always. The two studies therefore, correlates with the revelation in this study, the APAS was not used in identifying the performance gaps that would warrant non-performers to be sent for training. Most of the officers in the concerned Ministries have ended up self-sponsoring themselves or better still learn through distance or correspondence mode which is not an ideal situation.

This study revealed that there were limited provisions for rewards/sanctions in the event that officers failed to perform as expected. Most of the respondents observed that the under performers were never reprimanded through the Terms and Conditions of service or the Disciplinary Code and Procedures for handling offences in the Public Service. It must be appreciated that application of sanctions can contribute to improvement of performance if well handled. However, if not well handled, it can be meaning less and detrimental thereby creating institutional despondency. It is important to ensure that non- performer are strongly punished while high performers are rewarded. This study therefore, agreed with Kanchebele (2012), in which it was revealed that government should institute a performance appraisal system with a legal backing approved by Cabinet. It was envisaged that this will force Ministries and organizational members to take the system seriously. It would also force organizational members to adapt to the new system in their approach to work, in order to meet stipulated targets with the idea that failure to do so will result in severe sanctions as stated in the law, while being rewarded for meeting targets.

This study also revealed that the APAS was not effectively used to identify the officers who were high performers to receive the Labour Day awards. The APAS was equally not effectively used to award officers with notch increment in their salary scales. From the study it was clear that the appraisal was not linked to rewards. Most of the respondents actually preferred performance based rewards such as increased increased pay and other monitory benefits or incentives. Kanchebele (2012), described the Appraisal Related Pay (ARP) as a method of payment where an individual employee receives increase in pay based wholly or partly arranged in such a way that organizations progress through a notch may be dependent on either one or a number of factors such as APAS results, a fixed annual notch, length of service, attainment of qualifications etc. The rate and limits of progression through the pay brackets are determined by performance ratings.

This study discovered that Appraisal Related Pay (ARP) was never implemented by PSMD contrary to the objective for which APAS was established. According to PSMD Concept Paper (2012) since its launch in 1997, the implementation of PMP had challenges which included usage of Collective Bargaining process which is not based on the performance of Ministries/Institutions and Individuals. Therefore what has hindered the ARP was failure by government to abandon the route of collective bargaining which rewards both performers and non-performers the same salary. The trade unions in a way have perpetrated such because their focus is on having increased membership despite the performance levels.

It is very clear from the above that the APAS has not been very effective in making vital human resource decisions. The APAS had not responded to ARP, training and skills development, sanctions and rewards. Nevertheless, there is continued usage of the APAS for promotions and confirmations by the Public Service Commission despite incorrect completion of the APAS form leading to the system not being used for the intended purpose. The study further that the APAS was infact not used as guided in the APAS User Guide of 1997. The flow process was never followed and strictly adhered to. Despite not meeting the required standards, PSMD continued to accept the APAS which had no attachments such as job descriptions, individual work plans and performance against targets. The main interest by PSMD was the recommended action.

CONCLUSION

Generally, the APAS was not effectively used in making serious decisions on the human resources. From the findings, it can be deduced that there was no clear rewards or incentive policy as one way of motivating individual performance. Appraisal for incremental purposes had not served its purpose. Failure by government to implement the use of ARP had contributed to under performance in the Civil Service because the current system of collective bargaining which even rewards non-performers has demotivated the high performers. Government needed to enforce the PRP in order to improve performance.

Regarding the use of the APAS in making appointments and promotions, the APAS was not effectively used to make decisions on appointments and promotion. The study revealed that there was a lot of corruption, nepotism, tribalism and political patronage in the way

appointments and promotions are made in the civil service. Appointments and promotions that were made based on the above mentioned vices resulted in underperformance and poor service delivery.

As regards training, the APAS was not effectively used to identify officers with skills gaps that led to under performance. It is clear that APAS was never used consistently to identify the performance gaps in most of the Civil Servants who were under performers. There was no deliberate policy by government to identify under performance to take mandatory training in the identified performance gaps. Most of the Civil Servants have ended up sponsoring themselves or undertaking distance learning in order to improve job performance.

Finally, there was limited provision for rewards/sanctions in the Terms and Conditions of services for the Public Service. Under performers were never reprimanded at all, this therefore resulted into poor service delivery. Generally, there was also a perception among most civil servants that government does not dismiss the under performers. That perception has been entrenched in the civil service as it is difficult to quantify under performance.

CHAPTER SIX

SUMMARY OF CONCLUSIONS

INTRODUCTION

This Chapter summarizes and concludes findings based on the objectives set for the study. The study embarked on this part of the research to purely evaluate how effective the APAS had been in improving performance in the Zambian Civil Service.

This study had the following specific objectives: i) to determine the knowledge on performance planning and monitoring among the Civil Servants, and ii) to establish if the APAS was effectively used in appraising performance of Civil Servants and iii) to determine if the APAS was utilized in making Human Resource decisions in selected Ministries

IMPLEMENTATION OF THE PERFORMANCE PLANNING AND MONITORING AMONG CIVIL SERVANTS.

The first specific objective of this study was to determine implementation of the performance planning and monitoring among Civil Servants in selected Ministries. The study revealed that, whereas there was a strong adherence to strategic, institutional and departmental planning, there was poor adherence to individual performance work planning and evaluation which was mainly attributed to the following:

Firstly, there was no commitment from supervisor to discuss and agree on the work plans and targets set therein, that resulted in the individual work plans not linking to the Departmental work plans. Supervisors never just created time to ensure that they agreed with their subordinates on the activities and targets that were SMART to have a successful annual appraisal.

Secondly, there was a lack of clearly defined job descriptions outlining the Key Results Areas (KRA) and the Principal Accountabilities (PA) from which performance target would be derived. In almost all the selected Ministries, some of the Officers had outdated job descriptions and in some cases, some officers never had job descriptions at all. That, therefore, adversely affected the appraisal process.

Thirdly, in all the selected Ministries, there was serious work planning at Departmental level that involved translating of organization objectives into concrete outputs and deliverables. Nevertheless, individual work plans did not resonate well with the Departmental work plans because both the supervisor and the subordinates did not have full commitment to the work plan. Some work plans did not have specific terms and targets to be achieved at individual employee levels. Generally, they were never SMART.

Fourthly, at Departmental level, work planning took into consideration Ministerial objectives which needed to be translated into output based target. The Departmental work plan outlined the activities and resources that were needed to achieve the set targets. In some cases, the allocation of funds by the Ministry of Finance was not based on planned activities and performance of Ministries.

The sixth reason as regards performance monitoring, was that top management and supervisors never monitored the implementation of both Departmental and individual work plans.

Supervisors never conducted regular performance check – ins as required by the APAS flow process. On the APAS monitoring and evaluation implementation framework, there was no implementation framework that revealed from the three selected Ministries. Much effort was put in the initial part of the whole programme and not its end. This, therefore, showed that supervisors did not bother to check the end result.

Generally, it was concluded that there was NO monitoring and evaluation of performance through the APAS. Institutions lacked specific officers who should be responsible to drive the whole process. There was also no structural capacity at PSMD to do an oversight role. There was no performance monitoring and evaluation tool that the Ministries/Institution follow to the latter end.

EVALUATION OF THE EFFECTIVENESS OF APAS

The second specific objective of this study was to establish whether the APAS was effectively used in appraising performance of Civil Servants in selected Ministries. The study was informed that the programme had not been very effective in Zambia. The reasons the respondents gave especially those who felt the APAS was not every effective were as follows:

Firstly, there was lack of leadership and commitment from top management, Heads of Departments and other supervisors were not committed to drive the whole process of work planning, monitoring and reporting. In most of the Ministries, the APAS was perceived as a baby for the PSMD who were the end users. Because of this lack in ownership by management, the implementation process had been problematic and somehow chaotic. Some supervisors never got involved in the whole process as they thought it was time consuming because of its lengthy process.

Secondly, in almost all the selected Ministries, it was not clear which Department was supposed to drive the whole process whether it was the Planning Department or the human resource Department. Additionally, at Ministerial level, there were no officers appointed to own the responsibility for the failure or success of the programme.

Thirdly, in almost all the Ministries selected, the APAS was used as a routine for confirmations and substantive promotions in the Civil Service. Continued usage of the APAS for confirmations and substantive promotions by the end-users (PSMD) despite incorrect completion of the APAS had never been effectively used for the intended purpose.

The fourth reason was that, the APAS had never been effectively used to identify performance gaps in most of the Civil Servants, and, hence the follow-up action was always focused on confirmation and promotions and not capacity building and skills development.

The fifth reason was that, some of the jobs lacked job descriptions and hence making it very difficult for the job holders to be appraised. Additionally, there was a poor and negative work culture in the Civil Service as most of the officers never minded about their performance being appraised. Furthermore, there was lack of strict sanctions in the Terms and Conditions of Service for the ineffective individual performance.

The sixth reason was that PSMD as end-users of the APAS never provided feedback as required in the APAS at part 5. It was one of the requirements for the PSMD to send back the cut-off slip to the originating station upon completion of the whole process.

EXTENT TO WHICH THE APAS IS UTILIZED IN MAKING HUMAN RESOURCE DECISIONS

The third specific objective of the study was to determine the extent of utilization of the APAS in making Human Resource decisions in selected Ministries. The study revealed the following:

Firstly, the APAS was not effectively used to identify high performers who can be considered for promotion to higher positions. The respondents indicated that promotions in the Civil Service were dependent on how well one is connected to the corridors of power. It was revealed that in some cases, appointments and promotions in the Civil Service were based on political patronage, nepotism, bribery and favoritism. Despite, the APAS being founded on the principal of making

vital decisions in the area of confirmations, promotions, acting appointments and career development. Respondents felt that, mostly, Human Resource decisions were made not based on the principals on which the APAS was founded.

Secondly, the APAS was consistently used by PSMD as a requirement for confirmation of staff on probationary appointment, in short it was demand driven. It was also a requirement by PSMD to have the APAS submitted if a substantive promotion was to be processed to the Public Service Commission. Therefore, general of the respondents felt that the APAS was an appraisal tool meant for only two functions, confirmations and substantive promotions. Other respondents, indicated that it had no provision of identifying high performers.

Thirdly, the APAS was not used to identify who should receive the Labor Day awards. The wards of most hard working officers were given not based on the appraisal through the APAS. Most of the respondents did not know how the recipients of the most hard working officers were selected.

Fourthly, the APAS was not effectively used to identify the performance gaps that lead to under performance among some officers in the selected Ministries. Despite, the requirement in the APAS at 3.2, which requests the follow-up action recommended for the appraisee, most of the supervisors never recommended training for skills and career development.

The fifty reason was that, government had not implemented the Performance Related Pay which was meant to give increments in salary notches to the officers who excelled in performance. That kind of appraisal had been overshadowed by the usage of Collective Bargaining process which was not based on the performance of Ministries/Institutions and individuals.

Finally, it was clear that the APAS had not been effective in appraising performance among the Civil Servants because there was inconsistency in performance planning and monitoring among all the concerned Ministries. The APAS was equally not effectively used in making human resource decisions. Generally, it can be concluded that the APAS has not clearly and consistently achieved the objects for which it was established. The major reason for its failure, can be attributed to failure by top management, Heads of Departments to create leadership, commitment and ownership in the whole APAS programme.

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Appendices

APPENDIX A:

INTERVIEW GUIDE FOR KEY INFORMANTS

THE UNIVERSITY OF ZAMBIA

POST GRADUATE STUDIES

SCHOOL OF HUMANITIES AND SOCIAL SCIENCES

DEPARTMENT OF POLITICAL AND ADMINISTRATIVE STUDIES

1. Are all public workers appraised on the annual basis?
2. If no, what are the reasons?.....
.....
.....
3. Does the APAS consider the targets in the work plan during the appraisal process
.....
4. Is the APAS used to determine the training needs for the workers?
 - A) If yes, why?.....
 - B) If no, why?.....
5. How many workers are sent for training on the annual basis?.....
6. Is APAS used to determine the rewards / sanctions of employees in the Public Service?
 - A) If yes, how?.....
 - B) If no, how are they determined?.....
7. When the appraisal process is finished, are the appraised given feedback?.....
8. How is the feedback given?.....
9. Does the APAS identify who should be promoted?.....
10. Are work plans for jobs evaluated every year?.....
11. Do supervisors agree with subordinates on targets?.....
12. Has the APAS been effective in making HR decisions?.....
13. What improvements would you propose to make the APAS moresuccessful.

APPENDIX B:

QUESTIONNAIRE FOR THE RESPONDENTS.

THE UNIVERSITY OF ZAMBIA

POST GRADUATE STUDIES/SCHOOL OF HUMANITIES AND SOCIAL SCIENCES

DEPARTMENT OF POLITICAL AND ADMINISTRATIVE STUDIES.

Dear Respondent,

My name is Geoffrey Kamfwa, a Post Graduate Student at the University of Zambia (UNZA). I am conducting a research on examining how the Annual Performance Appraisal System (APAS) has operated in reality; its successes and failures. The purpose of the study is to enable me, in part, fulfill the requirements for the award of a Master of Public Administration (MPA).

You have been randomly selected to participate in this exercise. You are kindly requested to answer the questions in this questionnaire. You are sincerely assured that this exercise is for purely academic purposes and the response you provide will be treated with maximum confidentiality. Kindly, respond to all questions herein as guided by the instructions.

Instructions

1. Do not write your name on the questionnaire.
2. Answer questions by ticking in the spaces provided.
3. For those questions that require explanation, write in the spaces provided.

Your cooperation will be highly appreciated.

Yours sincerely

Research Student.

SECTION A: BACKGROUND INFORMATION

- 1. Sex
 - a) Male
 - b) Female
- 2. Age
 - a) 18-25 years
 - b) 25-35 years
 - c) 35-45 years
 - d) 45-55 years

- 3. Marital status
 -
 - a) Single
 - b) Married
 - c) Widowed
 - d) Divorced

- 4. Level of education attained
 - a) Certificate
 - b) Diploma
 - c) Bachelor's degree
 - d) Master's degree
 - e) Other specify

SECTION B: EMPLOYMENT BACKGROUND

- 5. How long have you been working in the civil service?
 - a) Less than 5 years
 - b) 5 – 10 years
 - c) 10 – 15 years
 - d) 15 – 20 years
 - e) Above 20 years
- 6. What is your current position?
- 7. What is the Division of your current position?
 - a) Division 1

- b) Division 2
- c) Division 3
- 8. How many times have you been appraised in your current position?
 - a) Once
 - b) Twice
 - c) Thrice
- 9. Was your previous appraisal based on the work plan?
 - a) Yes
 - b) No
- 10. How often do you meet the targets in your work plan?
 - a) Once a year
 - b) Twice a year
 - c) When need arises.
- 11. Is your work plan for your job evaluated annually?
 - a) Yes
 - b) No

If no, why.....

SECTION C: EFFECTIVENESS OF THE APAS

- 12. How often are you appraised on the annual basis?
 - a) Once
 - b) Twice
- 13. What do you think is the benefit of using the APAS?
 - a) Training
 - b) Promotion
 - c) brings up strengths and weaknesses of individual capacities
 - d) job knowledge

14. Do you think that the APAS is used to decide on your rewards?

a) Yes

b) No

c) **If no,**
how.....
.....
.....

15. Do you think the APAS is used to decide on your sanctions?

a) Yes

If yes, how.....

a) No

If no, how.....

16. Do you think the APAS is used to decide on your training needs?

a) Yes

b) No

c) **If No,**
how.....
.....
.

18. Is performance effectively monitored through APAS

a) Yes

b) No

c) **If No,** how.....

20. What do you think are weaknesses of the APAS?

a) Encourages demotions

b) It is applied selectively

c) Feedback is never given by PSMD

d) Others,
specify.....
.....

21. When do you receive feedback after being appraised?

a) Within a month

b) After a month

c) After two months

d) After three months

22. Who do you think should initiate the Appraisal Process?

a) My Supervisor

b) The Human Resource

c) Myself

23. Do you think the Appraisal System is open and free with your Supervisor? a) Yes

b) No

If no, what are the reasons?

24. Do you think the APAS is effectively used in the Public Service to determine sanctions or rewards?

a) Yes

b) No

If no, what are the reasons?.....

25. Does top management monitor APAS in your Ministry? a)Yes

b) No

If no, what are the reasons?

26. Is there performance planning at directorate level?

a) Yes

b) No

27. Does APAS identify who should be promoted in your Ministry?

a)Yes

b) No

28. Was your previous appraisal based on a work plan? a) Yes

b) No

c) If no,

why.....

.....

.....

.....

.....

29. Do you think that the results of the APAS are a true reflection of your ability? a) Yes

b) No

c) If no,

why.....

.....

.....

.....

30. Is APAS used for the increment of your salary notches? a) Yes

b) No

c) If no,

why.....

.....

.....

.....

31. How often do you meet your targets in your work plan?

a) Once a year

b) Twice a year

c) When need arises

d) Never

33. Do you agree with the supervisor on targets and work plans?

a) Yes

b) No

c) If no,
why.....
.....
.....
.....

THE END
THANK YOU!!!!
APPENDIX C:

APAS FORM



REPUBLIC OF ZAMBIA

Issued By: **THE PERMANENT SECRETARY**



ANNUAL PERFORMANCE APPRAISAL SYSTEM (APAS) FORM

Please read these instructions carefully:

1. This Appraisal Form is confidential and an official record (i.e. not to be communicated to unauthorised persons)
2. No officer should attempt to use this form unless he/she is well acquainted with the detailed instructions of the appraisal process given in the **APAS USER GUIDE** and the **APPENDIX** to this form.

3. As the Supervisors and their respective subordinates complete this form, they should bear in mind that the information they are providing is subject to open discussion.
4. The Appraisee should complete Part I. Human Resources and Administration should initiate the process by ensuring that the APAS forms are given to the officers to be appraised.
5. Both the supervisor and the job-holder must separately and independently complete their appropriate parts of the APAS form, excluding Part 4. A date must then be set by the Supervisor for the appraisal interview, which should normally be within 24 hours from the date of completion of the form.
6. At the end of the appraisal interview the job-holder should provide his/her comments as required in Part 4.
7. After the appraisal interview, 3 copies of completed forms must be made and distributed as follows: one copy to be retained by the department/division, one copy to be retained by the ministry and one copy to be sent to Public Service Management Division. Job holders wishing to retain a form should be allowed to photocopy it.
8. Appropriate follow-up action should then be taken on the outcome of the Appraisal.
9. All entries on the APAS Form must be made in ink.

PART1: PERSONAL PARTICULARS (To be completed by the Appraisee but initiated by the Human Resources and Administration Department.)



REPUBLIC OF ZAMBIA

ANNUAL PERFORMANCE APPRAISAL SYSTEM (APAS) FORM

ANNUAL PERFORMANCE APPRAISAL FOR THE PERIOD:

| | | | |
|---|--------------------|--|-----------|
| (Month) | <u>20</u> | TO <u>(Month)</u> | 20 |
| STAFF NO: | | <div style="border: 1px solid black; width: 150px; height: 25px;"></div> | |
| PMEC EMPLOYEE NO: (AS IT APPEARS ON PAYSLIP) | | | |
| | | <div style="border: 1px solid black; width: 150px; height: 25px;"></div> | |
| SURNAME: _____ | OTHER NAMES | _____ | |

JOB TITLE: _____ **SALARY GRADE** _____

DATE OF APPOINTMENT TO PRESENT POST: _____

MINISTRY/PROVINCE: _____

DEPARTMENT: _____

STATION: _____

PART 2: WORKPLAN AND PERFORMANCE (To be completed by Appraisee or Supervisor as indicated)

2.1 Purpose Of The Job (To be completed by Appraisee)

2.2 Key Result Areas and Principal Accountabilities (To be completed by Appraisee)

| KEY RESULT AREA | PRINCIPAL ACCOUNTABILITY |
|------------------------|---------------------------------|
| 1. | |
| 2. | |
| 3. | |
| 4. | |
| 5. | |
| | |

| | |
|----|--|
| 6. | |
| 7. | |
| 8. | |

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

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

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

=

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

2.4 Comments by the Appraisee on targets;

For Public
Service
Management
Division
Official use
only

a) Achieved:

b) Not Achieved:

Signature: Date:

2.5 Comments by the Supervisor on targets;

a) Achieved:

b) Not Achieved:

Signature:Date:

2.6 Additional contributions made by the Appraisee to the Ministry/Department (to be completed by the Supervisor)

Signature:Date:

PART 3: PERFORMANCE COMPETENCIES (To be completed by Supervisor using rating key* below)

3.1 COMPETENCIES/ATTRIBUTES

RATING*

- | | |
|--|----------------------|
| <p>a Management/Supervisory skills:-</p> <p>· Ability to guide others towards meeting set goals and objectives</p> | <input type="text"/> |
| <p>b Job knowledge:</p> <p>· Level of understanding and ability to apply knowledge and skill to perform the job.</p> | <input type="text"/> |
| <p>c Quality of Work:</p> <p>· The degree to which an employee applies himself/herself in performing work to the required standards i.e. completes his/her work with accuracy, minimal error.</p> | <input type="text"/> |
| <p>d Promptness in completing assignments:</p> <p>· Completing assignments on time.</p> | <input type="text"/> |
| <p>e Dependability:</p> <p>· Ability to follow instructions, maintain good conduct, time-keeping and devotion to government duties</p> | <input type="text"/> |
| <p>f Accountability:</p> <p>· Willingness to shoulder responsibility and to be answerable for the achievement/non-achievement of objectives.</p> | <input type="text"/> |

g **Initiative and Creativity:**

Ability to be innovative, resourceful, creative, promote new ideas and resolve problems within or outside set guidelines.

h **Communication skills:**

Ability to communicate effectively both orally and in writing.

i **Tact and Courtesy:**

The employee's sensitivity, integrity, politeness and temperament in dealing with others.

j **Attitude:**

Interest shown towards the job.

k **Adaptability:**

Ability to cope with changing ideas, work environment, technologies as well as ability to get along with superiors, peers and subordinates

l **Team work:**

Co-operation with fellow workers and supervisors and promoting an environment which encourages open communication and consensus.

Overall Rating on Competencies/Attributes**

3.2 What type of follow-up action do you recommend for the appraisee?

*For Public
Service
Management
Division
Official use
only*

Date:**Signature:**

Name :.....**Job Title:**

*Rating Key: Outstanding = 4 Good = 3 Fair = 2 Poor = 1 Non Applicable =
X

**Overall rating on Competencies/Attributes is total rating divided by the number of Competencies/Attributes rated.

PART 4: COMMENTS ON APPRAISAL

4.1 Comments by Appraisee

The appraisal ratings and comments were discussed with my Supervisor and my comments are:

Signature:**Date:**

4.2 Comments by Countersigning Officer (Refer to paragraph 13 of the User Guide. Delete which is not applicable)

I, as countersigning officer, agree/disagree with the appraisal made by the supervisor because of the following reasons:

Signature:**Name:**

Title:**Date:**

4.3 Comments by Permanent Secretary (Delete which is not applicable)

I, Permanent Secretary, agree/disagree with the appraisal made by the supervisor because of the following reasons:

Signature:**Name:**

Date:

PART 5: ACTION TO BE TAKEN BY PSMD (To be completed by Public Service Management Division)

5.1 APAS Form Recieved by PSMD

Date:**Signature:**

5.2 APAS Information Computerised

Date:**Signature:**

5.3 APAS Form Referred To Staff File

Date:**Signature:**

(When completed please send back the cut-off slip below to originating station)

Cut here

.....

STAFF NO:

PMEC EMPLOYEE NO: (AS IT APPEARS ON PAYSLIP)

Name:

Job Title:
.....

Ministry/Province:

.....

Department:Station:

.....

Date Form Received:Date Information Computerised:

.....

Signature..... Date:

.....

Job Title:

.....

THE INTERPRETATION OF THE APAS FORM

PART 1:

- . It is important to ensure that relevant files and documents are consulted when completing this part.

PART 2:

1. **Purpose of the Job:** This is a brief statement on why the job exists/what it intends to achieve, as stated in the Job Description.
2. **Key Result Areas and Principal Accountabilities:** These should be as stated in the Job Description.
3. **Targets set during Appraisal Period against each Key Result Area:** These should be as agreed with the supervisor. When completing Part 2.3, the appraisee should take note that one KRA can have more than one target.
4. **Comments by Appraisee on targets achieved/not achieved:** This should give an account of attributes/factors that contributed to the achievements/non-achievements of targets set.
5. **Comments by Supervisor on targets achieved/not achieved:** This should give an account of the attributes/factors that contributed to the achievement/non-achievement of targets set.
6. **Additional Contributions made by Appraisee:** This should give a brief account on the significant contributions made, if any, by the appraisee to the Ministry/department.
7. When making comments on targets not achieved, the supervisor and appraisee may ensure that they take into account :- **Financial Resources, Equipment and tools, Staffing levels, Health related, Unrealistic targets, Lack of support/co-operation, Negligence, Incompetence .**

PART 3:

1. The follow up action to be taken is a recommendation made by the supervisor taking into account the rating on both the targets and performance competencies. s recommendation could either relate to skills development, reward or sanction.

PART 4:

1. In Part 4.1 job-holders are expected to be open and free to express themselves, giving reasons for their comments on whether they agree or disagree with the assessment by the supervisor.
2. In parts 4.2 and 4.3 the countersigning officer and the Permanent Secretary, respectively, are expected to approve or otherwise the submissions from the supervising officer.

PART 5:

1. PSMD is expected to promptly update the human resource information data bank, for use in effectively managing the human resource in the Public Service. PSMD will also acknowledge receipt of the Appraisal form.