

**CHALLENGES OF ADMINISTERING OPRAS IN DISTRICT COUNCILS IN  
TANZANIA: THE CASE OF LUSHOTO DISTRICT COUNCIL**

**CHALLENGES OF ADMINISTERING OPRAS IN DISTRICT COUNCILS IN  
TANZANIA: THE CASE OF LUSHOTO DISTRICT COUNCIL**

**By**

**Mtoo Mwanaamani**

**MPA 2011/2013**

**A Dissertation Submitted in Partial Fulfilment of the Requirement for Award of  
the Degree of Master of Public Administration (MPA) of Mzumbe University**

**2013**

## **DECLARATION AND COPYRIGHT**

I, ***Mwanaamani Mtoo***, declare that this thesis is my own original work and that it has not been presented and will not be presented to any other university for a similar or any other degree award.

Signature .....

Date .....

©

## **COPYRIGHT**

This dissertation is a copyright material protected under the Berne Convention, the Copyright Act of 1999, and other international and national enactments, in that behalf, on intellectual property. It may not be reproduced by any means in full or part, except for short extracts in fair dealings, for research or private study, critical scholarly review or discourse with an acknowledgement, without the written permission of Mzumbe University, on behalf of the author.

## CERTIFICATION

We, the undersigned, certify that we have read and hereby recommend for acceptance by the Mzumbe University, a dissertation entitled “***Challenges of Administering Opras in District Councils in Tanzania: the Case of Lushoto District Council***”, in partial fulfilment of the requirements for award of the degree of Master of Public Administration (MPA) of Mzumbe University.

.....  
Mr. Paulo Faty (Major Supervisor)

.....  
Internal Examiner

.....  
External Examiner

Accepted for the Board of Mzumbe University

.....  
Dean, School of Public Administration and Management

## **ACKNOWLEDGEMENT**

In the course of my study I have always felt indebted to many persons for their support and as such I would like to express my innermost heartfelt and sincere gratitude hereunder.

First and foremost I would like to thank the Almighty God for the blessing of the gift of life and able body that he endowed me during my studies. The fear of the Almighty God is the source of knowledge and I truly find nothing worth bestowing in return.

I am also appreciative of the academic staff of Mzumbe University, and in particular, the School of Public Administration and Management, who guided me through the study, my major supervisor Mr. Paulo Faty for his assistance, constructive ideas, and much time he dedicated to make this dissertation possible. I am indeed grateful. May the Almighty God bless and recompense him abundantly. I would in general like to thank the Management Team of Mzumbe University for allowing me to conduct my studies on their premises, especially whose support I relied on.

I am equally grateful to my beloved family for their moral and material support during my studies. Without my family my studies would have been a nightmare. I thank them for their foresight, and trust in me that made them a guiding beacon and of fountain my inspiration. I also thank My Grand mother Mrs. Rose Lugembe, My Grand Father Mr. Rogers Sengaya Sezinga and my comrades for their encouragement and support throughout the course of my studies as they cannot be left unmentioned especially for their encouragement during the time when I lost my dear father Mr. Juma Mtoo Abdallah on 5/April/2013.

Finally it is my pleasure to express my heartfelt and sincere thanks to the President's Office-Public Service Management for awarding me scholarship through Gender Department under the Directorship of Mrs Anne Mazalla, the scholarship enabled me to study in Mzumbe University in academic year 2011/2012 till this year when I am winding up, I really appreciate the support I got from my Government.

## **DEDICATION**

I dedicate this dissertation to my beloved late father Mr. Juma Mtoo Abdallah who has been my source of inspiration and for sure, I owe him a lot in my life. All I can do is to pray for him so that Almighty God rest my beloved daddy's soul in eternal peace Amen. I will always love you daddy.

## **LIST OF ABBREVIATIONS**

|          |                                                       |
|----------|-------------------------------------------------------|
| CSRP     | Civil Service Reform Programme                        |
| ECA      | Economic Commission for Africa                        |
| MBO      | Management by Objectives                              |
| MDAs     | Ministries, departments and agencies                  |
| M & E    | Monitoring and Evaluation                             |
| MTEF     | Medium Term Expenditure Framework                     |
| OPRAS    | Open performance review and appraisal system          |
| PIF      | Performance Improvement Fund                          |
| PO – PSM | Presidents Office Public Service Management           |
| PSRP     | Public Service Reform Programme                       |
| SMART    | Specific, measurable, achievable, reality, time bound |
| SPSS     | Statistical Package for Social Sciences               |
| URT      | United Republic of Tanzania                           |

## **ABSTRACT**

The Open Performance Review and Appraisal System (OPRAS) is an open, formal, and systematic procedure designed to assist both employers and employees in planning, managing, evaluating and realizing performance improvement in the organization, with the aim of achieving organizational goals. It is expected to drive the transition from a focus on Human Resource Management to Strategic Human Resource Management. OPRAS not only adds a valuable dimension to the human resource function, it also changes the competencies that define the success of human resource professionals and practitioners in an institution or organization. The study aimed at investigating the challenges of administering OPRAS in District Councils. Its implementation aim at achieving organizational goals and is expected to maximize the production. Effective running of this appraisal was seemed to be partially implemented by public employees something that calls for an inquiry. The study was conducted at Lushoto District Council November 2012 to March 2013.

In attempt to meet the objective of the study, questionnaires and interviews were carried out to the selected sample to get responses from the respondents. The findings revealed that the employees see OPRAS as good but its implementation needs some improvement to meet the expected goals. The challenges identified were setting of unrealistic budget to meet the required resources for the whole process. Budgetary leads to other challenges such as lack of integration between the supervisor and supervisee objectives on one hand and that of the organization on the other. Lack of support from the supervisor and lack of training also minimizes the efficiency of the OPRAS process. Other challenges noted from the employees were openness, selection of indicators, clear setting of goals and standards. In order to improve the situation all stake holders should act appropriately on these challenges so as to bring smooth sailing of the OPRAS implementation in Lushoto and in Tanzania at large.

For further research this study recommends an inquiry into the mechanism to improve the distribution of fiscal resources towards the implementation of OPRAS. This is the area identified as the core challenges in public sector.

## TABLE OF CONTENT

|                                                       |           |
|-------------------------------------------------------|-----------|
| DECLARATION AND COPYRIGHT .....                       | i         |
| COPYRIGHT .....                                       | i         |
| CERTIFICATION .....                                   | ii        |
| ACKNOWLEDGEMENT .....                                 | iii       |
| DEDICATION.....                                       | iv        |
| LIST OF ABBREVIATIONS .....                           | v         |
| ABSTRACT .....                                        | vi        |
| TABLE OF CONTENT .....                                | viii      |
| LIST OF TABLES.....                                   | xi        |
| LIST OF FIGURES .....                                 | xii       |
| <b>CHAPTER ONE .....</b>                              | <b>1</b>  |
| <b>INTRODUCTION AND BACKGROUND .....</b>              | <b>1</b>  |
| 1.1 Introduction.....                                 | 1         |
| 1.2 Profile of Lushoto District Council .....         | 1         |
| 1.3 Background of the Study .....                     | 2         |
| 1.4 Statement of the Problem.....                     | 6         |
| 1.5 Research Objectives .....                         | 7         |
| 1.6 Research Questions .....                          | 8         |
| 1.7 Significance of the study.....                    | 8         |
| 1.8 Scope of the Study.....                           | 9         |
| 1.9 Limitations of the Study .....                    | 9         |
| 1.10 Definition of Key Terms .....                    | 10        |
| 1.11 Chapter Summary .....                            | 11        |
| <b>CHAPTER TWO .....</b>                              | <b>12</b> |
| <b>LITERATURE REVIEW .....</b>                        | <b>12</b> |
| 2.0 Introduction.....                                 | 12        |
| 2.1 Theoretical Literature .....                      | 12        |
| 2.1.1 Performance and Performance Appraisal.....      | 12        |
| 2.1.2 Overview of Performance Appraisal Systems ..... | 14        |

|                                                                         |           |
|-------------------------------------------------------------------------|-----------|
| 2.1.3 Need of Performance Appraisal Systems in Organizations .....      | 15        |
| 2.1.4 Challenges with Performance Appraisal .....                       | 16        |
| 2.1.5 New Public Management (NPM) and Performance Appraisal.....        | 19        |
| 2.1.6 Tanzania Public Sector Experience.....                            | 20        |
| 2.1.7 Concept of Open Performance Review and Appraisal System (OPRAS) . | 20        |
| 2.1.8 Approaches to Performance Appraisal.....                          | 21        |
| 2.1.9 Conditions for effective implementation of OPRAS .....            | 22        |
| 2.1.10 Features of OPRAS .....                                          | 24        |
| 2.1.11 Importance of using OPRAS .....                                  | 25        |
| 2.1.12 Barriers to Implementation of OPRAS .....                        | 27        |
| 2.2 Empirical Literature Review .....                                   | 30        |
| 2.3 Research Gap .....                                                  | 32        |
| 2.4 Conceptual Framework.....                                           | 33        |
| 2.4.1 Operationalization of the Variables .....                         | 34        |
| 2.5 Chapter Summary .....                                               | 34        |
| <b>CHAPTER THREE .....</b>                                              | <b>35</b> |
| <b>RESEARCH METHODOLOGY .....</b>                                       | <b>35</b> |
| 3.0 Introduction .....                                                  | 35        |
| 3.1 Research Design .....                                               | 35        |
| 3.2 Area of the Study.....                                              | 36        |
| 3.3 Population of the study .....                                       | 37        |
| 3.4 Sample size and Sampling Procedures .....                           | 37        |
| 3.4.1 Sample size .....                                                 | 37        |
| 3.4.2 Sampling procedures.....                                          | 37        |
| 3.5 Data Collection Methods .....                                       | 39        |
| 3.5.1 Primary Data .....                                                | 39        |
| 3.5.2 Secondary data .....                                              | 41        |
| 3.6 Data Quality Control .....                                          | 41        |
| 3.7 Ethics Review.....                                                  | 42        |
| 3.8 Analysis of the Data .....                                          | 42        |
| 3.9 Objectivity.....                                                    | 43        |

|                                                                         |                                     |
|-------------------------------------------------------------------------|-------------------------------------|
| 3.10 Rigorousness .....                                                 | 43                                  |
| 3.11 Chapter Summary .....                                              | 43                                  |
| <b>CHAPTER FOUR.....</b>                                                | <b>44</b>                           |
| <b>PRESENTATION AND ANALYSIS OF FINDINGS .....</b>                      | <b>44</b>                           |
| 4.0 Introduction .....                                                  | 44                                  |
| 4.1 Demographic Characteristics of Respondents .....                    | 44                                  |
| 4.1.1 Distribution of Respondents by Sex/Gender .....                   | 45                                  |
| 4.1.2 Distribution of Respondents by Level of Education .....           | 45                                  |
| 4.1.3 Distribution of Respondent by Departments .....                   | 46                                  |
| 4.1.4 Cadre of Respondents.....                                         | 47                                  |
| 4.1.5 Distribution of the Respondents by Work Experience .....          | 48                                  |
| 4.1.6 Distribution of the Respondent by their Positions .....           | 49                                  |
| 4.2 The Status of OPRAS Implementation in Lushoto District Council..... | 51                                  |
| 4.3 Staff Perception and Attitude towards OPRAS .....                   | 55                                  |
| 4.4 Challenges experienced in the course of OPRAS implementation .....  | 58                                  |
| 4.5 Proposed Strategies to improve the performance of OPRAS .....       | 61                                  |
| 4.6 Chapter Summary .....                                               | <b>Error! Bookmark not defined.</b> |
| <b>CHARTER FIVE.....</b>                                                | <b>64</b>                           |
| <b>CONCLUSION AND RECOMMENDATIONS.....</b>                              | <b>64</b>                           |
| 5.0 Introduction .....                                                  | 64                                  |
| 5.1 Conclusions .....                                                   | 64                                  |
| 5.2 Recommendations and Suggestions for Further Research .....          | 65                                  |
| <b>REFERENCES .....</b>                                                 | <b>67</b>                           |
| <b>APPENDICES.....</b>                                                  | <b>70</b>                           |

## LIST OF TABLES

|                                                                  |    |
|------------------------------------------------------------------|----|
| Table 3.1 Sample size.....                                       | 37 |
| Table 1: Distribution of Respondents by Sex/Gender .....         | 45 |
| Table 2: Distribution of Respondents by Departments.....         | 47 |
| Table 3: Distribution of the Respondent by their Positions ..... | 50 |
| Table 4: Respondents Knowledge on OPRAS .....                    | 51 |
| Table 5: Frequency of Participation in OPRAS .....               | 52 |
| Table 6: The Filling of OPRAS Forms .....                        | 52 |
| Table 7: OPRAS and Performance .....                             | 54 |
| Table 8 The reason for Introduction of OPRAS.....                | 55 |
| Table 9 Perception and Attitude of the staff towards OPRAS ..... | 56 |
| Table 10: The Respondents Views on OPRAS .....                   | 56 |
| Table 11 Shortage of Resources .....                             | 58 |
| Table. 12 Lack of Employees Guidance .....                       | 58 |
| Table 13 Lack of Trained Managers on OPRAS.....                  | 59 |
| Table 14 Poorly Selected Performance Indicators.....             | 60 |
| Table 15 Lack of Assistance .....                                | 60 |
| Table 16 Poorly Set Performance Standards .....                  | 61 |
| Table 17 Suggestion to Overcome Challenges.....                  | 62 |

## **LIST OF FIGURES**

|                                                                    |    |
|--------------------------------------------------------------------|----|
| Figure 2.1: Conceptual Framework.....                              | 33 |
| Figure 1: Education Level of the Respondents.....                  | 46 |
| Figure 2: Distribution of Respondents by their Cadre .....         | 48 |
| Figure 3: Distribution of the Respondents by Work Experience ..... | 49 |
| Figure. 4: The Uses of OPRAS Output.....                           | 54 |
| Figure. 5 Suggestions to Overcome Challenges .....                 | 63 |

## **CHAPTER ONE**

### **INTRODUCTION AND BACKGROUND**

#### **1.1 Introduction**

This chapter presents background information to this study which is about “challenges of administering Open Performance Appraisal System in District Councils: A case of Lushoto District Council in Tanzania”. The chapter includes the following components: the profile of Lushoto District Council, the background of the study, statement of the research problem, objectives of the study, research questions, significance of the study, and limitation of the study which guides the study and research gap.

#### **1.2 Profile of Lushoto District Council**

Lushoto (German: *Wilhelmstal*, "William's Valley" named after Emperor Wilhelm II) is one of the eight Districts of Tanga Region in Tanzania. It is situated in the northern part of Tanga Region within 4° 25' – 4° 55' latitude south of Equator and 30° 10' – 38° 35' Longitude East of Greenwich. The District has an area of 3,500 km<sup>2</sup> and accounts for about 12.8% of Tanga Region. It borders with Korogwe District in the south and Mkinga District further east, Same District of Kilimanjaro Region in the northwest, and Republic of Kenya in the northeast. Lushoto Town is the district headquarters according to the 2012 Tanzania National Census, the population of the Lushoto District Council was estimated at 492,441 people, whereby Male are 230,236 and Female are 262,205, the largest for the eight districts in Tanga Region.

During the German colonial era from the 1890s to 1918 the area was popular with settlers, hence the German place name of Wilhelmstal. Large farms and plantations were created, and the district was valued for its pleasant mountain climate. Numerous Church missions were, and remain, active. Between 1893 and 1911 the German *Ostafrikanische Eisenbahngesellschaft* (East African Railway Cooperation), constructed an important railway line starting at Tanga on the coast and passing

along the Usambara Mountains with a station established at Mombo, about 20 kilometres (12 mi) from Wilhelmstal, to "New" Moshi at Kilimanjaro. The initial plan of the *Usambarabahn* was to connect the port of Tanga with Lake Victoria by passing south of the Usambara Mountains. This was in direct competition with parallel British efforts in colonial Lushoto . From 4 June 1912 to 12 May 1913 the line was renamed *Nordbahn* (Northern Railway) for a short period.

The Lushoto District Council is administratively divided into 44 wards. These are: Baga, Bumbuli, Funta, Gare, Hemtoye, Kwai, Lunguza, Lushoto (until World War I: Wilhelmstal), Malibwi, Malindi, Makanya, Mamba, Mayo, Mbaramo, Mbuzii, Mgwashi, Mlalo, Milingano, Mlola, Mnazi (English meaning: *coconut tree*), Mng'aro, Mponde, Mtae, Mwangoi, Ngwelo, Rangwi, Shume, Soni, Sunga, Tamota, Ubiri, Vuga, Kwekanga, Ngulwi, Kwemashai, Kilole, Lukozi, Dule 'M', Kwemshasha, Manolo, Mahezangulu, Nkongoi, Dule 'B', and Usambara.

The Lushoto District Council envisages a “society with access to improved and sustainable social – economic services by year 2015).” The objective of the District Council is: “To reduce the level of poverty of the Lushoto community through enhanced utilization of the resources available in the District, promote collaboration between investors and local communities and to build capacities for entrepreneurs and promote market opportunities”. The mission of Lushoto District is: “To provide better social – economic services through utilization of available resources and ensuring good governance”. (Lushoto DC strategic Plan).

The Lushoto DC delivers services within its jurisdiction related to Education, health, water, social welfare, community development, forestry, agriculture, management of natural resources and land, irrigation and livestock using departments relating to the same sectors. The organization structure of Lushoto DC is attached as appendix I.

### **1.3 Background of the Study**

During the last two decades, most African countries have embarked on to comprehensive public sector reform programmes (ECA 2004), Tanzania being amongst them, and in many cases they have received assistance from international

institutions. However, despite the tremendous efforts and resources that have been allocated to this endeavour, progress remains scant. Reforms have been occurring in various public sectors in Tanzania including district councils. In 1999, the government of the United Republic of Tanzania produced a guideline for public service and employment policy, which among other things insisted on taking strong measures to improve management performance in the delivery of services to the public.

The policy calls for a management system that is efficient and effective in public services delivery. It explains clearly that every single cent provided in the government budget, constraints notwithstanding, has to produce beneficial results to the public. Results have to be measured and demonstrative in terms of quality of work and reducing the number of public complaints (ECA 2004). For this reason the Tanzania Government as well came up with a system to determine performance of public organizations and performance of public officials. The system is known as Open Performance Review and Appraisal.

Performance Appraisal is very important for every kind of organization and Human Resource Management practice in both Private and Public Sector. It involves the judgement of an individual employee, taking the literal meaning of performance as the act of fulfilling of an obligation or a promise, and especially the completion of one's duties. Performance appraisal is crucial to organisational effectiveness because it assesses the extent to which employees contributed to its performance. The establishment and implementation of performance an appraisal system is the key to effective human resource management. The overall purpose of a performance appraisal system is to improve the performance of organization by trying to get the best out of the individual working for it Zairi (2003). One of the principles of performance appraisal system is that employees have the right to seek and receive high quality and balanced feedback concerning their performance at work, and it is the responsibility of their supervisors to provide opportunities to discuss this feedback. The intended outcome is to correct any mistakes revealed in order to improve their performance at work.

For a while the government had been using traditional performance appraisal, but it failed to meet the challenges and expectations of modern day Public management. The traditional performance evaluation of staff in the public sector and government agencies was too subjective, as it was non - participatory and poorly managed to be of any assistance in the adopted results-oriented system. An open staff performance appraisal system was recommended and adopted as the appropriate approach to creating measurable achievements against targets, but its implementation has been slow.

However, Mwasote, (1997) pinpoints that the purpose of the assessors of employees' confidential annual reports was to judge their personalities and behaviour and not to judge the achieving of organisational objectives. The point of the appraisal system was regarded as the way of determining the suitability of appraisees for promotion, salary increase, transfer and punishment but not for improving performance.

Moreover the system had the effect of undermining employees' competence and motivation, resulting in loss of morale and a serious lack of skills development. Therefore, the government intended to reverse that decline by introducing the Open Performance Review and Appraisal System (OPRAS) in 2004 as one of the Public Service Management Instruments to ensure that public servants become motivated, conducted themselves so as to meet to the highest ethical standards and to put their skills and talents to productive use.

The Government of Tanzania adopted the use of Open Performance Review and Appraisal System (OPRAS) in July 2004, through Establishment circular No. 2 of 2004. These changes in appraising performance of public employees are in line with Public Service Management and Employment Policy (PSMEP) of 1999 and the Public Service Act No. 8 of 2002, which both emphasizes on institutionalization of result oriented management and meritocratic principles in the public service.

The challenges faced today; there are now, more than ever, increased demands on managers and all other staff members to achieve higher levels of efficiency and productivity. The continuously changing nature of most public services today and the

high expectations from the general public have increased pressure on public servants to re-evaluate their contributions in the workplace and the way in which they work.

Thus the introduction of Open Performance Appraisal System has been one strategy adopted to meet these challenges. The installation of OPRAS by all MDAs has been made mandatory and the requirement is embodied in the Public Service Legislation. According to Bana (2009) about 2500 Public servants were trained on the use of OPRAS from the year 2004 to 2008. However subjective evidence reveals that:-

- The adoption and institutionalization of OPRAS in the MDAs has been irregular. The compliance rate is estimated to be about 51percent for arguably, a variety of reasons.
- There are claims that the initial OPRAS forms were overly complicated to complete and they were not context-sensitive to different professional carders in the public service.
- Some public servants remain skeptical of their intended use especially for promotion purposes.
- Little dissemination took place took place at the middle and lower level of the MDAs or in field offices. The prognosis however is for their increasing use as staff becomes more familiar with the technique.

Effective implementation of OPRAS requires all public servants and their managers to develop their personal objectives based on the strategic planning process and the organizations' respective service delivery target. To develop individual performance plan both the supervisor and subordinate have to agree on the performance objective, performance targets, performance criteria and required resources in order to achieve the set of targets and objectives. Moreover, there must be mid-year review, which is important in order to keep track on the employee's cum appraises progress in terms of meeting the annual personal objectives and to identify the resources needs that will be required to carry out the remaining six (6) months plan. Effective appraisal helps the employers in providing increased productivity, knowledge and contribution from the staff; providing feedback about employee's job performance and

contribution of reward for their work is very essential for the smooth functioning of an organization.

The implementation of Open Performance Review and Appraisal System is a common problem in various organizations in Tanzania. Most of them are implementing below capacity and one among the casual factors is lack of adequate training about what is real mean of OPRAS. An employee does not understand what is in the OPRAS for them. Although this exercise is being conducted but it does not conducted in an effective manner. There are claims that even the OPRAS forms are complicated to complete between different performance carders in the public service. Again the issue of feedback to appraise remain to be theoretical no feedback is provided to employee at all, regular communication is not there as a result employees find themselves as not part of appraisal system hence being slow in implementation hence poorly performing.

#### **1.4 Statement of the Problem**

Performance Appraisal is one of the most important human resource techniques. Participatory performance appraisal is an essential and proven attribute of an effective performance appraisal system. The Open Performance Appraisal System, as defined by Bana (2007), is a means of getting better results from organizational teams and individuals by understanding and measuring performance within an agreed framework of goals, standards and competence requirements. Performance management is also concerned with employee development.

The government made several efforts to introduce OPRAS Bana (2008). First, it highlighted the background and context of the drive for performance management in Tanzania. Second, an attempt was made to illuminate the approach which Tanzania had adopted in order to install and institutionalize a performance management culture in public service institutions. In doing so, it focused its attention on the strategies as well as the policy and legal frameworks that needed to be put in place and facilitate effective performance management in the Ministries, Departments Agencies (MDAs) and Regional Secretariats. Thirdly, the government analysed the processes and

mechanisms which have already been installed in public service institutions in order to facilitate effective performance management.

Despite the efforts made to attain a fully implemented OPRAS, there was still partial implementation of OPRAS. Studies have been conducted on what factors, have led to poor implementation, for instance, the study by Simtengu (2004) at the Ministry of Finance in Tanzania. Nyamoga (2004) at the Kilimanjaro Christian Medical Centre conducted a study on factors that hinder the proper implementation of OPRAS in the health sectors, specifically in relation to hospital staff. The concept of OPRAS itself is good but it faces a lot of challenges such as it is a new system so people fear what it will bring after it's fully adoption. There is a lot of resistance to change from the traditional evaluation to OPRAS while there is poor communication between government units especially with President's Office - Public Service Management and District Councils and lastly it faces the perception challenge as people perceive that OPRAS is purely paper work. This study intended to study the actual current challenges encountered in the administration of OPRAS in district councils in Tanzania because its implementation still suffers. Lushoto District Council experience was used as a case study.

### **1.5 Research Objectives**

The main objective of the study was to investigate challenges which are encountered in the process of administering of OPRAS in district councils in Tanzania a case of Lushoto District Council. The specific objectives of this study included:

1. To find out the status of OPRAS implementation within Lushoto District Council.
2. To determine the perception and attitudes of Lushoto District Council staff towards OPRAS and its implementation.
3. To enquire the challenges experienced in the course of OPRAS implementation in Lushoto District Council.
4. To propose strategies that if adopted can improve the performance of OPRAS in Lushoto District Council.

## **1.6 Research Questions**

Specifically the investigation and formulations of this study was guided by the following research questions:

1. What is the status of OPRAS implementation within Lushoto District Council?
2. How is OPRAS perceived by the Lushoto District Council staff?
3. What are the staff attitudes towards OPRAS and its implementation within Lushoto District Council?
4. What challenges are encountered in implementing OPRAS within Lushoto District Council?
5. What strategies if adopted can improve the performance of OPRAS in Lushoto District Council?

## **1.7 Significance of the study**

The study reviewed OPRAS because it is an important aspect in improving both the public and private sector. Performance Appraisal is a core activity in the Performance Management System. Through proper implementation of a performance appraisal process, an organization will be able to measure its employees' achievements, identify their training requirements and develop their future growth in the organization. In this study the researcher explored the means of implementing a proper performance appraisal system through a review of the discussed in the literature methodologies. It is however expected that the findings of the study can be used by policy makers to formulate an appropriate strategy to overcome the factors that limit the effective implementation of the modern system.

It is anticipated that the study would generate recommendation for which both Public Servants may find the way in which OPRAS can be properly implemented to make it a tool for enhancing performances rather than being seen as a management tools for punishing workers. The study is also expected to add to the existing knowledge on implementation of OPRAS in government institutions in Tanzania in general.

The researcher believes that this study will enable appraisee, job supervisors and administrators in Lushoto District Council in Tanzania regard OPRAS as a fair and effective tool for them as the findings will provide them with the skills on how to motivate, coach and set objective and how to make sure that they are met.

The findings of this study are also significant for the following reasons:

1. They highlight the achievements that should be enhanced and the challenges that deserve the attention of policy makers for future corrective actions;
2. They enable civil service institutions to identify the problems and the factor/s that hinder/s the application of the system,
3. They discuss important points, which would help to create sense of ownership among supervisors and employees of local government in Tanzania

### **1.8 Scope of the Study**

The study was confined within the examination of challenges involved in implementation of OPRAS in Lushoto District Council. The study explored the challenges of administration of OPRAS in Tanzania other aspects of OPRAS will not be part of this study.

### **1.9 Limitations of the Study**

The study encountered limitations of time and resources. Despite of the fact that the researcher is sponsored by the Government through the money received from the donors the funds are not enough to cover all the costs of research. However, considerable care and thought was exercised in making the study as scientific, systematic and as objective as possible.

Time and financial constraints meant that the study could not include other institutions in the country. Selection of just one institution was done to ensure that sufficient time is allocated to the respondents to answer the questionnaires and respond to the interview questions.

Other limitations were: firstly, the study was only conducted in Lushoto District Council and thus it did not examine variations in other councils and other organizations in Tanzania. Secondly, as with most surveys, this study captured only the circumstances prevailing at the time when respondents participated in filling in the questionnaires and responding to interview questions. Thirdly some of the respondents did not provide their true opinions during the interview.

### **1.10 Definition of Key Terms**

#### **Appraisal**

According to Fidler & Cooper (1988) appraisal is the process by which an employee and his or her super ordinate meet to discuss the work performance of the employee. This definition will be used throughout the study to mean the same.

#### **Assessment**

Assessment refers to a “systematic collection, review, and use of information about educational programs for the purpose of improving student learning and development” (Daugherty, 2001).

#### **Evaluation**

Evaluation is a process of interpreting a measurement by means of a specific value, or set of values, to determine the degree to which the measurement(s) represent a desirable condition (Daugherty, 2001).

#### **Performance**

Armstrong, (1999 P430) defines performance as “The accomplishment, execution, carrying out, and working out of anything ordered or undertaken”. This definition will apply throughout this study.

#### **Performance Appraisal**

Murphy and Cleveland (1995) define Performance Appraisal as a structured formal interaction between a subordinate and supervisor, where the work performance of the subordinate is to be taken into consideration, with a view to identifying weaknesses and strengths as well as opportunities for improvement and skills development.

Appraisal results are used to determine reward outcomes. This definition will apply throughout this study.

### **Performance Evaluation**

Performance Evaluation is a tool you can use to help enhance the efficiency of the work unit. This tool is a means to help ensure that employees are being utilized effectively. Employees can use it as a clear indication of what is expected of them before you tell them how well they are doing, and then as feedback of how well they did.

### **Open Performance Appraisal Systems**

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

### **1.11 Chapter Summary**

The chapter presented the background information on what the study was about, it provided an overview of the study area that was Lushoto District Council, a statement of the research problem, the objectives, research questions, and significance of the study, scope and the limitations of the study.

## **CHAPTER TWO**

### **LITERATURE REVIEW**

#### **2.0 Introduction**

This chapter provides review of literature and theoretical framework to be used in the study. The resources reviewed covered the period from 1980 to 2012, and they included both current and past records.

#### **2.1 Theoretical Literature**

##### **2.1.1 Performance and Performance Appraisal**

According to Bryars and Rue (2006:222), performance refers to the degree of accomplishments of the tasks that make up an employee's job. It reflects how well an employee is fulfilling the requirement of a job. Often confused effort, which refers to energy expended, performance is measured in terms of results. For example a student may exert a great deal of effort in preparing for an examination and still makes a poor grade. In such a case the effort expended was high, yet the performance was low.

Performance appraisal is the process of evaluating and communication to an employee how he or she is performing the job and establishing a plan of improvement. When properly conducted, performance appraisal not only let employees know how well they are performing but also influence the future level of effort and task direction. Effort should be enhanced if performance is positively reinforced. The task perception of the employee should be clarified through establishing a plan for improvement. (Byars and Rue 2006:223).

Dulewiltz as cited in Fletcher (1989) says "There is a basic human tendency to make judgments about those one is working with, as well as about oneself". Appraisal, it seems, is both inevitable and universal. In absence of a carefully structured system of appraisal, people will tend to judge the work performance of others, including subordinates, naturally informally and arbitrarily.

The human inclination to judge can create serious motivational, ethical and legal problems in the work place. Without a structured appraisal system, there is little chance of ensuring that the judgments made will be lawful, fair, defensible and accurate.

Performance appraisal systems began as simple methods of income justification. That is, appraisal was used to decide whether or not the salary or wage of an individual employee was justified. The process was firmly linked to material outcomes. If any employee's performance was found to be less than ideal, a cut in pay would follow. On the other hand, if their performance was better than the supervisor expected, a pay rise was in order.

Little consideration, if any, was given to the developmental possibilities of appraisal. It was felt that a cut in pay, or a rise, should provide the only required impetus for an employee to either improve or continue to perform well.

Performance appraisal is used for administrative, development and communicative purposes but the primary purpose is to improve work performance. (Waldman and Kennett, 1990) and to change work behavior (Austin Villanova, Kane and bernadin, 1991: cited in Tziner and Kopelman and Livnech 1993; Murphy and Cleveland, 1995). However, the salient issue is not what the purpose is but the clarity of purpose.

Why use Performance Appraisal? According to the Wikipedia Encyclopaedia:

- Developmental purposes: It helps to clarify the necessity and the effectiveness of the training programs.
- Reward purposes, helps in determining who should receive rewards and who should be laid off.
- Motivational purposes: stimulates effort to perform better;
- Legal compliance: it provides legally defensible reason for making promotion, transfer, reward and discharge decision;
- Human resource and employee planning purposes: it serves as a valuable input to skills inventories and human resource planning.

- Compensation: helps to identify what to pay and what will serve as an equitable monetary package;
- Communication purposes: the rater and ratee get to know each other through communication.
- Human resource management research purposes, it can be used to validate selection tools, such as a testing program

Performance appraisal is a continuous process through which performance of employees is identified, measured and improved in the organization. This process includes various practices like recognition of employees' achievements, providing them regular feedback and offering career development (Aguinis, 2007; Lansbury, 1988). Wilson (2005) supported the idea and explored that performance management is neither a technique nor a single step process, it can be considered as a set of process that includes knowledge of employees about what their managers expect of them, their motivation to perform well, mentoring and evaluation of their performance aimed at identifying areas where the improvements are needed.

### **2.1.2 Overview of Performance Appraisal Systems**

Archer North & Associates (2006) mentioned that Performance appraisal systems began after World War I as a simple method of income justification. It was used to decide whether or not the salary or wage of an individual employee was justifiable. If an employee's performance was found to be less than ideal, salary was deducted. This type of appraisal was called Traditional Appraisal.

Since the First World War, the need for employee performance appraisal has become increasingly accepted. Today, a sound and objective system of employee appraisal is considered indispensable for any organization. Over the years several appraisal methods have been developed and the trend has been from highly subjective to results-oriented appraisals. These methods can be broadly classified under two categories: Traditional methods and modern methods.

Gibson (2004:11) also confirmed that, prior to World War II, performance appraisals were used only in the military. But that changed in 1954 when the management guru Peter Drucker came up with the idea of managing by objectives, or MBO. Instead of focusing on the day-to-day “activity trap” of the job, Drucker suggested managers keep their eye on long-term objectives and find ways to measure how well their workers were meeting them. One way to measure whether a company’s goals were being met was to evaluate performance and give feedback. But how was the feedback to be given? Enter management theory (X) and (Y) by Douglas McGregor. This theory holds that there are two kinds of managers, those who feel that workers need to be coerced and controlled in order to do their jobs (theory X) and those who believe that employees want to learn and achieve on the job and need only to be guided in the right direction (theory Y).

Weinstein, (2004) mentioned that, the Performance Appraisal system is however considered to be a hot topic in business today. Many companies understand that unless they develop goals and an associated Performance Management process it is difficult to succeed (as the entire company is not aligned with what it is trying to accomplish) and to provide the corporation with a long-term focus that is achievable.

### **2.1.3 Need of Performance Appraisal Systems in Organizations**

Longenecker (1999) found that there are many reasons why an organization needs a formal Performance Appraisal (PA) system. It is needed to take smart decisions regarding salary increases, promotions, demotions, terminations and transfers. Similarly, Valance (1999) advocated another major need that PA system as a tool that can assess and suggest improvements in employee productivity. Cokin (2004) put his opinion that PA system is important for organizations, as it mainly focuses on employees to develop their capabilities. Moreover, it does not only do with capacity building but also helps managers in timely predictions and taking actions promptly to uncertain changes.

This idea on performance appraisal was pointed out by Longenecker (1999) as he argued that there are several reasons, why an organization needs a comprehensive performance appraisal system. It is needed to take accurate decisions regarding promotions, demotions, pay packages and transfers. Mullins (1996) adds that comprehensive appraisal is employed to decide Pay, allocation of duties, responsibilities, promotions and training needs of employees. Performance appraisal system not only helps employees to identify his or her strengths and weaknesses but also helps directors in timely predictions and taking actions promptly to uncertain changes.

#### **2.1.4 Challenges with Performance Appraisal**

Vance, (2006) highlighted some challenges associated with performance appraisal which are: They include: (a) identification of performance, (b) measurement difficulties, (c) conflicts inherent in performance appraisal, (d) pay as a motivational tool, and (e) the cost of performance appraisal.

Other literature indicated the following challenges with OPRAS

##### **Unclear standards**

Although the graphic rating scale seems objective, it would probably result in unfair appraisals because the traits and degrees of merit are open to interpretation. For example, different supervisors would probably define good performance, fair performance, and so on, differently. The same is true of such traits as quality of work or creativity. There are several ways to rectify this problem. The best way is to develop and include descriptive phrases that define each trait, for example, by specifying on the evaluation form what is meant by such things as outstanding, superior, and good quality of work. This specificity results in appraisals that are more consistent and more easily explained (Sims, 2007).

##### **Lack of objectivity**

A potential weakness of traditional performance appraisal method is that they lack objectivity. In the rating scale method, for example, commonly used factors such as attitudes, loyalty, and personality are difficult to measure. In addition, these factors may have little to do with an employees' job performance. Some subjectivity will

always exist in appraisal methods. However, employee appraisal based primarily on personal characteristics may place the evaluator and the organization in untenable positions with the employee an equal employment opportunity guidelines. The firm may be hard pressed to show that these factors are job-related (Mondy et al, 2002).

### **Bias**

Rater bias occurs when a rater's value or prejudices distort the rating. Rater bias may be unconscious or quite intentional. If a manager has strong dislike of certain ethnic group, this bias is likely to result in distorted appraisal information for some people. Halo error occurs when a manager generalizes one positive performance feature or incident to all aspects of employee performance resulting in a higher rating (Mondy and Noe, 2005). For example, a manager may give high rating for employees who show noticeable punctuality in spite of other factors in which the appraisal is based such as quantity and quality of output.

### **Leniency / Strictness**

Giving undeserved high rating is referred to as leniency. The behavior is often motivated by a desire to avoid controversy over the appraisal (Mondy and Noe, 2005). Some managers may rate their subordinates very high either because they want to show that the work under their responsibilities is proceeding very well or because they do not have the ability to convince their subordinates that their performances deserve this rating. Another problem which is closely connected to leniency is strictness. Strictness is rating subordinates on the lower level of the rating system. Some managers want to show the chief or head of the organization that they care for the organization that they work at. In addition, it is also a good excuse before the higher level management that the subordinates under their supervision are not performing their tasks as well as they should and thus the overall performance of the department is unsatisfactory due to the existence of these subordinates.

### **Central Tendency**

Central tendency is a common error that occurs when employees are incorrectly rated near the average or middle of the scale. This practice may be encouraged by some rating scale systems that require the evaluator to justify in writing extremely high and

extremely low ratings. With such system, the rater may avoid possible criticism by giving only average ratings. However, since these ratings tend to cluster in the fully satisfactory range, employees do not often complain about this (Mondy and Noe, 2005).

### **Failure to Communicate the Purposes of the Performance Appraisal**

The literature confirms how fundamental it is that the purposes for which performance appraisal information will be used are clearly conveyed to both supervisors and employees (Gabris & Ihrke, 2000, p. 47; Longenecker & Nykodym, 1996, p. 160; Reinke, 2003, pp. 30, 33). Martin and Nicholls (1987) write, “The need to be *informed* is vital in human relationships. Nothing can destroy trust more quickly than a feeling of not knowing what is going on and being cut off from information” (p. 16, emphasis in original). It is apparent that supervisors and employees may exhibit confusion, frustration, and fear when they are unsure of an appraisal’s purpose. Longenecker and Nykodym (1996) argued that in order to reduce the vagueness and confusion of the evaluation process, organizations need to inform employees of the reasoning behind evaluations (p. 160).

### **Supervisors Stressing the Negative Rather than the Positive in the Performance Appraisal**

All employees want to feel appreciated for the work they have performed. Hence, it is important to recognize the positive aspects of an employee’s performance (Bacon, 2006, pp. 21- 25, 60-62, 153-154; Herman, 1999, pp. 155-156, 158-160; Roseman, 1981, p. 132; Sweet, 1989, pp. 92-93). While there are some supervisors who will downplay the negative aspects of their employees’ performance to avoid potential conflict and maintain good relationships with their employees, other supervisors may consciously stress the negative in order to:

*...reduce the challenge, competition, or even individuality of the other man. In some face-to-face encounters the primary task seems to be that of degrading the interviewee by deliberately ignoring his skills, strengths, and accomplishments and concentrating on his weaknesses (Williams, 1972, p. 79).*

### **Lack of Training for Performing Performance Appraisal**

According to Mohrman, Resnick-West, and Lawler (1989), superiors experience trouble when they are asked to appraise the performance of their employees. This is mainly because superiors lack the skills and behaviors that would allow them to effectively appraise the performance of their subordinates (p. 176). This supports Roberts' (1995) study on municipal government performance appraisal practices which finds that: "Only 41 percent of the respondents] perceive a high degree of rater confidence in their ability to effectively use the appraisal system" (p. 209). Those who are charged with conducting performance appraisals must be properly trained (Daley, 1992; Daley, 2003; Longenecker & Nykodym, 1996; Martin & Bartol, 1986; Roberts, 1998). But the literature suggests that raters are often not provided with the necessary training on how to effectively conduct appraisals (Martin & Bartol, 1986).

#### **2.1.5 New Public Management (NPM) and Performance Appraisal**

The public sector reform drive was initiated under several names, one of which is New Public Management (NPM). These reforms came into existence during the 1980s in the advanced capitalist democracies as a response to the economic constraints. Gregory (2001) highlighted five main factors that have led to this change in perspective. They are re-bureaucratization; lack of trust in government; lack of legitimacy of the government; politicization of public administration; and redefining the recipients of service as customer of citizen. In addition to this, Lane (1997:2) has expressed on how the growing size of the public service contributes to these changes. According to him "in the early 1980s there was a realization that the public sector had a profound problem in relation to how well its various programmes were operating. The adoption of NPM means the application of private sector practices and solutions to the problems of the public sector.

With the growing number of challenges faced today, there are now, more than ever, increased demands on managers and all other staff members to achieve higher levels of efficiency and productivity. The continuously changing nature of most public services today and the high expectations from the general public have increased

pressure on public servants to re-evaluate their contributions in the workplace and the way in which they work. The introduction of performance appraisal systems has been one strategy adopted to meet these challenges

#### **2.1.6 Tanzania Public Sector Experience**

The Government introduced the use of Open Performance Review and Appraisal System (OPRAS) in July 2004, through Establishment Circular No.2 of 2004. OPRAS replaced the Confidential Performance Appraisal System which was characterized by absence of feedback and poor help in the identification of the training needs of the employees. Hence, failed to promote performance improvement and accountability in the Public Service.

These changes in appraising performance of Public employees are in line with Public Service Management and Employment Policy (PSMEP) of 1998 and the Public Service Act No. 8 of 2002, which both emphasizes on institutionalization of result oriented management and meritocratic principles in the Public Service. Introduction of OPRAS is a key part of the Government's commitment to improve performance and service delivery to the public. It is a key accountability instrument for individual employees that emphasize the importance of PARTICIPATION, OWNERSHIP AND TRANSPARENCY through involving employees in objectives setting, implementing, monitoring and performance reviewing process. This way there is continuous communication between supervisors and employees; and understanding on the linkage between organizational objectives and individual

#### **2.1.7 Concept of Open Performance Review and Appraisal System (OPRAS)**

According to the Public Service Act No. 8, Section 6(1) of 2002, OPRAS is a system of measuring employees performance openly whereby a supervisor and subordinate sit together at the beginning of financial year, to plan and agree on performance and criteria based on agreed objectives. The programme allows a supervisor and a subordinate at the mid and end of the year to assess the performance of employee. It is a continuously process which needs every person in an organization to be involved in the process of planning, implementing, monitoring review and taking action.

Again Johnsen, (2000) argued that The Open Performance Review and Appraisal System (OPRAS) is an open, formal, and systematic procedure designed to assist both employers and employees in planning, managing, evaluating and realizing performance improvement in the organization with the aim of achieving organizational goals.

The adoption of this system aims at improving the quality of public service in Tanzania. According to Regulation 22 of the Public Service Regulations, Government notice number 168 of 2003 the information obtained through performance appraisal should be used in awarding or withholding increments, planning job rotation and training programme, and in making appointments for higher posts or in demotion or termination of appointment to that particular post.

Thus, OPRAS intends to promote quality delivery of service for sustainable and shared economic growth, achieved through accountable and committed well equipped, qualified and professional recruited through opportunity to an employee oneself before the final appraisal by an appropriate supervisor.

#### **2.1.8 Approaches to Performance Appraisal**

Traditional Appraisal system: Performance appraisal is developed as a simple method of income justification. Appraisal used to decide whether the salary of an individual was justified or not. The decrease or increase in pay depends upon employee's performance. Weaknesses of traditional performance appraisal include irregular promotion, lack of motivation for employees and random selection of employees who need training. Also the system was very superficial as it did not give them an opportunity to know what marks or grade he/she has been given, purely because the forum becomes confidential after completion of part one of the appraises ([www.appraisals.naukrihub.com/performance-appraisal-approaches](http://www.appraisals.naukrihub.com/performance-appraisal-approaches)).

Modern Appraisal System: Performance appraisal is defined as a structured formal interaction between a subordinate and a supervisor that usually takes the form of a periodic interview, in which the work performance of the subordinate is examined and discussed with a view to identify weakness, strength and opportunities for improvement and skills development. The modern approach to performance

development has made the performance appraisal process more formal and structured. Now, the performance appraisal is taken as a tool to identify better performing employees from others, employees' training needs, career development paths, rewards and bonuses and their promotions to the next levels.

After the failure of the former appraisal system, thus the government decided to introduce new system which is an essential and useful in both public and private sector. OPRAS brought new hopes to organization employee as well as whole society because it gives an opportunity to supervisor to monitor and evaluate the performance of the subordinator as well as to give subordinator an opportunity to make self assessment of their performance. The major role of OPRAS is to put employees as well as improve the employee performance. ([www.appraisals.naukrihub.com/performance-appraisal-approaches](http://www.appraisals.naukrihub.com/performance-appraisal-approaches)).

#### **2.1.9 Conditions for effective implementation of OPRAS**

Effective performance system requires having some condition that will make effective performance appraisal.

Prasad (2008) in his book principles of management says for the PA to be effective the following factors should be taken into consideration:

- The standards set should be clear, easy to understand, achievable, motivating, time bound and measurable. An appropriate evaluation technique should be selected; the appraisal system should be performance based and uniform. The criteria for evaluation should be based on observable and measurable characteristics of the behavior of the employee.
- Again OPRAS require both the employees and employers to know the objective of organization clearly before setting any performance standards, this helped to make Organizational goals clearer, well known sense they can be they more readily accepted by both parties.
- The appraisal format should be simple, clear, fair and objective. Long and complicated formats are time consuming, difficult to understand, and do not elicit much useful information.

- Communication is an indispensable part of the Performance appraisal process. The desired behavior or the expected results should be communicated to the employees as well as the evaluators. Communication also plays an important role in the review or feedback meeting. Open communication system motivates the employees to actively participate in the appraisal process.
- Feedback is one of the conditions for effective PA. The employee who had been evaluated should be informed about results immediately after the process is over. The purpose of the feedback should be developmental rather than judgmental. To maintain its utility, timely feedback should be provided to the employees and the manner of giving feedback should be such that it should have a motivating effect on the employees' future performance. If the supervisor does not provide feedback on a regular basis, the employee will be shocked by the evaluation and the review can be ineffectual. Supervisors should communicate and give feedback throughout the year. After the performance appraisal, supervisors should follow up with employees to clarify any misunderstandings and acknowledge improved performance. Without follow-up, employees may forget or disregard the goals and action steps resulting from their performance appraisals.
- Documentation means continuous noting and documenting the performance, it also helps the evaluators to give a proof and the basis of their ratings.
- Interpersonal relationships can influence the evaluation and the decisions in the performance appraisal process. Therefore, the evaluators should be trained to carry out the processes of appraisals without personal bias and effectively. Supervisors who focus only on the potential and accomplishments of favored employees may overlook weaknesses they need to address, and personal dislike of an employee may keep the supervisor from recognizing that employee's achievements and cause him to focus on weaknesses. Effective performance appraisals balance recognition of employees' strengths and accomplishments with acknowledgment of weaknesses and areas for growth. Race, political views and gender have no

effect on performance in most jobs and have no place in effective performance appraisals.

#### **2.1.10 Features of OPRAS**

OPRAS has unique features that can be differentiated from the previous confidential appraisal system. Under OPRAS the characteristics and qualities of public service employees are evaluated under "attributes of good performance" aspect. Attributes of good performance aim to motivating and instilling positive work behaviours while discouraging actions that come into conflict with established rules of good conduct and values of the public service. Among the notable values are integrity, commitment, discipline, ability, teamwork and effectiveness in establishing good relationship with fellow employees within public service and outside organizations.

**Openness;** allows both employee and employer discuss and agree on the organisational and individual objectives to be achieved during the year; this provides an opportunity for the supervisor and employee to discuss and agree on measure to improve weaknesses so as to prepare the employee for future organizational responsibilities. Also it guides career decision in organisation

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

**Accountability;** individual employees are required to sign annual performance agreements and account for performance against agreed targets and resources allocated for each activity;

**Ownership;** shows linkage between individual objectives and the overall organizational objectives in a given period. This helps the employee understand own role and contribution thus creating commitment in achieving organizational goals.

**Opportunity to appeal:** Another new element introduced in the OPRAS is an appeal mechanism in case of disagreement of evaluation scores between individual employee and immediate supervisor

**Clear objectives/goals** in which performance is measured against. This helps in the established comprehensive standards which are written in a clear and explicit style and communicated to the employee at entry on the job and at the beginning of the appraisal period. OPRAS are very effective in providing the data which is very objective, reliable, and valid as possible. There is a long history in the industry of subjective, standardized performance review documents. These tend to rely heavily on the subjective opinions of the manager who is reviewing the employee. OPRAS is different because both manager and employees opinion are considered. Something with makes it bias free in measuring employees performance.

**Feedback.** Employees are kept informed about methods and purposes of appraisals. Employees are promptly notified in writing and preferably orally, too, of the results of their performance appraisal. To prevent misunderstanding about whether the appraisal was given or what the appraisal contained,

With all those qualities of effective evaluation OPRAS if well implemented can provide an opportunity to measure the aggregate of achievement by individual employee in a given year. Emphasis is on quantity, quality and efficiencies and effectiveness in utilization of resources.

#### **2.1.11 Importance of using OPRAS**

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

To the Organization: The job of the person being appraised may be clarified and better defined. Since it requires the employer as well as employees to sit together and to set the expected outcome based on organization objectives

Valuable communication can take place among the individuals taking part (that also include communication between the subordinate and the superior. This is due to the nature of the performance appraisal used. The person whose performance is appraised may develop an increased motivation to perform effectively.

OPRAS tend to develop the self-esteem of the person being appraised particularly good performers since it demands the use of various strategies such as feedback, rewards recognition etc. this helped a lot to develop self esteem of the employees within organization.

Through the effective use OPRAS, Rewards such as pay and promotion can be distributed on a fair and credible basis. Although the appraisal system in the Tanzania Public Service has yet not been linked to any formal reward under the current system

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

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

Making bureaucrats more accountable for their actions is another advantage of using OPRAS in public sector because Appraisal System has the benefit of making individual Officers accountable for their job. It offers an opportunity to both Officers and employees to make a proper assessment of their work and evaluate their contribution in fulfilling the overall mission of the organization. So it is a change of attitude from the old notions of public administration.

The individual employee benefits as follows;

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

#### **2.1.12 Barriers to Implementation of OPRAS**

Powell, S. (2004) comment "From the experience of years, it was evident that **inadequate and unsustained training** offered to public servant show that those who have been trained have not been able to deliver the good. As the result acted as the obstacles to institutionalize the OPRAS in the whole of public service". In other words, the institutionalization process of the appraisal system was facing poor knowledge particularly from public sector bureaucrats on how to conduct effective evaluation through OPRAS. This meant that the ongoing efforts to improve the services provided to the public and making the public service 'mission-oriented' were not being properly evaluated in the form of individual performance appraisal.

Another barrier is the culture of Tanzanian society which poses unique challenges for the Performance Appraisal System. According to the system, there is need for them to be close and continuous communication between the subordinate and the superior. As Asim (2002:4) has mentioned, due to the nature of the Tanzanian Public Service it may "lead to difficulty in making objective assessments in the work place, and the reluctance of managers in taking any action that may disappoint fellow employees". In other words, it could be generalized that the public service is arguably based on the principles of conflict-avoidance among the subordinate and the superior.

**Intellectualise;** The Performance Appraisal System has been perceived as an intellectual exercise and thus appears not to be simple to certain categories of employees especial to those who are not well educated. Too many management terms have been used which lack simplicity and clarity and which "frighten" public servants. This made the majority of lower or middle cadre employees not to conversant with the scheme this is due to the nature of public servant in Tanzania which involves lower or middle educated individual.

One of the stereotypes about public sector organization in Tanzania are **unclear objectives**, poor interpreted goal as well as frequency interruption from politicians this generally reduces the effectiveness of OPRAS, in the sense that they make public sector employees not in a position to know what exactly their efforts are directed. This brings a lot of confusions on what and when to be archived and to what level. This poses a number of challenges in the institutionalization of the performance appraisal system. For the example is clash program for teacher training which a hard hoc decision was and it was out of well known plans. Bana, B.A (2009)

**Poor participation** is among the above mentioned factors, Tangen, S. (2004) noted the nature of most of public sector institution in Tanzania doesn't allow the effective participation of the both employers and employees and other stakeholder in equal basis in planning, designing bargaining of what to be done and to what extent. This makes the public administrators themselves to set some unrealistic objectives and performance to be achieved on behalf of employee's .this makes the whole process invalid to measure employee's performance.

**Budgetary constraints and poor prioritization** is another factor which makes OPRAS to fail in Tanzania the state of available resources in implementation OPRAS in Tanzania was less convincing to be sufficient as Neely, A. (1995) noted. It is obvious that, resources were needed to support organization and employees objectives set, due to this the most of managers employees fail to achieve their expected outcome as agreed, hence poor performance

**The openness nature** of the system also posed another challenge regarding formal personal as well as professional relationships. Performance Appraisal, being a 'open' considered to be as a "western product" , facing difficulties to be implemented in more collectivist cultures like Tanzanian, As Vallance (1999:81) has mentioned, in most non-western societies "it is important that an individual be allowed to save 'face' and to be protected from criticism". The save individual face to a certain extent lead to the failure.

The **concept of time** is also a factor that influences the unsuccessful of OPRAS in Tanzania. Not most of us spend as much time planning as we know we should, even though planning is crucial to using time effectively. The world is witnessing fast-moving change, and people's attitude towards time is not an exception given the changing roles of public administration. Performance Appraisal could be time-consuming for most as it requires considerable time to plan work. However, that occurs when the recipients see the appraisal work as something that is separate from their daily routine work.

**Lack of Specificities;** it appears that the open Performance Appraisal System cannot be carried out in certain Ministries/Departments because of their specificities. For example, in service offered department like education or health services, The experience shown that it is very difficult to set expected goal to be evaluated this is due to the nature of responsibility which require more time and special measurement elements for effective measurement.

**Poor communication system** is another obstacles for effective implementation of OPRAS need the government to establish effective communication system between the individual within the centre of government and the periphery so as the feedback can be sent on time, in Tanzanian experience things are total different, the information system is not well formulated to allow the quickly transfer of information.

**Poor Public Relations;** the new system has been wrongly sold out. Indeed, the Public Relations of this system have not been done in an effective manner so that those who are concerned have not been able to know its real objective and how it will affect their performance and work situation. This lead to the Reluctant, conservativeness of public servant towards the scheme, this attitude made it to fail despite some efforts government puts to implement it for the better public service system. This contributes to inefficiency of the OPRAS in measuring employees' performance.

**Consensus on Agreement;** the introduction of OPRAS has failed to gain the consensus of the different stakeholders. For example, the Trade Unions have always been against this system. Consequences of OPRAS itself pose another challenge the public sector in Tanzania particularly after experiencing the pains caused by impact of structure adjustment program such as retrenchment. Its introduction create a sense fearing the consequences of OPRAS which can result to punishment in term of disciplinary action or even to be fired based on OPRAS feedback.

## **2.2 Empirical Literature Review**

This section looks at works done by other researchers on the topic at hand. It will look at how they carried out their researches, their findings and conclusions so that at the end these will be compared with the output of this study.

Mjaya (2010) who did a research on the effectiveness of appraisal system discovered that, there had been low delivery of quality service because of ineffective participation in implementing OPRAS. Employees do not sit together with their supervisor to plan and agree on performance and criteria based on agreed objectives. Instead they just fill the appraisal form and send them to the supervisor for signature. There should be improvement of feedback system for employees' evaluations whereby the staff will be informed about their shortfalls if any and remedies.

As recommendation Mjaya (2010) suggest that in order for the system to be effectively implemented there should be intensive employees education programme about the awareness of OPRAS, both employer and employees should be trained on

how the process or the new system introduced has to be carried. He suggested that seminars for new employees should be provided in order to improve employees' awareness about the whole process of open performance review and appraisal system for effective implementation.

Robert E (2007) argues that most of employees especially top management and middle level staff were knowledgeable about OPRAS, however most of the low level staff had low knowledge concerning OPRAS forms. A part of that findings show that both employee and employer were free to set objective together and even during the assessment process. The system has improved the communication between employer and employees and builds trust by simplifying the procedures and setting deadlines for achieving of objectives.

Robert goes by recommendation and suggests ways of improving effective implementation of OPRAS that evaluation process should be used only for the aim of assessing the performance of an employee and the way they can improve their performance not otherwise. Appraises should be given chance to defend their opinion so that more information concerning performance should be obtained for better performance in future.

Although many scholars have done great job concerning the implementation of OPRAS, and many recommendations have been made concerning the way in which system can be made effective for improving organization performance, they have not put greater emphasis on consolidating feedback mechanisms as one of the ways of enhancing effectiveness in employees participation in the whole process of implementation of Open performance review and appraisal system.

Kibibi (2010) argues that although the government introduced OPRAS and made it mandatory it has not been effective as required because there are several factors which need to be addressed. Generally, it was found that the extent to which the OPRAS has been institutionalized is very low, this was as a result of the factors inhibiting the institutionalization process like the lack of political accountability, extensive training also considered as an important prerequisites: also political commitment and poor employee's participation in the process. The absence of these

factors has resulted in the future to create the appropriate atmosphere needed to fruitfully institutionalize OPRAS. The study's conclusion is based on both the findings from the literature review and the collected data during the research. The researcher comes up with the recommendations that, despite the government efforts to introduce OPRAS it has not been in a position to develop a real and effective open performance appraisal system. Therefore the government and other potential stakeholders should support the system.

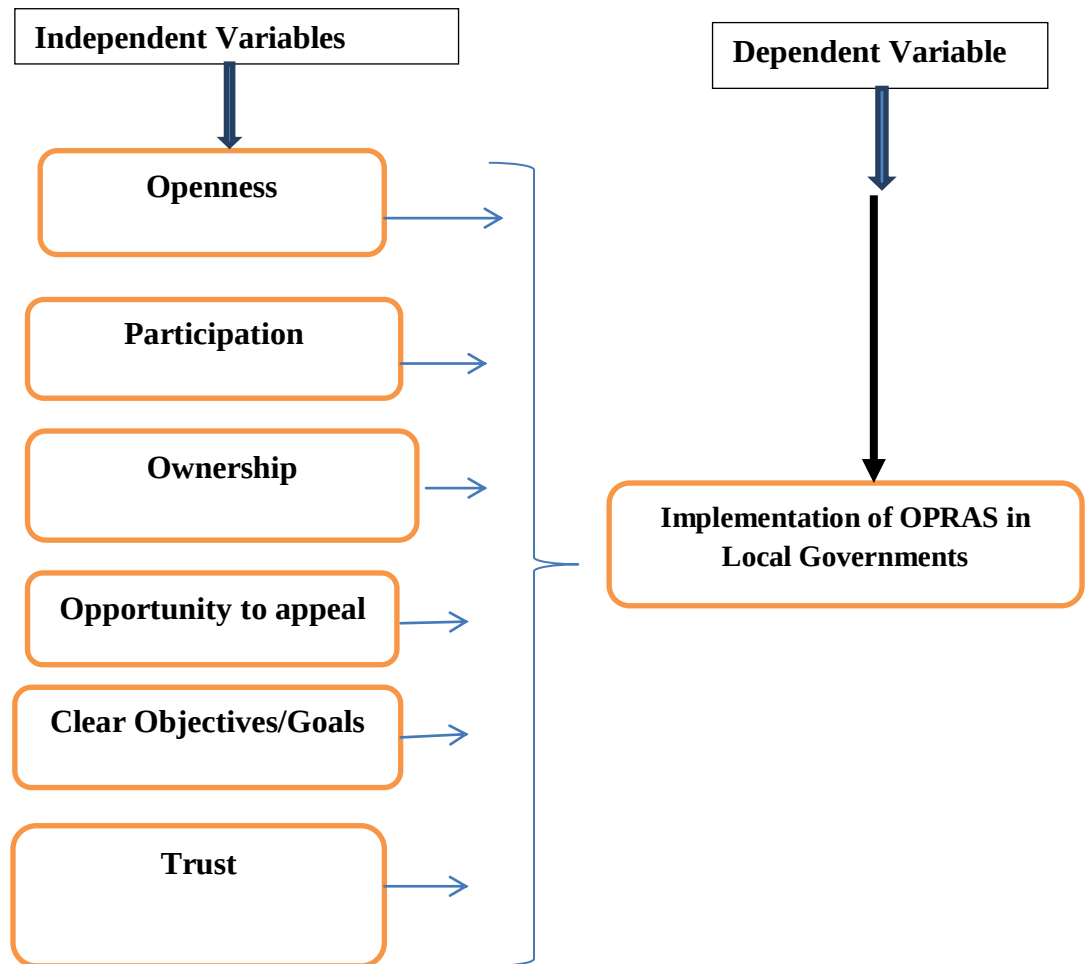
Dotto (2010) argued that managers had adequate knowledge about OPRAS and operational staff were aware about the concept and the process. Regarding the process of implementing OPRAS most of the steps were followed except on mid - year reviews. Some of the department were conducting while others were not conducting mid year reviews. Several achievements were obtained as result of implementing OPRAS, which were in line with the aim of implementing OPRAS . However. Lack of resources, resistance to change, delays in promotion, and ad hoc activities were major challenges that hindered the effective implementation of OPRAS. Dotto concluded by saying that the large extent the organization achieved all the requirements for the implementation of OPRAS was not fully realized due to the existing challenges which were beyond the organizational level. He recommended that for effective implementation of OPRAS , the PO – PSM should address the observed challenges and allow customization of OPRAS to fit to the public organization in Tanzania.

### **2.3 Research Gap**

The theory on OPRAs is adequate as covered in the theoretical review. Also Various studies have been conducted concerning OPRAS and most of them came up with realistic findings regarding operationalization and challenges of OPRAS implementation particularly in Tanzania. However the studies were conducted a few years ago while the Tanzanian government has made several improvements relating to OPRAS. Also the study on challenges of OPRAS implementation has never been conducted in Lushoto District Council. Therefore a gap for scientific study was evident.

## 2.4 Conceptual Framework

Figure 2.1: Conceptual Framework



Source: Researcher Construct 2013

The assumption of the conceptual framework above is that: under OPRAS the characteristics and qualities of Public service employees should be evaluated under "attributes of good performance" aspect. Attributes of good performance aim at motivating and instilling positive work behaviours while discouraging actions that come into conflict with established rules of good conduct and values of the public service. Among the notable values are integrity, commitment, discipline, ability, teamwork and effectiveness in establishing good relationship with fellow employees within public service and outside organisations.

### 2.4.1 Operationalization of the Variables

**Openness;** allows both employee and employer discuss and agree on the organisational and individual objectives to be achieved during the year; this Provides an opportunity for the supervisor and employee to discuss and agree on measure to improve weaknesses so as to prepare the employee for future organizational responsibilities, also it guide career decision in organisation

**Participation;** involve employees in the process of setting objectives, performance targets and criteria as well as determining, assessing and recording performance;

**Accountability;** individual employees are required to sign annual performance agreements and account for performance against agreed targets and resources allocated for each activity;

**Ownership;** shows linkage between individual objectives and the overall organizational objectives in a given period. This helps the employee understand own role and contribution thus creating commitment in achieving organizational goals.

**Opportunity to appeal:** Another new element introduced in the OPRAS is an appeal mechanism in case of disagreement of evaluation scores between individual employee and immediate supervisor

**Clear objectives/goals** in which Performance is measured against. This help in the established comprehensive standards which are written in a clear and explicit style and communicated to the employee at entry on the job and at the beginning of the appraisal period.

## 2.5 Chapter Summary

The chapter reviewed relevant literature on the challenges of implementation of OPRAS worldwide, and reviewed other literature written in Tanzania on the use of OPRAS in the public sector, cutting across the MDAs. It dealt with the purpose of OPRAS, the statement on the research gap and the conceptual framework with five independent variables that could give direction in this study as well as to the effective implementation of OPRAS.

## **CHAPTER THREE**

### **RESEARCH METHODOLOGY**

#### **3.0 Introduction**

This chapter looks at the research methodology which provides a plan to device means to undertake a task. Research methodology relates to grand plan of a particular research project that shows how a researcher intends to conduct the research and how to guard it against internal and external factors which may influence and undermine its validity and acceptability as a knowledge base. Research methodology is the scientific procedures and processes of studying how research is done scientifically in various steps that are generally adopted by the researcher in studying the selected research problem.

Babbie, (1995) argues that methodological principles in the social sciences ensure that we are able to defend our findings, and are those guidelines that researchers agreed on, that they rely on to give us acceptable research practices. Methodological principles further enable researchers to attain knowledge by providing the researchers with necessary techniques or tool. The aim of this chapter is to describe how the study was conducted. The research design is also explained and areas of study are clearly specified. Methods of data collection used in this study were questionnaires, interviews, consultation, focus group discussions, observation and documentary review.

#### **3.1 Research Design**

Research designs include the survey, experimental, and case study design. In this study, it was considered to be important to adopt a case study design by the researcher due to its flexibility in collecting data on the challenges of administering OPRAS in local government institutions in Tanzania using Lushoto District Council as a case study. Case study design is a qualitative analysis which involves careful and complete observation of a social unit, a person, a family, an institution, a cultural group or even the entire community. It is a method of study in depth rather than breadth (Kothari, 2004).

On the basis of the research problem in this study, a case study design was used. Yin (1984) defines the case study research method as an empirical inquiry that investigates a contemporary phenomenon within its real-life context; when the boundaries between phenomenon and context are not clearly evident; and in which multiple sources of evidence are used. When phenomena are essentially contemporary, which involves operating within specific contexts, and then the case study method is appropriate. Similarly, as Norgaard (1994) emphasizes, the case study research is the preferred one when control on the subjects of the study is neither feasible nor desirable.

A research design is concerned with turning a research question into a testing project. The best design depends on the research questions. Every design has its positive and negative sides. The research design has been considered a “blueprint” for research, dealing with at least four problems: what questions to study, what data are relevant, what data to collect, and how to analyze the results (Robson, 1993).

### **3.2 Area of the Study**

The study is on the challenges facing effective implementation of OPRAs in Local governments in Tanzania. The researcher chose Lushoto District Council as the area of study due to its accessibility and age. Lushoto District Council being among the oldest LGAs in Tanzania is situated in the northern part of Tanga Region within 4° 25' – 4° 55' latitude south of Equator and 30° 10' – 38° 35' Longitude East of Greenwich. The District has an area of 3,500 km<sup>2</sup> and accounts for about 12.8% of Tanga Region. It borders with Korogwe District in the south and Mkinga District further east, Same District of Kilimanjaro Region in the northwest, and Republic of Kenya in the northeast. Lushoto Town is the district headquarters according to the 2012 Tanzania National Census, the population of the Lushoto District Council was estimated at 492,441 people, whereby Male are 230,236 and Female are 262,205, the largest for the eight districts in Tanga Region. It is in this District where the Lushoto District Council is found which is divided in 8 Divisions, 44 Wards. The Council is located at the District headquarters.

### 3.3 Population of the study

A population consists of a collection of individual units, which may be persons, objects, or experimental outcomes, whose characteristics are to be studied (Kothari, 2004). The target population of the study was 4000 people and these were, Chairman of the council, District Executive Director, Councillors, Heads of Departments, Leaders of Workers' Unions (TALGWU) in Lushoto District Council and other employees of the council. However the population was narrowed 168 people. This happen automatically when the researcher applied a technique to narrow the area of study from the whole Lushoto District Council members to Lushoto District Council headquarter members in order to delimit some of the limitation of the study, so 16 members of management, 44 councillors and 108 staffs including Leaders of Workers' Unions (TALGWU) in Lushoto District Council were considered to be the population of this study and thus used to determine the sample size of the study. Interviews and questionnaire were used to collect data from them.

### 3.4 Sample size and Sampling Procedures

#### 3.4.1 Sample size

**Definition of sample size.** Sample size for this study was 70 respondents. These include Chairman of the council, District Executive Director, Councillors, Heads of Departments, Leaders of Workers' Unions (TALGWU) in Lushoto District Council and other employees of the council.

**Table 3.1 Sample size**

| Category        | Population | Sample Size | Data Collection Method |
|-----------------|------------|-------------|------------------------|
| councillors     | 44         | 4           | interview              |
| management      | 16         | 12          | interview              |
| Other employees | 108        | 54          | questionare            |
| total           | 168        | 70          |                        |

**Source : field data (2013)**

#### 3.4.2 Sampling procedures

A combination of probability and non probability sampling procedures was employed. Workers were grouped according to the departments they work. This justified the use of stratified sampling techniques whereby sample members from

each group were interviewed. In connection with sample and sampling procedure the researcher sampled the population in the council in order to get the population size which is manageable and representative. The following are the sampling procedures which were employed:

**(i) Simple Random Sampling**

This is a probability sampling whereby all members in the population have equal chance of being selected to form a sample (Jamal and Kamuzora (2008:132). Using simple random sampling involves selecting the sample at random from the sampling frame without replacement. Sampling without replacement maintains the original sampling frame, but the number of elements available to be drawn decreases as each element of the sample is removed before the next choice is made. In connection with this, individuals/workers/staff in the study population were given equal chance in selecting a sample.

**(ii) Purposive Sampling**

Purposive sampling is sometimes known as judgmental sampling, because the decision with regard to which element/item should be included or excluded in the sample rests on the researcher's judgment and intuition. The researcher chose only those elements which he/she were expected to deliver the required data. In this method the researcher deliberately included/excluded some of the elements in the sample. The major criterion for including a person in sample is possession of expertise or experience about the problem under investigation.

This method is less expensive and quick for selecting a sample, but its major weakness is bias. This is because it is not based upon the probability model and hence the researcher does not have a real basis for making inferences to a large population. This method was used due to the nature of the study, which demands collection of data from units with involvement, specialist experience and knowledge on training. In this regard, the study sample consisted of the

District Executive Director (DED), Head of departments, Human Resource Officers and a few rank employees who were selected as a sample for study.

### **3.5 Data Collection Methods**

Since the study adopted a case study design, a combination of various data collection methods were employed in order to get a wide picture of the challenges of administering OPRAS in District Councils commonly known as triangulation (Saunders et al, 2007) which refers to quantitative and qualitative collection methods. Therefore in this study interview and questionnaires were employed. In this study both primary and secondary data were employed.

#### **3.5.1 Primary Data**

Primary Data are data which are collected afresh and for the first time, and thus happen to be original in the character (Kothari, 2004). They include opinion of the people who are interviewed. In addition Kothari (1984) noted that primary data is the information which has originated directly as a result of a particular problem under investigation. In this study primary data was collected through interviews and questionnaires.

##### **(i) Interview**

Interview is a technique for soliciting information which commonly involves face to face conversation between the interviewer and the interviewee (Kothari, 2004). This is the technique of data collection that involves presentation of oral verbal stimuli and obtaining replies from the respondents. This method can be used through personal interview and if possible telephone interviews (Kothari, 2004). There are two types of interview i.e. structured and semi structured. Kombo and Tromp (2006). An interview guide was prepared and set of questions were set to help explore the inner most required data. The interview was conducted with individual respondents; the researcher prepared a conference room where he called individual respondents through appointments. There were no interaction from other staff in interview room, and the interview data were recorded on notebook.

Face-to-face interviews were used to get detailed information from the respondents about their views, opinions and perspectives regarding the challenges of implementation of OPRAS at Lushoto District Council. This method was used in order to get in-depth responses.

During interviews rapport was created by starting with general questions to make respondents feel relaxed in answering questions; the situation which enabled the researcher to get useful information from them. This in line with the argument that, “if the researcher and the subjects have established good rapport the subjects will be cooperative and will have enough confidence in the research to pass on information about themselves, ranging from the details of daily life to sensitive matters” (Sharraf, 1991; Dean and Eichhorn, 1969; Wax, 1971, cited in Ryen, 2002: 337).

#### **(ii) Questionnaire**

According to White (2002:53), a questionnaire is regarded as a series of questions, each one providing a number of alternative answers from which the respondents can choose. It is a schedule of questions in which respondents fill in answers. The study used open ended questionnaire which were supplied to all representatives of staff (as sample) and training staff. This method made respondents free to air their own views to enable the researcher to get more information from many people.

A questionnaire survey was administered in Lushoto District Council around July and August 2012. A sample was selected from Lushoto District Council workers which comprised of 11, heads of departments, 4 heads of units, 1 director, 1 councillor and 61 normal workers of Lushoto District Council. A Questionnaire was formulated and used for data collection. The questionnaire was structured in two types. Type one contained open-ended questions that gave the respondents an opportunity to express their opinions on the study while the second type was a closed-end question with possible answers to choose. These methods provided both qualitative and quantitative information (data) on challenges facing implementation of OPRAS.

The questionnaire used a blend of closed specific questions, options and Likert scale measures, and followed general guidelines offered by Bailey (1994), Bell (1987), Busha and Harter (1980), Fink (1995) Foddy (1993), and Wilson (1997) amongst others.

To minimise ambiguity and misunderstandings a set of instructions and notes headed the questionnaire. These explained how to fill out the survey and also drew attention to the fact that the survey was only interested in finding the challenges of administering OPRAS in District Councils. One problem with self-completed questionnaires is that the meaning of questions and terms cannot be clarified but the notes and the pilot questionnaire stage was designed to reduce this problem as suggested by (Heather and Stone, 1984).

The questionnaire items were divided into four major parts: in the first part, the respondents were asked to indicate their knowledge on the status of OPRAS implementation, In the second part the respondents were asked to determine their perception on the OPRAS implementation in Lushoto District Council. In the third part, the respondents were requested to give out the challenges they experience in the course of OPRAS implementation, and in the fourth part the respondents were asked to give their recommendations on best strategies for the OPRAS usage in Lushoto District Council.

### **3.5.2 Secondary data**

To introduce the theoretical literature of the subject, the researcher used the following data sources of information: Books and references in English about performance appraisal and incentives, Periodicals, published papers and articles, web sites and electronic versions, theses and dissertations

### **3.6 Data Quality Control**

The questionnaires were developed by an extensive literature review and by preliminary interviewing of ten staff from Lushoto District Council one from each of the ten purposively selected departments to identify the study variables of challenges of administering OPRAS in government institutions. Feedback was requested from

the pilot study respondents and suggestions were considered and added accordingly. This helped to maintain the reliability and validity of the data that which was collected.

### **3.7 Ethics Review**

A researcher who is conducting human subject research should be aware of the ethical issues. A researcher submitted research ethics application for approval before the research. The researcher was ethically bound to respect the participant's human dignity, free and informed consent, privacy and confidentiality, and justice and inclusiveness. Before the study, the participants were informed the nature, purpose and procedures of the study. When the interview process was taped, participants were aware and ready of these tapings. Participants were free to answer specific questions, and withdrew from this study at any time, for any reason. In all cases the researcher did not press for answers to questions that may embarrass the participants or make them feel uncomfortable.

### **3.8 Analysis of the Data**

Kombo and Tromp (2006) identified the term data analysis as examining what has been collected in survey and experimenting in making deductions and inferences. It however involves uncovering underlying structures, extracting important variables, detecting any anomalies and testing any underlying assumptions.

Technical data were processed before the analysis. First and foremost raw data were obtained whereby fifty four questionnaires expected to be collected from the field were collected. Then the researcher edited, coded and classified the raw data. Secondly, the researcher entered all the gathered data in the questionnaire and interview guide into a computer so as to facilitate tabulation and analysis. After data processing data were stored in both electric and non-electric format.

The data obtained in this study were subjected to thorough content analysis, whereby frequencies and percentages were taken as measures of importance. Data were analysed using the Statistical Package for Social Sciences (SPSS) and Microsoft Excel Spread sheets. The data obtained through unguided open ended questions and

responses from interviews were categorized and converted into qualitative data and described in frequencies and percentages. Tables, histograms, pie charts and other figures were used for data presentation.

### **3.9 Objectivity**

The study sample and areas were carefully selected, using the multi-stage cluster sampling frame. Respondents were selected with random start in order to increase validity and reduce bias. The sample technique employed ensured that each respondent has an equal chance of being selected. Research data were collected independently of the personal value of the researcher. The conclusion which was drawn from the interpretation of the results of the data analysis was based on the facts of the findings derived from the actual source of data. To adhere to objectivity, the researcher avoided personal and vested interest.

### **3.10 Rigorousness**

The researcher ascertains that the data that were collected were accurate and unbiased due to the satisfactory research design which was well planned by the researcher. The data collected and handled were scientific, rigorous and factually grounded.

### **3.11 Chapter Summary**

In summary, the intention of the chapter was to portray how the study was conducted, the research design was a case study design conducted at Lushoto District Council within its different departments and units. Different data collection methods were used like questionnaires, interviews, and documentary review. Interviews were conducted which produced quality replies to the questions, although some respondents were harsh and obstinate. Despite this fact the research ethics were maintained which lead to critical findings.

## **CHAPTER FOUR**

### **PRESENTATION AND ANALYSIS OF FINDINGS**

#### **4.0 Introduction**

This chapter presents key findings of this study according to the three research questions shown in Chapter One. It includes both the findings and interpretation of data. Quantitative data were analysed using SPSS and Microsoft Excel Spread Sheet. In most cases descriptive statistics were derived shown in frequencies and percentages.

Data analysis is the process of moving from raw data to evidence-based interpretations that the foundation for published reports (Creswell, 1998:201). Since numbers from quantitative information by themselves do not give adequate meaning, qualitative information which is relevant to the issue being studied was used to supplement them. There are different ways of analysing qualitative data as argued by different authors such as Gill and Johnson, (2002). In this research content analysis was used for the qualitative data, where theory was compared to practice. Direct quotations were used to show what respondents said about the issue being analysed, thereby supporting the statistical information.

#### **4.1 Demographic Characteristics of Respondents**

In social sciences research personnel characteristics of respondents have very significant role to play in expressing and giving the responses about the problem, keeping this in mind, in this study a set of personal characteristics namely, sex, department, education level, occupation, working experience, cadre etc of the 54 respondents have been examined and presented in this section.

This section discusses the distinctiveness of respondents in terms of their sex, and level of education. The said variables were included in the analysis on the assumption that there is correlation between employees with the said attributes. The percentages of distinctiveness of each group of respondents were based on the total number of respondents.

#### 4.1.1 Distribution of Respondents by Sex/Gender

Sex is an important variable in a given Tanzanian social situation which is variably affected by any social or economic phenomenon and globalization is not an exception to it. Hence the variable sex was investigated for this study. Data related to sex of the respondents is presented in the Table 1 where 22 (40.7%) of all respondents were male and 32 (59.3%) were female.

**Table 1: Distribution of Respondents by Sex/Gender**

| Category of Response | Frequency | Percentage |
|----------------------|-----------|------------|
| Male                 | 22        | 40.7       |
| Female               | 32        | 59.3       |
| <b>Total</b>         | <b>54</b> | <b>100</b> |

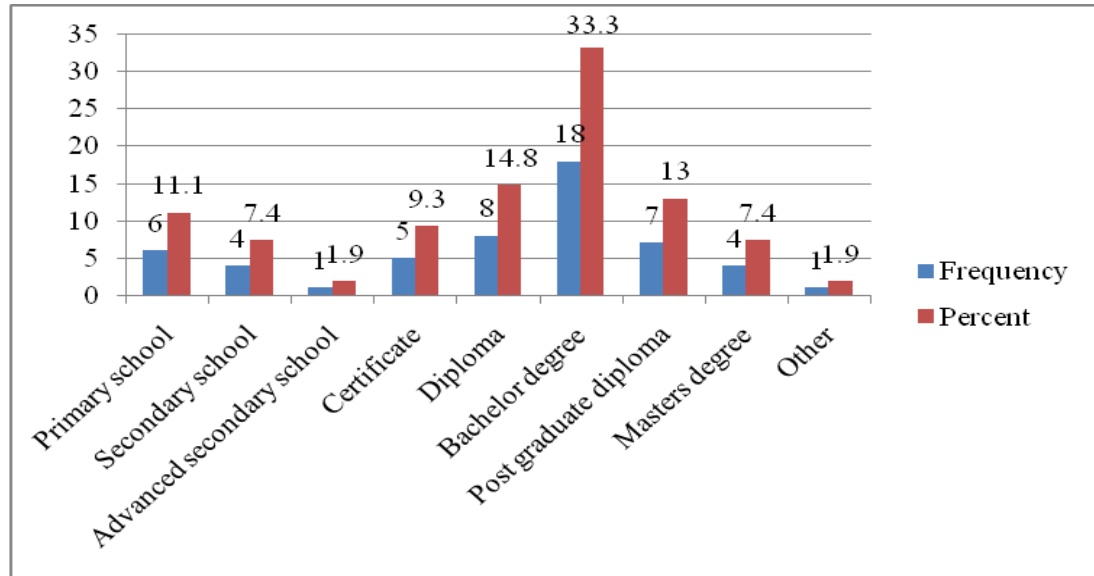
**Source: Field Survey 2013**

The total number of all respondents was 54, who included staff working in the different departments, sections and units at the Lushoto District Council. Table 1 above indicates the statistical data of the sex of respondents in frequencies and percentages. The paramount reason of including this variable is to get different responses from different sex/gender.

#### 4.1.2 Distribution of Respondents by Level of Education

Education is one of the most important characteristics that might affect the person's attitudes and the way of looking and understanding any particular social phenomena. In a way, the response of an individual is likely to be determined by his/her educational status and therefore it becomes imperative to know the educational background of the respondents. Hence the variable 'Educational level' was investigated by the researcher and the data pertaining to education is presented in Figure 1 below

**Figure 1: Education Level of the Respondents**



**Source: Field Survey 2013**

It can be concluded from Figure 1 above that by and large the respondents were progressive in education but they were still far away from the higher education which is so important today to create a knowledge based society.

#### **4.1.3 Distribution of Respondent by Departments**

A total number of 54 respondents were involved in this study. The respondents were drowned from departments, sections and units from Lushoto District Council. Table 2 below summarises the distribution of the respondents in their respective departments, sections and units as follows: The largest number were from Finance departments with 9 (16.1%) of all respondents, Ujenzi (Works) and agriculture had 7 ( 13%) each, Unit dealing with land issues had 4 (7.3%), Utawala (administration) had 3 (5.5%), Administration, Community Development, Procurement, Town Authority and Works Department had 2 (3.7%) each whereas the rest of other units had 1(1.9%) of all respondents as shown in Table 2 below. This combination enabled the research to obtain representative sample which ultimately increased the reliability and validity of this study.

**Table 2: Distribution of Respondents by Departments**

| <b>Category of Response</b> | <b>Frequency</b> | <b>Percent</b> |
|-----------------------------|------------------|----------------|
| Administration              | 2                | 3.7            |
| Agriculture                 | 7                | 13             |
| Ardhi                       | 1                | 1.9            |
| Coffee Unit                 | 1                | 1.9            |
| Community Development       | 2                | 3.7            |
| District Agr. Office        | 1                | 1.9            |
| Education                   | 1                | 1.9            |
| Finance                     | 9                | 16.1           |
| HRA                         | 1                | 1.9            |
| Human Resource              | 1                | 1.9            |
| Internal Audit              | 1                | 1.9            |
| IT Department               | 1                | 1.9            |
| Land, Natural Resource      | 1                | 1.9            |
| Lands                       | 4                | 7.3            |
| Land Section                | 1                | 1.9            |
| Maendeleo ya Jamii          | 1                | 1.9            |
| Mipango                     | 1                | 1.9            |
| Procurement                 | 2                | 3.7            |
| Town Authority              | 2                | 3.7            |
| Trade                       | 1                | 1.9            |
| Ujenzi                      | 7                | 13             |
| Utawala                     | 3                | 5.5            |
| Water Department            | 1                | 1.9            |
| Works Department            | 2                | 3.7            |
| <b>Total</b>                | <b>54</b>        | <b>100</b>     |

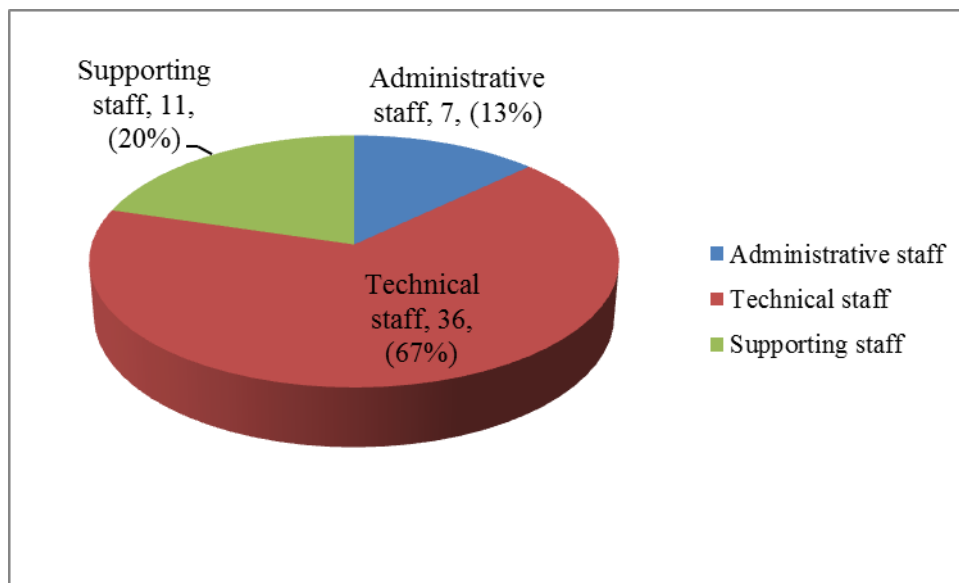
**Source: Field Survey 2013**

#### **4.1.4 Cadre of Respondents**

The respondents were subdivided in two major categories of cadre: administrative staff, supporting staff and technical staff. The total number of the respondents was fifty four of whom 11 (20%) were supporting staff, 7 (13%) were administrative staff, whereas 36 (67%) were technical staff category comprised more than half of the total number of respondents. This was due to the availability and readiness of technical staff during the field data collection, in contrast to the readiness and

availability of the administrative staff to accept the questionnaires. Figure 2 below summarise the findings.

**Figure 2: Distribution of Respondents by their Cadre**



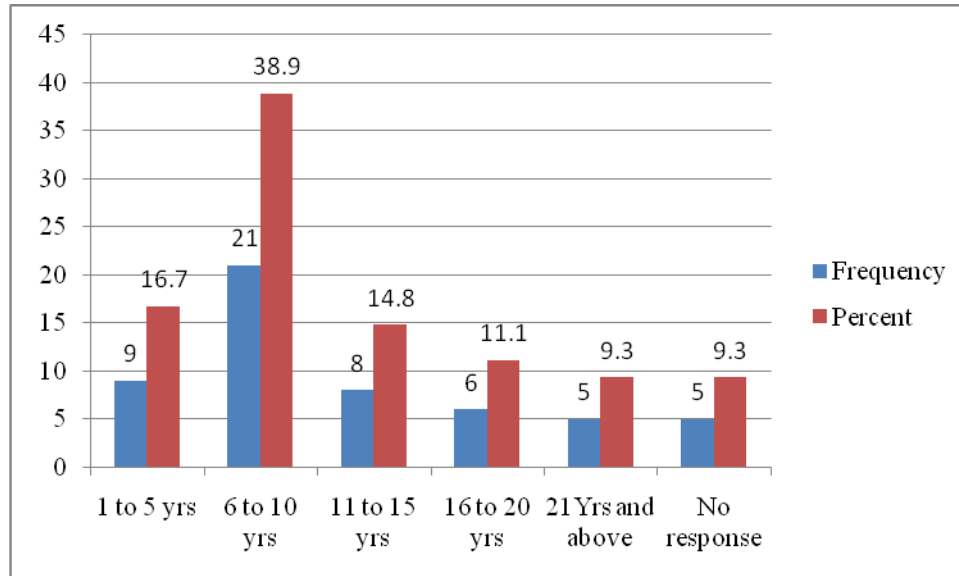
**Source: Field Survey 2013**

#### **4.1.5 Distribution of the Respondents by Work Experience**

The researcher intended to extract information on the years of experience /working with Lushoto District Council by the respondents. The respondents were provided with questionnaire item which require them to state number of years they have worked with the organisation. This question was set purposely in order to extract information especially on time the respondent has been involved in the OPRAS.

The results are as shown in Figure 3 below. Where a majority of the respondents 21 (38.9%) had 6-10 years followed by 9 (16.1%) 1- 5years and 8 (14.8%) had 11-15 years. This provided the research with sample of staff who had worked with Lushoto District Council and therefore they were in a good position to provide their wealth of experience on both the old system of performance appraisal as well as the new one OPRAS.

**Figure 3: Distribution of the Respondents by Work Experience**



**Source: Field Survey 2013:**

#### **4.1.6 Distribution of the Respondent by their Positions**

Person's occupations do have a bearing on his or her personality and so also the ways of looking at the problem before him. The quality of life is also determined by an individual's occupation and the incomes he derives from it. Occupation of an individual also socialized him or her in a particular fashion which in turn reflects his or her pattern of behaviours and his/her level of understanding of particular phenomenon. In other words the person's response to a problem is possible determined by the type of occupation he is engaged in and hence variable occupation was investigated by the researcher and data pertaining to occupation is presented in Table 3 below.

**Table 3: Distribution of the Respondent by their Positions**

| Category of response          | Frequency | Percent |
|-------------------------------|-----------|---------|
| A/Assistant                   | 2         | 2.8     |
| Academic officer              | 1         | 1.9     |
| Accountant                    | 8         | 14.8    |
| Act. dist. agr. off           | 1         | 1.9     |
| Statistician                  | 1         | 1.9     |
| Ag. dcdo                      | 1         | 1.9     |
| Ag. de                        | 1         | 1.9     |
| Ag. district engineer         | 1         | 1.9     |
| Agri. field officer           | 1         | 1.9     |
| Auth. agri. supervisor        | 1         | 1.9     |
| Civil tech.                   | 1         | 1.9     |
| Computer analysis             | 1         | 1.9     |
| Crop officer                  | 1         | 1.9     |
| D. internal auditor           | 1         | 1.9     |
| Development officer           | 2         | 3.7     |
| Driver                        | 1         | 1.9     |
| G. Governance officer         | 1         | 1.9     |
| Hro 1                         | 1         | 1.9     |
| Land officer                  | 3         | 5.6     |
| Mhudumu                       | 2         | 3.7     |
| Mhudumu wa ofisi              | 1         | 1.9     |
| Nutritionist                  | 1         | 1.9     |
| Personal secretary            | 1         | 1.9     |
| Principal agr. field officer  | 1         | 1.9     |
| Principal agriculture         | 1         | 1.9     |
| principal livestock officer   | 1         | 1.9     |
| Ps                            | 1         | 1.9     |
| Rma                           | 1         | 1.9     |
| S. Supplies officer           | 1         | 1.9     |
| Secretary                     | 2         | 3.7     |
| Supplies officer              | 1         | 1.9     |
| Suveyor                       | 1         | 1.9     |
| Technician                    | 3         | 5.6     |
| Teo                           | 1         | 1.9     |
| Tourism officer               | 1         | 1.9     |
| Trade officer                 | 1         | 1.9     |
| Valuer                        | 1         | 1.9     |
| Ward agriculture ext. officer | 1         | 1.9     |
| Water engineer                | 1         | 1.9     |
| Total                         | 54        | 100.0   |

**Source: Field Survey 2013**

## 4.2 The Status of OPRAS Implementation in Lushoto District Council

The second of objective of this study was to determine the status of implementation of OPRAS within the Council. The question was designed to capture whether employees were aware of the process of OPRAS and whether they have once participated. Table 4 below indicates that 98% of 54 respondents had adequate knowledge of the process and had participated in OPRAS. This proves that the Human Resource Department adheres to the directives from the president's office – public service department on ensuring that employees both in central and local government are evaluated and appraised annually every year.

**Table 4: Respondents Knowledge on OPRAS**

| Category of response | Frequency | Percent |
|----------------------|-----------|---------|
| Yes                  | 53        | 98.1    |
| No                   | 1         | 1.9     |
| Total                | 54        | 100.0   |

**Source: Field Survey 2013**

The researcher was also interested on the frequency of participation in the process over the life an employee in Lushoto DC. The 54 respondents were asked to indicate how often they had participated in the OPRAS exercise during their work life with the council. It is important to note that OPRAS in Tanzania has been a directive since 2002. According to table 5 below 70% of the 54 respondents indicated that they had participated or were involved in the process every year in their stay with the Council.

This justifies that OPRAS is conducted every year as directed by the PO-PSM within the philosophy of measuring individual performance in terms of objectives related to the job and the behaviour aspects in terms of communication, teamwork, creativity and aspects of leadership. This information however does not tell us whether the respondents participated in all three levels of OPRAS process within one year, that is, setting objectives and signing the contract, midyear review and annual assessment during which employees and supervisors assign marks to the establish the annual individual performance. The data in table 5 indicate some dissimilarities as 5.6% of the respondents claim to have participated only once. This could relate to the age of their employment. 1.9% claim they participated in the process due to pressure from

top management and another 1.9% due to various other reasons. These data reflect the aspects of acceptability of OPRAS by senior and middle level workers/officers while the process is obscure and ambiguous for the lower and operation staff. In general as well data below will indicate that the process is purely a formality only conducted as directive from PO-PSM.

**Table 5: Frequency of Participation in OPRAS**

| Category of response                       | Frequency | Percent      |
|--------------------------------------------|-----------|--------------|
| Once                                       | 3         | 5.6          |
| Twice                                      | 10        | 18.5         |
| Every year                                 | 38        | 70.4         |
| Every after e yrs                          | 1         | 1.9          |
| Every time of pressure from top management | 1         | 1.9          |
| Others                                     | 1         | 1.9          |
| <b>Total</b>                               | <b>54</b> | <b>100.0</b> |

**Source: Field Survey 2013**

Another simple question in the questionnaire was prepared to cross check the knowledge and the actuality of the exercise. The 54 respondents were requested to yes or no on whether they have once participated in filling in the OPRAS forms. According to Table 6, 92% of the respondents accepted to have filled in the OPRAS forms. Since 2002 and according to the PO-PSM circular and the 2006 OPRAS Guideline, it is a requirement in Tanzania that all employees must fill in the OPRAS forms. This is also a requirement for promotion and of late the performance of employee on annual basis determines the salary increments and other benefits. Agin all these information are obtained through filling in OPRAS forms and communicated to the central employment organs. The data on the table connotes the adherence to requirements communicated to Local Governments relating to employment procedures, evaluation and rewarding.

**Table 6: The Filling of OPRAS Forms**

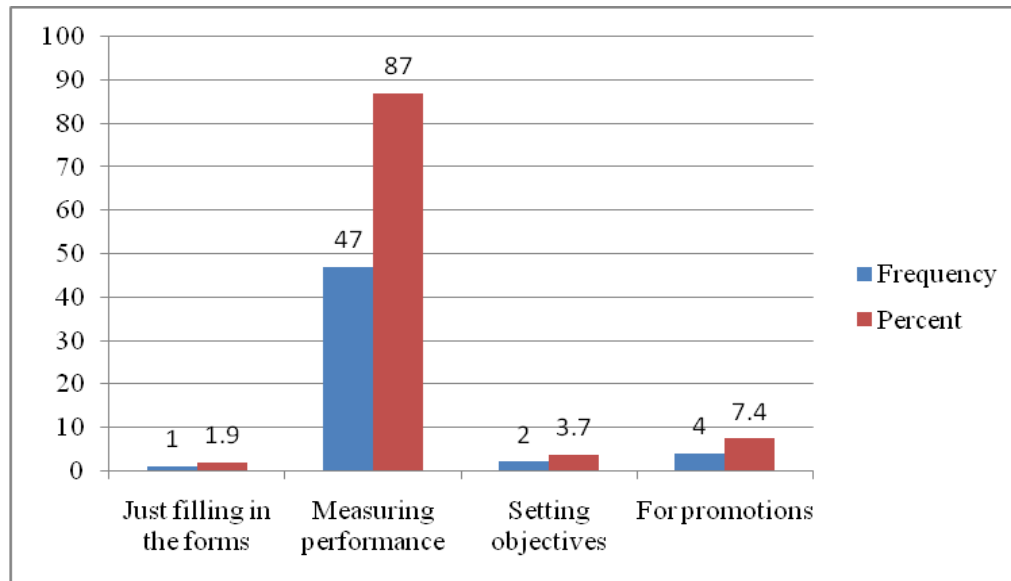
| Category of response | Frequency | Percent      |
|----------------------|-----------|--------------|
| Yes                  | 50        | 92.6         |
| No                   | 4         | 7.5          |
| <b>Total</b>         | <b>54</b> | <b>100.0</b> |

**Source: Field Survey 2013**

In summary therefore tables 4, 5 and 6 above clearly show that the status of OPRAS implementation in Lushoto District Council is of good quality as it adheres to PO-PSM standards and guideline. The responses show that more than 98 percent have comprehensible knowledge on OPRAS, more than 90 percent of the sampled employees responded that they have participated in filling in the OPRAS forms on yearly basis and more than 93 percent have filled in the forms already. This is also an apparent evidence of the openness, participation, ownership, and trust on the process in local governments in Tanzania at large. The trend shows that there is good established link between the supervisors and the subordinates in their working stations which assists implementation OPRAS as process, a directive and necessity for rewarding.

The study was also specifically interested on the use of the OPRAS as process that has output. The question related to what is the use of the OPRAS output in terms of the objectives set, revised objectives, annual evaluation, the annual marks and the forms themselves. Incredibly and against expectations 87% of the respondents believed OPRAS is only for measuring performance of employees rather than other important use such as setting annual objectives in relation to council strategic plan, rewarding, promotion and training and career development. This indicates a that OPRAS is implemented without prior training and effective communication on its systemic use with the annual and permanent employment life of an employee. It creates a quest for knowing whether the responsible officers use the guidelines available for sharing with subordinate during the OPRAS sessions. There is also a percentage that believed OPRAS process is purely the filling in of forms for only the sake of it.

**Fig. 4: The Uses of OPRAS Output**



**Source: Field Survey 2013**

The responses on Fig. 4 prove the mindset of the majority of the employees/staff that the OPRAS endeavour centres on their labour cost benefits rather than improving and maximising the institution set goals and objectives. On the other hand, more than 72 percent as shown in the table 7 responded about the performance improvement which is brought up through OPRAS advancement. These data conform to the above aspect of relating OPRAS with performance evaluation only. They do not tell whether both employees and management of the council actually use the OPRAS output to plan for career development, promotions, training and rewarding as the secondary use of the OPRAS results. Even the interview results with HODs, the results indicated that once the OPRAS forms are forwarded to the HR Department no further use has been noted by both the individual employees and the supervisors even the HODs.

**Table 7: OPRAS and Performance**

| Category of response | Frequency | Percent |
|----------------------|-----------|---------|
| Yes                  | 39        | 72.2    |
| No                   | 15        | 27.8    |
| Total                | 54        | 100.0   |

**Source: Field Survey 2013**

### 4.3 Staff Perception and Attitude towards OPRAS

The second objective of this study was to determine the perception and attitude of Lushoto District Council staff towards Open Performance Review Appraisal System and its implementation. The summary of the data on the question from the respondents is presented in table 8 below. The clues to perception were determined using the understanding on the background of OPRAS. 48.1% and 14.8% respondents indicated that OPRAS was a result of the reforms and therefore a government policy. The remaining respondents over 30% had an attitude that the OPRAS is an external an foreign exercise that is implemented due to failure in traditional appraisal systems in Tanzania and mostly pressurized by the development partners. The interviews on this aspect actually came from higher ranking officers and the general perception is passive. In other words OPRAS does not have adequate number of believers. The interview response from one HOD summarizes the perception

*“these things, OPRAS, Strategic Plan, and many others.... are only brought to us... we have no choice but to attempt them, because if you don’t, you get into some trouble... just think of all these papers... and then think of meeting all employees for appraisal meeting... don’t you see its impossible... who can be able to set objectives without knowing whether the funds will come, we have no resources, what we plan is not what we do, we operate on fire brigade mechanisms... OPRAS is wastage of time and resources and above all it’s simply a disturbance to workers within the government....*

**Table 8 The reason for Introduction of OPRAS**

| Category                                | Frequency | Percentage |
|-----------------------------------------|-----------|------------|
| Public service reform Program           | 26        | 48.1       |
| Failure of traditional appraisal system | 15        | 27.8       |
| Government policy                       | 8         | 14.8       |
| Pressure group                          | 5         | 9.3        |
| Total                                   | 54        | 100        |

**Source: Field Survey 2013**

The interview quotation above indicates a correlation with the data in table 9 below. 48.1% of the respondents see OPRAS as a formality and therefore wastage of time and resources. This justifies the uneasiness that happens when the process is initiated by the HR department. The HOD for human resources confirmed that the

coordination of the HODs for this exercise is one of the most demanding assignments of the department especially in relation to the departments that have many employees and a lot of units such as primary and secondary education, health and agriculture. For example the HR HOD said

*“teachers and their head teachers as well as education officers, do not want the regular OPRAS cycle, they want it to start in January and end in December.... the circular and regulations require OPRAS be started on July and end in June as per the government financial year”.*

This shows resistance to OPRAS and indicates passive attitude towards the process. 14% however indicated positive attitude towards OPRAS. These are representative of believers in change, prior planning, performance based evaluation and results based management.

**Table 9 Perception and Attitude of the staff towards OPRAS**

| Category    | Frequency | Percentage |
|-------------|-----------|------------|
| Formalities | 26        | 48.1       |
| Good        | 20        | 37.0       |
| Useful      | 8         | 14.9       |
| Total       | 54        | 100        |

**Source: Field Survey 2013**

The discussion above is concluded by a question on what respondents think should be done on OPRAS. Table 10 indicates clearly that the system should be improved or revamped. This is also another proof of improper perception and attitude on the current use and implementation of OPRAS within the Council.

**Table 10: The Respondents Views on OPRAS**

| Category                      | Frequency | Percentage |
|-------------------------------|-----------|------------|
| Should be improved            | 48        | 88.9       |
| Introduce a new way for OPRAS | 6         | 11.1       |
| Total                         | 54        | 100        |

**Source: Field Survey 2013**

Interview results also show that the majority point of view regard the introduction of OPRAS rooted from both public service reform program and failure of traditional

appraisal system or that establishment of the OPRAS was due public service reform program. Some also pointed out this was caused by the failure of traditional appraisal system in the public service. One respondent argue that *“this was expected after critical analysis in the working stations and contemporary mode in performance appraisal”*.

Interview also confirmed the view that the introduction of the OPRAS for public servants resulted from other minor factors. These include government policy and pressure from outside. The perception and attitude of the respondents towards OPRAS implementation in Lushoto District show that the whole process is just a formality. They view it this way as they don't see any impact of working out with this particular system. One that *“there is no promotion even if you accomplish everything needed from those forms... set objectives, goals... may be for our bosses who always win on our behalf”*. Employees expect substantial and immediate effects on the open performance appraisal something which is still a dream in their occupation.

Respondents to the interviews also considered OPRAS administration as good because it is open and two way traffic. This category takes this position significantly when the execution of the whole procedure is properly maintained. Some respondents comment that if well managed it helps to exercise participation, openness, and ownership of the performance appraisal. The participants are aware of the objectives clearly and trust while performing their daily routine. One respondent noted that *“it is true when someone knows exactly what to do at what extent and both him and his supervisor agree upon mutually, there must be efficiency at the highest degree of output”*.

On Usefulness interviews implied that OPRAS is useful as it helps to accomplish the desired goal and reduce laziness among the employees. The respondents in this category explained that when the public servants understand the boundaries of their performance they strive to maximize creativity which results into the high performance. In so doing, performance appraisal functions as a lever to excellence.

#### 4.4 Challenges experienced in the course of OPRAS implementation

In any performance appraisal implementation in an institution or organisation it is expected to meet some challenges. With this customary anticipation therefore, the third objective of this study was to enquire the challenges experienced in the course of OPRAS implementation in Lushoto District. The respondents reported in descending array that shortage of resources, lack of employees guidance, lack of trained managers on OPRAS, poorly selected performance indicators, lack of assistance, and poorly set performance standards as the main challenges in execution of OPRAS.

The shortage of resources with more than 83 percent responses as in table 11 is reported as the most outstanding challenge in Lushoto District Council.

**Table 11 Shortage of Resources**

| Category of Responses | Frequency | Percent    |
|-----------------------|-----------|------------|
| YES                   | 45        | 83.3       |
| NO                    | 9         | 16.7       |
| <b>Total</b>          | <b>54</b> | <b>100</b> |

**Source: Field Survey 2013**

Despite the fact that openness, trust, participation, ownership, opportunity to appeal and some clear set objectives are exercised in implementing OPRAS among the staff and the supervisors, the shortage of resources such as stationeries, fiscal capacity, and technical know how bring set back in the whole process. For instance, one respondent reported that “implementing the OPRAS is very challenging as there is no money, no enough forms... how can you do it smoothly”?

The second challenge identified was lack of employees’ guidance. This challenge constitutes more than 74 percent of the respondents.

**Table. 12 Lack of Employees Guidance**

| Category of Responses | Frequency | Percent |
|-----------------------|-----------|---------|
| Yes                   | 40        | 74.1    |

|       |    |      |
|-------|----|------|
| No    | 14 | 25.9 |
| Total | 54 | 100  |

**Source: Field Survey 2013**

This shows that there is also lack of training for performance appraisal in this district. When effective employees guidance is missing it leads to feeble participation, ownership, opportunity to appeal as well as mean setting of clear objectives in the working station. The employees feel that filling up the forms is just to accomplish the order from somewhere and not as the part of improving and maximizing the products within their industry. During interviews, ten respondents pointed out that “...we just fill in those forms (OPRAS) to satisfy our bosses and nothing more”. In this situation therefore, the expected performance appraisal is maltreated to both supervisors and the subordinates as the expected outcomes become null and void.

The third challenge identified was lack of trained managers on the OPRAS implementation.

**Table 13 Lack of Trained Managers on OPRAS**

| Category of Responses | Frequency | Percent    |
|-----------------------|-----------|------------|
| Yes                   | 35        | 64.8       |
| No                    | 19        | 35.2       |
| <b>Total</b>          | <b>54</b> | <b>100</b> |

**Source: Field Survey 2013**

The data in table 13 show that more than 64 percent of the respondents responded on the lack of enough knowledge on how to work out the forms for appraisal. At least some supervisors had a little understanding on OPRAS but very few normal employees know clearly how and what to do with OPRAS implementation. It is obvious that when there are few trained personnel or none at all, the whole process is at risk simply because the intended goal cannot be reached out of the ignorance of the participants. When supervisors were asked about the training they said that some seminars and workshops were partially run to the concerned participants so it might be the consequences. This challenge leads the employees into low spirits that obviously results participation and implementation of OPRAS seemed as the property of non belonging for improvement within their working stations.

There is cause and effect in implementing any process when dealing with personnel towards performance appraisal. The findings show that the three challenges identified above geared to other challenges that were pointed out by the respondents. The caused challenges were three which are poorly selected performance indicators, lack of assistance while working with OPRAS, and poorly set performance standards.

Poor selection of performance indicators constitute 52 percent of all responses (table 14). It is clear that when both supervisors and subordinates fail in selecting performance indicators the expected output cannot measure what is supposed to measure. At the end of the day therefore, the employees will find themselves failing to improve the whole cycle in performing towards the target goals.

**Table 14 Poorly Selected Performance Indicators**

| Category of Responses | Frequency | Percent    |
|-----------------------|-----------|------------|
| Yes                   | 28        | 51.9       |
| No                    | 26        | 48.1       |
| <b>Total</b>          | <b>54</b> | <b>100</b> |

**Source: Field Survey 2013**

Table 15 indicates that half of the respondents (50 percent) responded on the lack of assistance while executing OPRAS implementation. These were the employees staff who need most the assistance know how in the entire process.

**Table 15 Lack of Assistance**

| Category of Responses | Frequency | Percent    |
|-----------------------|-----------|------------|
| Yes                   | 27        | 50         |
| No                    | 27        | 50         |
| <b>Total</b>          | <b>54</b> | <b>100</b> |

**Source: Field Survey 2013**

However, the other half who did not respond on the lack of assistance was mainly the officials and managers (supervisors) who mostly need less assistance through the carrying out of the OPRAS commotion.

Poor setting of performance standards was the challenge identified by more than 48 percent of the respondents as in table 16. This is within the line of incompetent trained managers and supervisors on the OPRAS implementation.

**Table 16 Poorly Set Performance Standards**

| Category of Responses | Frequency | Percent    |
|-----------------------|-----------|------------|
| Yes                   | 26        | 48.1       |
| No                    | 28        | 51.9       |
| <b>Total</b>          | <b>54</b> | <b>100</b> |

**Source: Field Survey 2013**

An effective open performance appraisal needs clear and well set standards according to institution objectives at one hand and the code of conduct on the other. Lushoto District council seems to fail in setting standards that leads into failure to reach the expected goals implementing the OPRAS as well as failure to communicate the purpose of the performance appraisal.

All these challenges pointed out by the respondents minimise the characteristics and qualities of public service employees to be evaluated under the attributes of good performance in Lushoto District Council.

#### **4.5 Proposed Strategies to improve the performance of OPRAS**

The fourth objective was to propose strategies that if adopted can improve the performance of OPRAS in Lushoto District Council. This was intended to attain participatory views from the public service employees on how to improve the contemporary situation. From the interview and the questionnaires findings the respondents put forward the following strategies for the improvement of the implementation of the OPRAS achievement.

The following strategies were suggested for the improvement. As indicated in table 17 and Fig 5 the first strategy pointed out by more than 46 percent of the respondents was to prepare a realistic budget to meet the required resources. The provision budget for this activity is not enough at all hence the needed resources automatically

appear inadequate. It is genuine that with adequate resources the smooth sailing of the OPRAS activities can be attained.

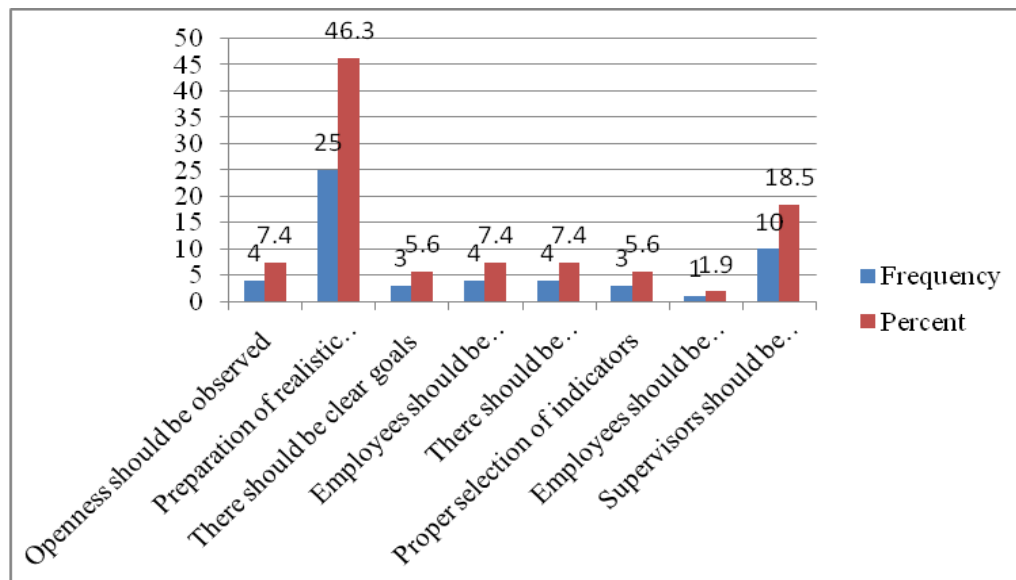
**Table 17 Suggestion to Overcome Challenges**

| Category of response                                                                     | Frequency | Percent |
|------------------------------------------------------------------------------------------|-----------|---------|
| Openness should be observed                                                              | 4         | 7.4     |
| Preparation of realistic budget to meet resources needs                                  | 25        | 46.3    |
| There should be clear goals                                                              | 3         | 5.6     |
| Employees should be supported by supervisor in the whole OPRAS process                   | 4         | 7.4     |
| There should be integration between individual objectives with those of The organization | 4         | 7.4     |
| Proper selection of indicators                                                           | 3         | 5.6     |
| Employees should be directed to meet performance standard                                | 1         | 1.9     |
| Supervisors should be trained to know how to administer OPRAS properly                   | 10        | 18.5    |
| Total                                                                                    | 54        | 100.0   |

**Source: Field Survey 2013**

The second clue to improve the situation that was suggested by more than 18 percent of the respondents was for the supervisors to be trained to know how to administer OPRAS properly. As it was pointed as the challenge in implementing the whole activity, the respondents suggested the central key that the supervisors will be well equipped on the knowledge know how. The training for the operational supervisors will make them ready to solve others challenge such as setting of clear goal at the beginning of the process and selection of indicators. The respondents comment that when these are taken care the smooth OPRAS execution will be maintained by both supervisors and subordinates on the one side and the organization on the other. Furthermore the performance appraisal will be refined as these are the central components within employees and organization evaluation.

**Fig. 5 Suggestions to Overcome Challenges**



**Source: Field Survey 2013**

The third strategy recommended for the improvement of the performance of OPRAS in Lushoto District was in two fold with the same percentage. These centre generally on individuals/personnel who are directly involved in performance appraisal. The respondents proposed that there should be integration between individual objectives with those of the organization as well as to observe openness in every step of the OPRAS endeavor. These strategies were pointed out by more than 7 percent of the respondents. It is apparent that participation of the personnel in any organization towards the common goal yields the desired output. The respondents insist on the entire administration dealing with performance appraisal to take in consideration that when the personnel aim together they reach further. In so doing the whole process will generate the desired goal and objectives.

## **CHARTER FIVE**

### **CONCLUSION AND RECOMMENDATIONS**

#### **5.0 Introduction**

This chapter summarizes the findings generated and analysed and gives the conclusion and recommendations on the challenges implementation of Open Performance Review and Appraisal System District Councils, taking the experience of Lushoto District Council. Part 5.2 is allocated for recommendations and suggestions for further research.

This study aimed at exploring OPRAS the challenges of implementation in District Councils higher taking Lushoto District Council as a case study. The study aspired to examine how OPRAS is conducted by human resource professional managers, staff administrative staff, viewing the effects of proper implementation and challenges of OPRAS in relation to their tasks, ranks and roles.

Various studies on OPRAS put forward that OPRAS contributes to the creation of competitive advantage through its effective implementation and not partial implementation. When integrated with the proper articulation of strategic plans, employees' participation, trust, proper performance feedback, it leads to a competent career development as the findings revealed that OPRAS encourages good performance by the Lushoto District Council employees. This enhances the long-term competitive advantage of organization such as Lushoto District.

#### **5.1 Conclusions**

The findings from this study show that the status of OPRAS implementation in Lushoto District Council is comparatively practised. The practice is exercised yearly for every personnel under the supervision of the heads of individual institution and the entire organisation within the district. The respondents reported to face some obstacles in various stages of executing the forms such as feeling of isolation in selecting and setting of the objectives among others.

This study found out that the perception and attitude of the public employees on the OPRAS implementation in Lushoto District were good but needs to be improved to meet the intended goal. Although some of the respondents view the administering of OPRAS as formalities due to few weaknesses, it is evidently that the enhanced efforts to improve the whole procedure of managing it would positively familiarise the public servants.

Furthermore the respondents demonstrated that the whole process of OPRAS in Lushoto is confronted with a number of challenges. The common challenge pointed out by the half of the respondents was preparation of unrealistic budget to meet the required resources. It seemed that budget is the fundamental setback which results into other minor challenges in the study area. The other challenges were for the supervisors' lack of knowledge knows how on administering the OPRAS properly. This brings misunderstanding to the whole process of performance appraisal for both supervisors and subordinates in the organisation.

Lack of integration between individual objectives and that of an organisation was another challenge which needs consideration in implementing and evaluating performance among public employees. This goes hand in hand with lack of openness among the personnel, proper selection of indicators that guide the evaluation for performance appraisal within the organisation.

## **5.2 Recommendations and Suggestions for Further Research**

This study has come up with the challenges of administering OPRAS in district councils in Tanzania specifically in Lushoto District Council. It is therefore recommended that the government and supervisors need to ensure that the allocation of budget for OPRAS activities in district councils is realistic enough to accommodate the entire process of its implementation. In the case of insufficiency, there should be strategic plan to cover the fiscal requirement to boost the available amount. The argument that there is no enough money to meet the required resources can be solved with stake holders by creating a participatory awareness on how to improve the needed amount. In so doing performance appraisal would be promising.

It is highly recommended that integration between individual objectives with those of the organization should be taken into consideration. Through common setting of objectives in both parties would enable to meet the target goals which will act as the mirror towards the improvement of both individual and organization vision and mission. Also this is the opening gate to the setting of clear goals and proper selection of indicators.

Supervisors need to ensure that they have enough knowledge on how to administer OPRAS activities properly. As subordinates depend to be guided on how to execute the forms, the only way to do it better is for their supervisors to be well equipped so that they will be in a position to impart that knowledge to others. Seminars or workshops can be conducted to fulfil this need. The know how of the supervisors would help to pave the way to the required standards on the performance of an individual employee, the group and the community at large.

Furthermore it is recommended that openness should be maintained through out the OPRAS process. This pursuit is needed to be as open as possible between a supervisor and the supervisee from the beginning to the end. It is only openness that will bring fair and just evaluation to the parties.

Openness would also lead to rational appraisal and promotion among the public employees. In so doing, this would act as motivation to the workers in their occupation and lead to effective accomplishment of the expected outcomes. When openness is maintained it creates punctuality to both employer and employee for balancing the two sides in performance appraisal.

This study recommends further research be undertaken in the following areas. This study noted that the basic challenge in implementing OPRAS is lack of fiscal resources; hence the mechanism on improving the distribution of fiscal source realm for the implementation of OPRAS activities need to be studied to make smooth performance appraisal for the public servants.

## REFERENCES

- Aguinis H (2007). Performance management. Printice Hall. London.
- Archer North & Associates (2006). *Performance Appraisal* [online] available from. Available at: <http://www.performance-appraisal.com/intro.htm>, retrieved on Sunday, 10th June, 2012.
- Armstrong, M (1999). *A Handbook of Human Resource Management Practice*. London: Kegan Page.
- Bana, B. A. (2007). "Developing Institutional and Human Capacity for Public Sector Performance in Tanzania: Experiences and Challenges". A paper Presented at National Consultative Workshop on Capacity Development in Tanzania organized by UNDP/PO-PSM at Courtyard Hotel, Dar es Salaam. 14th-16th August.
- Bana, B. A. (2008). "The Applicability of Human Resource Management Model in the African Public Services: Inherent Challenges and Opportunities". A Paper Presented at the 30th AAPAM Annual Roundtable Table Conference held in Accra, Ghana 6th-10th October.
- Bailey, K.D. (1994). *Methods of Social Research*. 4th edition. New York: Free Press.
- Bell, J. (1987). *Doing Your Research Project: A Guide for First-Time Researchers in Education and Social Science*. Milton Keynes: Open University Press.
- Cokins G (2004). *Performance management. Finding the missing pieces and closing the intelligence gap*. John Wiley and Sons. Australia.
- ECA (2004). "Public Sector Management Reforms in Africa: Lessons Learned". Available at: [http://www.uneca.org/publications/dpmd/public\\_sector\\_mangt.pdf](http://www.uneca.org/publications/dpmd/public_sector_mangt.pdf), retrieved on Friday, 8<sup>th</sup> June 2012.
- Fink, A. (1995). *The Survey Handbook*. Thousand Acres, California: SAGE Publications.
- Foddy, W. (1993). *Constructing Questions for Interviews and Questionnaires: Theory and Practice in Social Research*. Cambridge: Cambridge University Press.
- Harter, C. (1980). *Doing a Literature Review: Releasing the Social Science Research Imagination*. London: SAGE.

- Heather, P. and Stone, S. (1984). Questionnaires. CRUS Guide Number 5. Sheffield: Centre for Research on User Studies (CRUS).
- Gibson, C. L. (2004). *The Appraisal Opportunity, Performance Appraisals*. Barnes & Noble Publishing New York.
- Kothari, C. B. (2004). *Research Methodology: Methods and Techniques*, New Age International Printers, New Delhi.
- Lansbury R (1988). Performance Management. A Process Approach. Hum. Resour. Manag. Australia, 46-55.
- Longenecker CA (1999). Creative Effective Performance Appraisals. Ind. Manag., 18-23.
- Norgaard, R. B. (1994). *Development Betrayed—The End of Progress and a Co-evolutionary Revisioning of the Future*, New York, Routledge.
- Mullins, L.J. (1996). *Management and organizational behaviour*. London: Pitman Publishing.
- Murphy, K., and J. Cleveland (1995). *Understanding Performance Appraisal: Social, Organisational, and Goal Based Perspectives*. Thousand Oaks, CA: Sage.
- Nyamoga J.L (2004). *An Assessment of Factors Affecting the Implementation of Open Performance Appraisal System in Hospitals a case study of Kilimanjaro Christian Medical Centre*. A dissertation for requirements of Masters Degree in Public Health Management of Mzumbe University.
- Simtengu E.K (2004). *A Review of Open Performance Appraisal System the case study of Ministry of Finance*. A dissertation for requirements of Masters Degree in Public Administration of Mzumbe University.
- Vance, R. J. (2006). *Employee engagement and commitment: A guide to understanding, measuring and increasing engagement in your organization. Society for Human Resource Management (SHRM) Foundation Effective Practice Guidelines*.

- Weinstein, H. (2004). "An Introduction to ARM's Results Management and Modeling Capabilities." [online] Available at <http://www.cherniaksoftware.com/homepage/ARM/Article/ARM.Article.Full.pdf> retrieved on Monday 4th June, 2012.
- Yin, R. K. (1984). Case study research: Design and methods. Newbury Park, CA: Sage
- Zairi, M. (2003). *Performance Excellence-A Practical Handbook*, e-TQM College Publishing House, Bradford United Kingdom.
- Bacal, R (1999) Performance Management, New York: Mc Graw-Hill.
- Rao, T. V. (2004) Performance Management and Appraisal Systems: HR Tools for Global Competitiveness, New Delhi: Response Books
- Kandula, S. R (2006) Performance Management: Strategies Interventions and Drivers, New Delhi: Prentice Hall
- Armstrong, M (1997) Armstrong's Handbook of Human Resource Management Practice 11<sup>th</sup> ed, London: Kogan Page
- Luthans, F (2005) Organizational Behavior, 10<sup>th</sup> ed, New York: Mc Graw Hill Irwin
- Khanka, S.S. (2000) Organisational Behaviour, New Delhi:-S Chand & Company Ltd
- Prasad, L, M (2000) Organisational Behaviour New Delhi, Sultan Chand & Sons Educational Publishers
- Adam, J. and Kamuzora, F. (2008) Research Methods for Business and Social Studies Morogoro, Mzumbe Book Project
- Public Service Act No. 8 of 2002
- Dotto E (2010), Effectiveness Of Open Performance Review and Appraisal System in Public Institutions of Tanzania: A case of Tanzania Public Service College (TPSC), Mzumbe University thesis
- Kibibi, S. K. (2010): An Assessment on implementation of OPRAS in the Public Service in Tanzania: The Case of Presidents's Office, Public Service Management, Mzumbe University thesis.

## **APPENDICES**

### **Appendix 1**

#### **A QUESTIONNAIRE FOR THE STAFF OF LUSHOTO DISTRICT COUNCIL**

I am Mtoo Mwanaamani a student at Mzumbe University studying for the degree of Master of Public Administration (MPA) in the 2011/2013 academic year. The purpose of this questionnaire is to get a better understanding on the challenges of administering OPRAS in District Councils in Tanzania, Lushoto District Council as a case. The result of this questionnaire will help to suggest ways of proper administration of open performance review and appraisal system in Lushoto District Council. Your own experience is an important input to identify such improvements. Most questions focus on how OPRAS is actually practiced in Lushoto District Council and challenges which are encountered in administering opras. Therefore your frank answers to the questions are needed to secure frank information. The completed questionnaires are treated as confidential and will only be used by the researcher for academic purposes.

#### **PLEASE ANSWER THESE QUESTIONS.**

1. Gender

(a) Female (b) Male [       ]

2. What is the name of your department or section?

.....  
.....

3. What is your level of education

- a). Primary school (colonial)
- b). Secondary School
- c). Advanced Secondary school
- d). Certificate
- e). Diploma
- f). Bachelor [       ]

- g). Post graduate diploma
  - h). Masters Degree
  - i). PhD
  - j). Other (please specify) .....
4. What is your current position .....
5. What is your working experience?
- a). 1 to 5 years
  - b). 6 to 10 years
  - c). 11 to 15 years
  - d). 16 to 20 years
  - e). 21 years and above [      ]
6. What is your cadre?
- a). Administrative staff [      ]
  - b). Technical staff
  - c). Supporting staff
  - d). Others (please specify) .....
7. Do you know what OPRAS is?
- a) Yes
  - b) No [      ]
8. Where have you heard about OPRAS?
- a). In the seminar
  - b). In your current work station
  - c). In your previous work station (mention where) .....
  - d). In other places (please specify) ..... [      ]
9. Have you ever fill in the OPRAS forms since you have been employed in Lushoto District Council?
- a) Yes
  - b) No [      ]
10. If yes, how many times did you fill in the OPRAS forms?
- a) Once
  - b) Twice
  - c) Every year

- d) Every after two years
- e) Every year of promotion
- f) Every time of pressure from top management
- g) Other time (specify) ..... [     ]

11. How is OPRAS used?

- a). Just filling in the forms?
- b). Measuring performance?
- c). Setting objectives?
- d). For promotions? [     ]
- e). For discipline?
- f). For nothing?

12. Do you think OPRAS improves performance?

- a) Yes
- b) No [     ]

13. If yes how?

- a). Because of filing in forms?
- b). Because of the objectives set?
- c). Because of the assessment?
- d). Because of the fear for promotions?
- e). Other reasons? [     ]

14. If no, why?

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

15. Why do you think OPRAS was introduced?

- a) Government Policy
- b) Pressure group (donor community) [     ]
- c) Public Service Reform Programme
- d) Failure of traditional appraisal system

16. What is your opinion about OPRAS?
- a). Good
  - b). Bad
  - c). Useful
  - d). Useless
  - e). Formality
  - f). No idea [      ]
17. What are your views on the way Open Performance Review and Appraisal System is administered in your council?
- a). Should be improved [      ]
  - b). Should be left the way it is
  - c). Should be abandoned and new way of administering introduced
18. Does the way opras is administered in Lushoto District Council help to show the really performance image?
- a) Yes
  - b) No [      ]
19. Are you satisfied with the way Opras is administered in Lushoto District Council?
- a) Yes
  - b) No [      ]
20. Are there any problems in administering OPRAS in Lushoto District Council in general?
- a) Yes there are problems to some extent
  - b) Yes there are problems to a great extent [      ]
  - c) No there are no problems
21. Can the following be traced as challenges in administering OPRAS?
- a). Lack of resources      Yes [      ]      No [      ]
  - b). Lack of assistance from the immediate supervisor during the process of filing the forms      Yes [      ]      No [      ]
  - c). Poor setting of performance standards      Yes [      ]      No [      ]
  - d). Failure to integrate individual objectives with those of the organization      Yes [      ]      No [      ]

e). Poor selection of indicators Yes [ ] No [ ]

f). Lack of employees guidance to meet performance standards

Yes [ ] No [ ]

g). Lack of training to managers who administer opras

Yes [ ] No [ ]

22. Please list three major weaknesses of OPRAS in Lushoto District Council.

.....  
.....

23. What suggestions do you put forward to ensure that the challenges of administering OPRAS in Lushoto District Council are eradicated?

a). openness should be observed

b). preparation of realistic budget to meet resources needs

c). there should be clear goals

d). employees should be supported by supervisors in the whole opras process

e). proper setting of performance standards

f). there should be integration between individual objectives with those of the organization

g). proper setting of targets [ ]

h). proper selection of indicators

i). employees should be directed to meet performance standards

j). Supervisors should be trained to know how to administer opras properly

***I appreciate the time spent to fill in this questionnaire.***

***Thank you for your cooperation.***

## **Appendix II**

### **Structured Interview guide.**

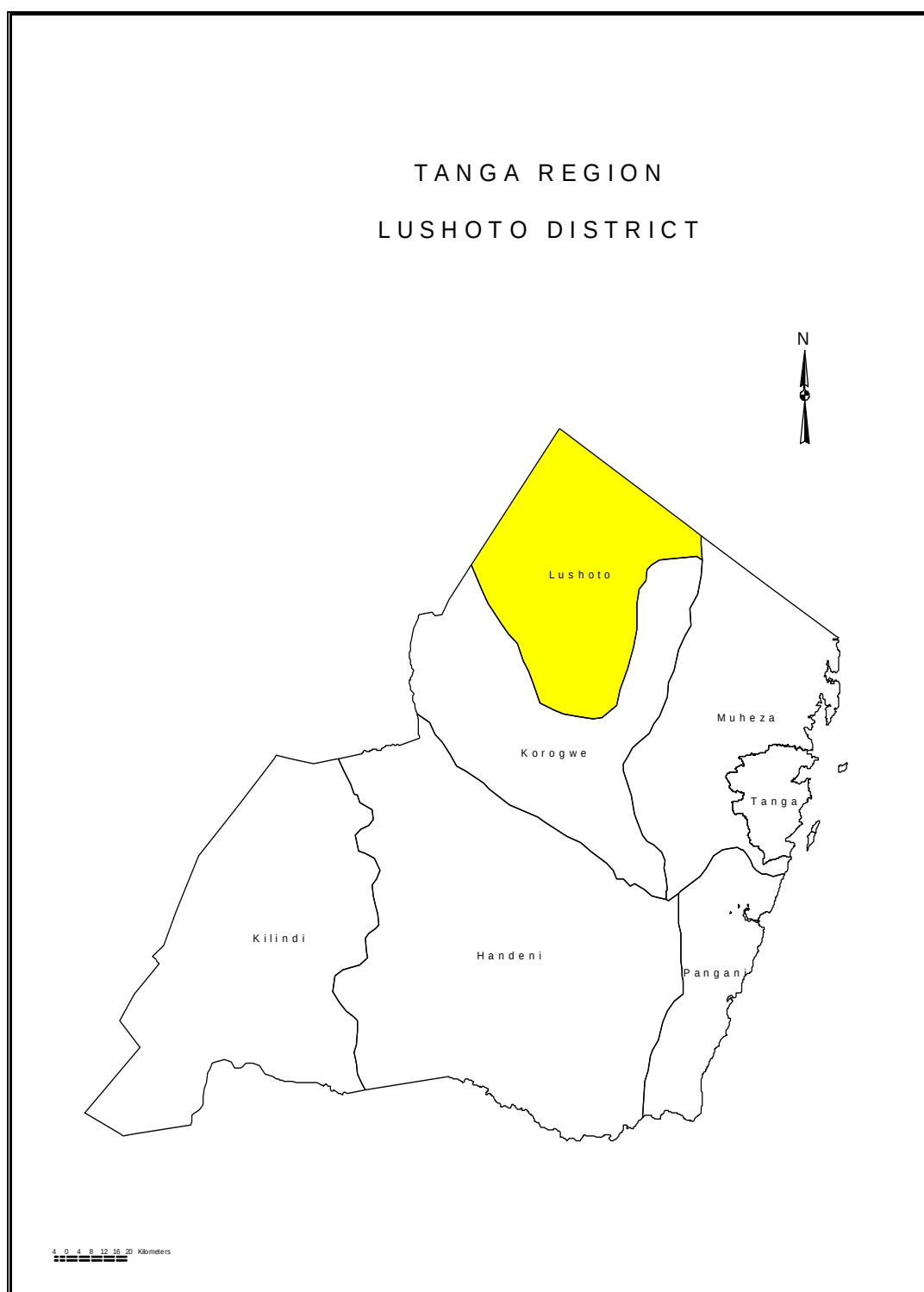
Chairman of the District Council, Director and Heads of Department

1. Please explain what open performance review and appraisal system means and its benefits in Lushoto District Council..
2. What are your views on OPRAS?
3. Do you like OPRAS?            [YES]            [NO]
4. What are the strengths of the System?
5. What are the weaknesses of the System?
6. Does OPRAS contribute in the development of the council? [YES]            [NO]
7. In which ways has your council benefited from execution of the System?
8. What are the major hindrances / challenges in the process of administering of OPRAS in your council??
9. Please suggest the appropriate measures to be taken to overcome the challenges when administering OPRAS?

***Thank you for your cooperation.***

### Appendix III

Map 1 Lushoto District, Tanga Region (map to be redrawn)



### Work Plan

Researchers intended to conduct the study from July 2012 to February 2013, unfortunately due to other factors the time table reached September 2013. Activities performed and their durations are indicated in figure below:

| <b>Month /Activity</b>           | July 2012 | August 2012 | September 2012 | October 2012 | November 2012 | December 2012 | Jan. 2013 | Sep. 2013 |
|----------------------------------|-----------|-------------|----------------|--------------|---------------|---------------|-----------|-----------|
| <b>Literature Review</b>         |           |             |                |              |               |               |           |           |
| <b>Developing Research Tools</b> |           |             |                |              |               |               |           |           |
| <b>Testing Research Tools</b>    |           |             |                |              |               |               |           |           |
| <b>Data Collection</b>           |           |             |                |              |               |               |           |           |
| <b>Data Coding and Analysis</b>  |           |             |                |              |               |               |           |           |
| <b>Report Writing</b>            |           |             |                |              |               |               |           |           |
| <b>Sending work to editor</b>    |           |             |                |              |               |               |           |           |
| <b>Submission</b>                |           |             |                |              |               |               |           |           |

## Budget

### Introduction

This study was conducted by the researcher and two research assistants in Lushoto District Council. The distribution and breakdown of estimated costs are as shown below:

The researcher and assistant researchers collected data for 17 days. They got full per diem

Researcher: Per Diem for 25 days@ 65000/=..... Tsh. 1625000/=

Two research assistants (: Full Per Diem for 25 days@ \* 2 \* 65,000=.....  
Tsh. 3250000/=

Stationeries ..... Tsh. 451,000/=

Data analysis .....300000

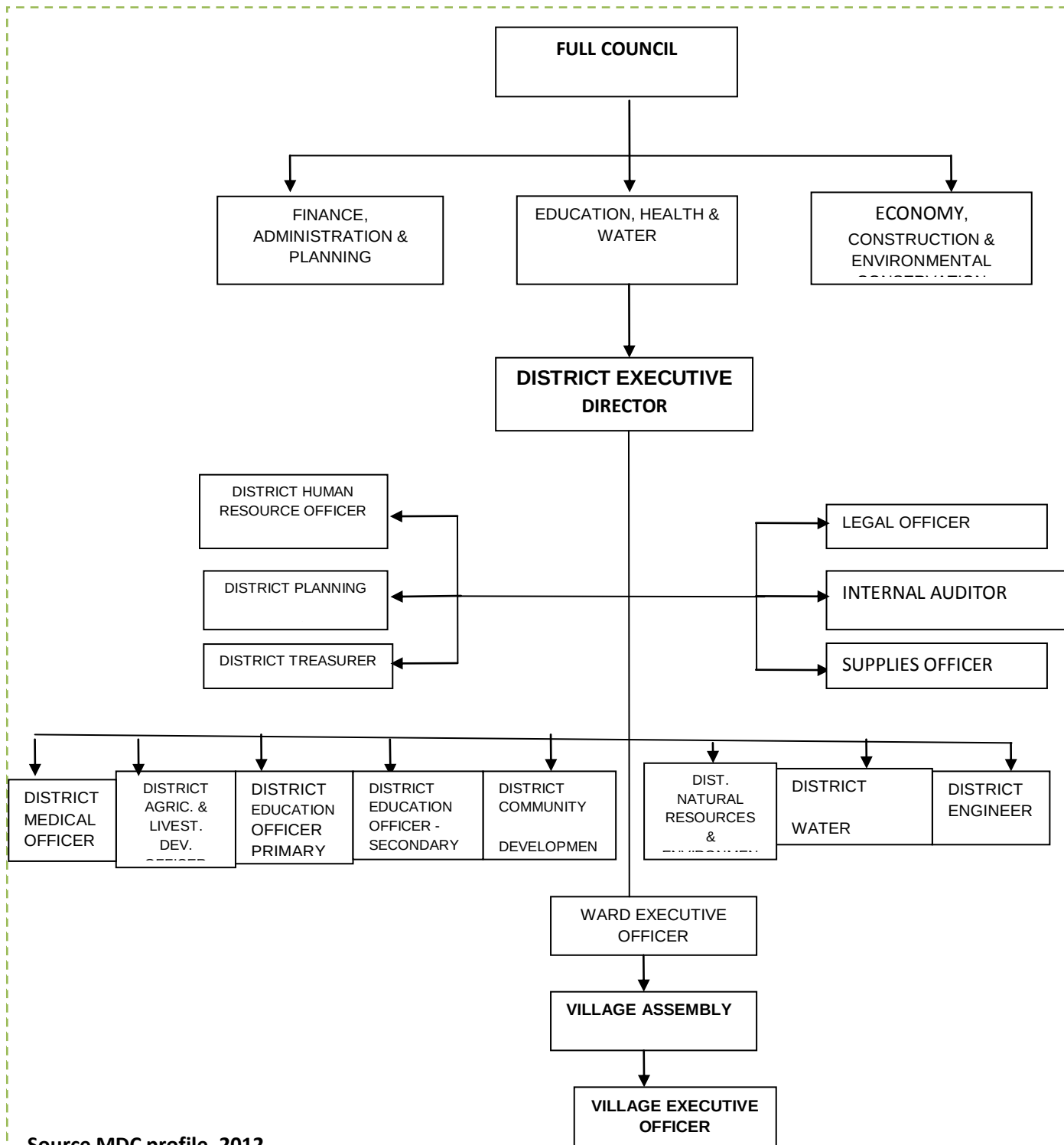
Printing Cost ..... 500000/

Editing cost ..... 100,000/

Binding ..... 500000/=

**Grand Total..... Tsh. 6726000/=**

## Organizational structure of Lushoto District Council



Source MDC profile, 2012