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**Master's Thesis of Public Administration**

**Research on the Introduction of Open  
Performance Review Appraisal  
System**

**A Case Study of Tanzania Government Executive  
Agencies (2008-2012)**

**업무평가공개제도 도입에 관한 연구  
탄자니아 정부기구에 관한 사례연구(2008-  
2012)**

**August, 2014**

**Graduate School of Public Administration**

**Seoul National University**

**Public Administration Major**

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# **Research on the Introduction of Open Performance Review Appraisal System**

**A Case Study of Tanzania Government Executive  
Agencies (2008-2012)**

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## **ABSTRACT**

# **Research on the Introduction of Open Performance Review Appraisal System**

**A Case Study of Tanzania Government Executive  
Agencies (2008-2012)**

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This research aimed at investigating the effectiveness of implementation of Open Performance Review Appraisal System (OPRAS) in ten Government Executive Agencies namely: Registration, Insolvency and Trusteeship Agency - (RITA), Occupational Safety and Health Agency (OSHA), Tanzania Public Service College - (TPSC), National Food Reserve Agency – (NFRA), Government Procurement Services Agency - (GPSA), National Bureau of Statistics – (NBS), Agricultural Seed Agency - (ASA), Tanzania National Roads Agency – (TANROADS), Tanzania Building Agency - (TBA) and Taasisi ya Sanaa na Utamaduni Bagamoyo – (TaSUBA).

Both purposive and random sampling methods were employed to select the sample population for the study. Survey was conducted and data collected through questionnaires and review of both primary and secondary data was applied.

The study finds that implementation of OPRAS in Agencies is not effective compared to the efforts by the Government. Many Agencies started implementation late and OPRAS results were scantily used for making

various administrative decisions. Furthermore, majority of employees' level of understanding on OPRAS is relatively low although most of them have attended training on OPRAS. There is weakness on the adherence to the key principles of OPRAS as stipulated in the OPRAS guideline. Furthermore the study revealed that employees are not satisfied with OPRAS.

Moreover, the study analyzed challenges which impeding the effective implementation of OPRAS. It includes inadequate resources, poor linkage of OPRAS and administrative decisions, insufficient understanding of employees inadequate leadership commitment and lack of reward and punishment system.

The study recommended several actions to be taken for effective implementation of OPRAS in executive agencies: establishment of reward system guide line which will link OPRAS and rewards system, sustainable OPRAS training plan to employees is needed in Agencies to expand the knowledge of employees on OPRAS and also refresher training is needed to employees, strong leadership commitment, PO-PSM, PSC and HR departments to strengthen monitoring of OPRAS implementation in Agencies and punishment should be given to defaulters of the system.

**Key words:** OPRAS, performance appraisal, policy implementation

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## **ABBREVIATIONS AND ACRONYMS**

EAs	Executive Agencies
PMS	Performance Appraisal System
OPRAS	Open Performance Review Appraisal System
PO-PSM	President’s Office –Public Service Management
PSC	Public Service Commission
PA	Performance Appraisal
PSRP	Public Service Reform Programme
CSRP	Civil Service Reform Programme
HR M	Human Resource Management
MBO	Management By Objectives
TPSC	Tanzania Public Service Collage
NBS	National Bureau of statistics
TaSUBA	Taasisi ya Sanaa na Utamaduni Bagamoyo
RITA	Registration, Insolvency and Trusteeship Agency
GPSA	Government Procurement Services Agency
NFRA	National Food Reserve Agency
ASA	Agricultural Seed Agency
OSHA	Occupational safety and Health Agency
TBA	Tanzania Building Agency
TANROADS	Tanzania National Roads Agency
PIM	Performance Improvement Model
SP	Strategic Plan
MTEF	Medium Term Expenditure Frame work

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## **1. CHAPTER ONE: INTRODUCTION**

### **1.1. Background: Public Service Reforms In Tanzania**

Tanzania's public service reform has a long and distinguished history. At the time of independence (1961) up to late 1980s the reform worked on changing the public service from that designed to serve colonialism to the of building of human resource capacity to respond to the needs of the new nation. By the 1990s there was a shift towards a free-market economy (where the private sector was to serve as the engine of growth). Hence the need for a corresponding structure and size of the public service.

Civil Service Reform Programme (CSRP) was implemented between 1993 and 1998. It was largely concerned, at that time, with the affordability of the Civil Service. It focussed on Cost containment and restructuring of the Government. CSRP had some achievements but the achievements were not translated into improved service delivery to the public.

In order to address the challenges that arose from implementation CSRP, the Government undertook major policy reforms in the area of Public Service Management and came up with the Public Service Management and Employment Policy (PSMEP) { 1999} and Medium Term Pay Policy{1999} which was to be implemented through the Public Service Reform Programme (PSRP).

PSRP I was launched in the year 2000. The reforms switched from a focus on cost containment to a focus on improving service delivery it aimed to improve service delivery by adopting performance management systems.

PSRP was implemented in three phases series , Phase 1 focused on Installation of Performance Management Systems {2000 – June 2007} , Phase 2 aimed at Instituting a Performance Management Culture {July 2007 – 2012 and Phase 3 its thrust is on Instituting Quality Improvement Cycles {2012- to date}

## **1.2. Statement of the Problem**

From July 2004 OPRAS was officially introduced as a main tool for measuring the performance of employees in the public service and its results have to be used for making various administrative decisions on promotions, rewards, training, bonus, increments, sanctions etc. Since its introduction capacity building measures by the President's Office-Public Service Management (PO-PSM) to all institutions including Executive Agencies have been carried out comprehensively. However, a quick look at OPRAS shows a mismatch between its implementation against the investment poured in by the government and it is not clearly known if appraisal results are effectively used in making various administrative decisions. In 2008 OPRAS incorporated in to the Public Service Act No. 8 of 2008 and became statutory. It was expected that after being mandatory the implementation of OPRAS would have been more effective, however anecdotal evidence shows OPRAS is not effectively implemented across the Executive Agencies as intended and it is not clear if OPRAS results are used in making administrative decisions and if in the course of implementation they adhere to the specified key principles. Therefore, this study seeks to examine to what extent OPRAS is implemented in Executive Agencies, by looking at the system if it is fully operationalised in identified EAs and if they use this system in accordance to the key standard as stipulated in OPRAS guide line, to find out if OPRAS appraisal results are used in making administrative decisions (HR decisions) and employees perception towards this system and subsequently identifying challenges impeding implementation of OPRAS and finally providing constructive recommendations.

## **1.3. Research Questions**

In the course of conducting research, researcher was guided by the following key questions:

- Is OPRAS utilized by Executive Agencies as performance appraisal tool?
- Is OPRAS results used in making administrative decisions e.g. promotions, rewards, bonus, increments, sanctions etc?
- Is OPRAS implemented according to the key principles stated in OPRAS guideline?
- What is the perception of employees towards OPRAS?
- What are the challenges facing OPRAS?

#### **1.4. Objectives of the Study**

##### **1.4.1. General Objective**

The general objective of the study was to investigate the effectiveness of the implementation of OPRAS in Executive and identifying challenges facing the implementation of this system.

##### **1.4.2. Specific Objectives**

The specific objectives of the study was to explain the status of the implementation of OPRAS in EAs by looking at usage of its results in making administrative decisions, compliance with OPRAS guideline, employees perception and factors behind the disparities in implementation effectiveness.

#### **1.5. Significance of the Study**

This study seeks to answer related questions regarding the effective implementation of OPRAS in Executive Agency in Tanzania.

It is not conclusively known to what extent OPRAS is executed across the Executive Agencies and application of OPRAS results. Anecdotal evidence indicates that the implementation of OPRAS by EAs is unsatisfactory and also there is poor link between OPRAS results and administrative decisions but it is not known conclusively to what extent.

Therefore, this study will help to substantiate the extent of implementation of OPRAS in EAs and explain the challenges facing OPRAS and give out recommendations. The study will add literature review to those who are doing similar studies on performance appraisal system.

### **1.6. Methodology of data collection and scope of the study**

A descriptive research methodology was used for this study. A survey was administered to a selected sample from a specific population identified by the researcher. Survey is commonly applied to a research methodology designed to collect data from a specific population, or a sample from that population, and typically utilizes a questionnaire or an interview as the survey instrument (Robson, 1993).

#### **1.6.1.Data collection method**

Both primary and secondary sources of information have been considered as data collection process. Primary data was collected through questionnaire. Secondary data from published literature, research papers and various reports. Qualitative technique was used to analyse collected data.

#### **1.6.2.Data Processing, Analysis and Presentation**

In analyzing data, this study used qualitative method of data processing and analysis with the aid of Excel programme. The descriptive statistical techniques such as tables, graphs and percentages were used to summarize and organize data into meaningful forms.

#### **1.6.3.Scope of the Study**

This study will be carried out in ten Executive Agencies namely: Registration, Insolvency and Trusteeship Agency-(RITA), Occupational Safety and Health Agency (OSHA), Tanzania Public Service College-(TPSC), National Food Reserve Agency – (NFRA), Government Procurement Services Agency-

(GPSA), National Bureau of Statistics – (NBS), Agricultural Seed Agency-(ASA), Tanzania National Roads Agency –(TANROADS), Tanzania Building Agency-(TBA) and Taasisi ya Sanaa na Utamaduni Bagamoyo – ( TaSUBA),

### **1.7. Thesis Structure**

The paper is organized into seven chapters. The first chapter is composed of the introduction, research purpose, research questions and methodology, whilst the second chapter consists of overview of performance appraisal in Tanzania, Chapter three is literature review on the subject matter. Chapter four in theoretical frame work, chapter five is an overview of methodology employed for the research. Chapter six presents an empirical analysis of the main findings. Chapter seven presents summary of key finds, conclusion and recommendations drawn from the analysis of the main chapters.



## **2. CHAPTER TWO: PERFORMANCE APPRAISAL IN TANZANIA**

### **2.1. Overview of Performance Appraisal in Tanzania Public Service**

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 considered not 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.

OPRAS is a performance management system among others that has been installed in the Tanzanian Public Service for the purpose of enhancing accountability, both at the individual and organizational level; improve performance and subsequent service delivery to the public.

The OPRAS requires all public servants and their Managers to develop their personal objectives based on strategic planning. To develop the individual performance plan both the supervisor and subordinate have to agree on performance objectives, performance targets, performance criteria and required resources in order to achieve the set targets and objectives.

Moreover there must be midyear review, which is important to keep track of the employees' progress towards achieving goals.

## 2.2. The Aim of Introducing OPRAS in Tanzania 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. OPRAS ensures there is continuous communication between supervisors and employees; and understanding on the linkage between organizational objectives and individual objectives. OPRAS has the following unique features that can be differentiated from the previous confidential appraisal system:

**Openness;** allows both employee and employer discuss and agree on the organizational and individual objectives to be achieved during the year

**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, and

**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.

### **3. CHAPTER THREE: LITERATURE REVIEW**

This chapter focus on the literature review the researcher under went for facilitating the writing of this research. The major concepts were presented in different perspectives to accrue diverse views from scholar on performance appraisal conception. In performance appraisal paradox review of literatures describing the meaning of performance appraisal, and why is important to evaluate performance of employees was deeply analysed and showing in detail the application of information obtained from appraisal in making administrative decisions in organisations which is the major focus of this study. In performance appraisal approaches two major approaches in performance appraisal: traditional and modern approaches were discussed, and different theories related to the study were elaborated under theoretical frame work and last part is explaining different key concepts used in the study and conceptual frame work.

#### **3.1. Performance Appraisal Paradox**

For more than fifty years, performance appraisal has been firmly outlined as a personnel management activity aimed at measuring employees performance, can be traced to Taylor's pioneering time and motion studies (Grote.1996). Most likely, the early 1800s marked the beginning of performance appraisals in industry with Robert Owens's use of "silent monitors" in the cotton mills of Scotland (Danielle et al.1998)

According to Rasch (2004) the process of performance appraisal is designed to address problem of behaviors and there is an underling assumption that all employees in an organization must undergo this appraisal to address the problem. Another prominent personality in the field of Human resources, E. Flippo (2000) in his research paper regarding HRM he defined performance

appraisal is the systematic, periodic and an impartial rating of an employee's excellence in the matters pertaining to his present job and his potential for a better job. Dulewicz (1989) appraisal, it seems, is both inevitable and universal. In the absence of a carefully structured system of appraisal, people will tend to judge the work performance of others informally and arbitrarily. On the usefulness of performance appraisal different scholars agreed that there must be a link between results obtained from appraisal in making administrative decisions.

Fredrick et al (1985) appraising the performance of individuals and organizations in a basic task of managing. It is impossible to make intelligent managerial decisions about individuals without measuring their performance in some manner. Top management is responsible for the final policy decisions on the methods to be utilized and rewarding procedures. Appraisal has generally been used for administrative purposes, such as promotions and salary increases, as well as for individual development and motivation. Appraisal information is also used in employee selection and placement, personnel planning and organization planning.

Scholtes (1999) observes that despite the various uses of performance appraisal such as its uses as a valuable and essential tool in organization improvement, it provides a comprehensive overview of the practices and key components in performance appraisal processes such as feedback, learning, and teamwork in the performance appraisal process.

Performance appraisal system providing data for valid and reliable decision about utilization of human resources (e.g. promotions, transfers, terminations and so on) so that the decisions can be based on genuine merit, and also providing data for equitable decision about compensation so that these decisions can be based on what is deserved. (Robert et al. 1977)

Furthermore most large organizations have job posting programs, where jobs to be filled advertised within the organization and employees can apply for them. Appraisal information in the file is often used to assess an employee's

readiness for a higher level position. Also use performance appraisal information to make decisions about retention, firing and source to analyze training needs. Clear documentation of marginal performance is necessary, and performance appraisal is considered one of the best ways to gather such information. (Patricia.1984).

Patricia (1984) summarizes how the law and performance appraisal interrelate. Basically, the law requires that performance appraisal be job related and valid, based on a thorough job analysis, standardized for all employees, not biased against race, color, sex, religion, or nationality, not based on subjective or vague criteria and performed by people who have adequate knowledge of the person and the job.

Jacobs et al (1980) provide a meaningful framework for describing the numerous types of appraisal criteria. They describe three categories against which any performance appraisal should be evaluated. The first one is utilization criteria, which address the purposes for which appraisal are conducted, including administrative decisions (i.e. promotion, disciplinary, selection, etc) and employee development (i.e. feedback, training, etc).

Second is qualitative criteria which include the relevance of appraisal to job performance, data availability, equivalence, interpretability and practability.

The third one is quantitative measure of effectiveness, has received extensive attention in the empirical literature. The rating systems and errors involved in performance appraisal.

The most obvious purpose of a performance appraisal system is a decision aid. Performance appraisal providing a basis for deciding who should be promoted terminated and so forth. They are probably not the only basis for such decisions. High quality performance appraisal systems are an important consideration in making a wide range of personnel decisions in most organizations. (Kevin et al. 1995).

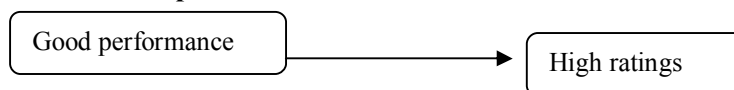
Kevin et al (1995) further explained about three different ways in which performance appraisals might be related to make administrative decisions in which he called lead relationships, decisions are made on the basis of evaluations of performance. High quality measures of performance are critical for making good decisions.

In *lag* relationships, performance appraisal is filled out to justify decisions that have already been made. For example a supervisor who decides to fire a subordinate might have to provide one or more poor performance reviews to justify the decisions.

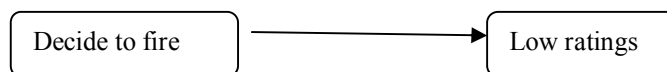
Finally, the relationship between performance appraisals and decisions can introduce both lead and lag elements. This means a low performance ratings can be used as a basis for firing but also might flag that employee as a candidate for remedial training.

**Figure1: Lead- Lag Relationships.**

**Lead relationships**



**Lag relationships**



**Lead-Lag relationship**



Source: Kevin R. et al, (1995)

The views of different scholars' shows that it is important to evaluate performance of employees in order to identify an individual's strength and weaknesses and to differentiate one employee to another because personnel decisions like promotions and merit- pay are connected to individual performance; the instrument used to evaluate performance must withstand serious scrutiny by employees and managers. Periodic reviews help supervisors gain a better understanding of each employee's abilities. The goal of the review process is to recognize achievement, to evaluate job progress, and then to design training for the further development of skills and strengths. A careful review will stimulate employee's interest and improve job performance. The review provides the employee, the supervisor, and Human Resources a critical, formal feedback mechanism on an annual basis.

Management hopes to achieve several objectives through the performance appraisal process like communicating management goals and objectives to employees, motivate employees to improve their performance, distribute organizational reward such as salary increases and promotions equitably. Performance appraisal is closely linked to other HR processes helps to identify the training and development needs, promotions, demotions, changes in the compensation etc. Scholars thoughts on performance appraisal is relating to this study as a researcher want to find out if information obtained from OPRAS is used on making administrative decisions.

### **3.2. Performance Appraisal Process**

Gupta (2000) developed a model that describes the performance appraisal process. According to Gupta (2000), the performance Appraisal process includes establishing performance standard, communicating the standards, measuring the actual performance, comparing the actual with the desired performance and discussing the results. On another hand Angelo et al (1984) proposed a model of performance appraisal which is based on a cognitive view of the performance appraisal process. According to this model reflects a

view that performance appraisal is an exercise in social perception and cognition embedded in an organizational context requiring both formal and implicit judgment.

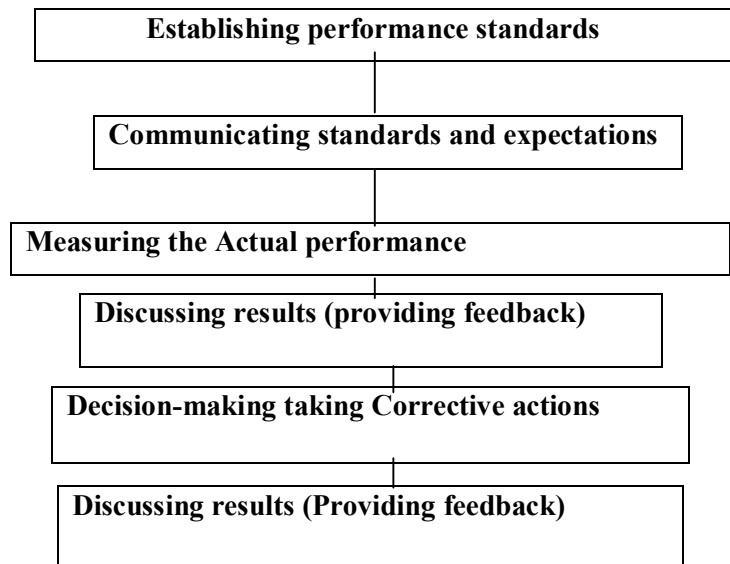
Gupta (2000) describes that, supervisors and subordinates are required to set together clear and measurable standards that will be used to judge the performance of the employees as successful or unsuccessful and the degrees of their contribution to the organizational goals and objectives. Gupta argued that it is the responsibility of the management to communicate the standards to all employees of the organization.

He further described that, the most difficult part of the performance appraisal process is the measuring of the actual performance of the employees that is the work done by the employees during the specified period of time. It is a continuous process which involves monitoring the performance throughout the year. Appropriate performance appraisal techniques can be employed in order to arrive to the desirable appraisal outcome.

The results can be show the actual performance being more than the desired performance or, the actual performance being less than the desired performance depicting a negative deviation in the organizational performance. According to Gupta (2000), the result of appraisal should be communicated and discussed with the employees on one- to-one basis. The focus of this discussion is on problem solving and reaching consensus. The feedback should be given with a positive attitude as this can have an effect on the employee's future performance. According to Gupta (2000), the last step of the process is to take discussions which can be taken either to improve the performance of the employees, take the required corrective actions or the related HR decisions like rewards, promotions, and demotion.



**Figure 2: Performance Appraisal Process**



Source: Gupta (2000)

The discussion of the performance appraisal process model is valuable to the study since it provides the stages in which the performance Appraisal can be developed. This includes participatory standard setting, communication, feedback mechanism and decision making. Patricia (1984) contends that if employees are involved in planning and evaluation of the work, they are more likely to consider the appraisal and system as fair. It is vital to note that, effective performance appraisal requires clear processes, procedures enabling institutional and legal frame work (Bana. 2009).

### 3.3. Operationalisation of Key Concepts

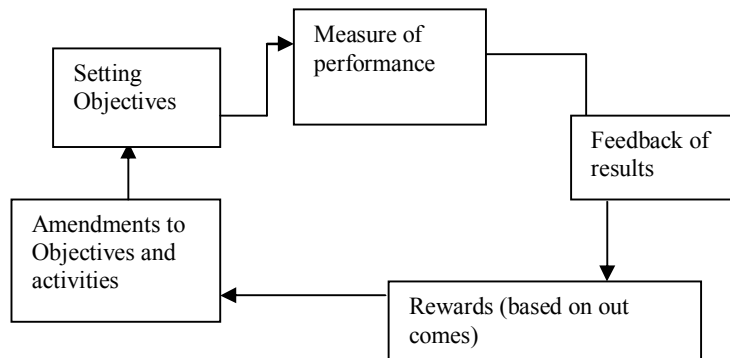
This part explaining key concepts used in the study. Babbie (2003) defined conceptualization as the process through which we specify what we mean when we use particular terms in research.

#### 3.3.1. Performance Management System (PMS)

Performance management system is a series of integrated tools, components or approaches for planning, implementation, monitoring and evaluation and reviewing of activities of organizations and individuals working in organizations.

Mabey et al. (1999) has prescribed the performance management system in the form of 'performance management cycle'. This cycle has 5 elements which suggest how performance management system should be implemented in an organization. The elements of PMS cycle include setting objectives, measuring the performance, feedback of performance results, reward system based on performance outcomes, and amendments to objectives and activities.

**Figure 3: The performance management cycle**



Source: Mabey et al, (1999)

#### 3.3.2. Performance Appraisal

Is the process of assigning judgmental values to the performance of an employee during a given period of time (Ngirwa. 2000). Formal performance appraisal are designed to meet three needs, one for organization and two for

the individual, first they provide systematic judgment to back up salary, increases, transfers, and sometimes demotions and determinations, second is the means of telling a subordinate how he is doing, and suggesting needed changes in his behavior, attitude, skills or job knowledge, they are also being increasingly used as a basis for the coaching and counseling of individual by the supervisor. Robert et al (2009) Evaluations of subordinates' performance are an important part of a supervisor's job in nearly all organizations. Performance appraisals are a ubiquitous element of organizational life in both public and private institutions.

Dick (1996) Performance appraisal is widely considered by both academics and practicing managers as one of the most valuable human resources tools. It is a vital component in recruiting and hiring employees where it is used to validate selection procedure. In the staffing arena, transfer, layoff, termination, and promotion decisions are based on appraisal results. Performance appraisal forms the basis for the administration of merit pay system.

### **3.3.3.Open Performance Review Appraisal System (OPRAS)**

Is an open, formal and systematic procedure designed to assist both the employer and an employee in planning, managing, evaluating and effecting performance improvement in the organization with the aim of realizing organizational goals. More over OPRAS provide feedback on employees' performance. Tejun. et al (2009) feedback is a direct means to improve communication between the employee and the supervisor in a work unit. Communication may be one management practice that leads to increases individual performance because it provides the chance for discussion regarding administrative affairs which including performance.

### **3.3.4.Executive Agencies (EAs)**

In Tanzania, Executive Agencies are Semi autonomous bodies which created by law to deliver service to the public in more efficient way by operating in businesslike manner. Executive Agency concept was borrowed

from the UK system. The intension for creating Government Agencies is to improve the quality of service and reduce the cost to the Government by generating their own income.

### **3.4. Conceptual Framework**

In Tanzanian public service institutionalization of OPRAS has been done within the contextual framework of the Performance Improvement Model (PIM). Ruguyamyamheto (2005) termed PIM as a unique model that has been implemented to facilitate Result Based Management (RBM). Bana (2009) added that PIM approach, among other things, requires all public service institutions to plan, implement, monitor, evaluate and report on performance, and finally carry out performance review.

Ideally PIM is a four (4) stage model which involves Planning, Implementation, Monitoring, Evaluation and Reporting; and Performance Review. The eight elements intrinsic in the PIM four stages are Service Delivery Survey (SDS); Self Assessment (SA); Medium Term Strategic Planning (MTSP); Medium Term Expenditure Framework (MTEF); Action Plan; OPRAS; Clients Service Charter (CSC); and Monitoring and Evaluation System.

OPRAS is on the implementation stage since in OPRA is where specific individual objectives to be implemented are clearly identified which are drawn from Organization plan.

The PIM encompass these systems as integrated tools used in planning, implementation, monitoring, evaluation and reviewing of activities. These activities are those implemented by staff in public service organizations, as well as at overall organizational level for continuous improvement in organizational performance and service delivery.

**Figure 4: Performance Improvement Model**

**Table 1: Performance Improvement Model - PIM**

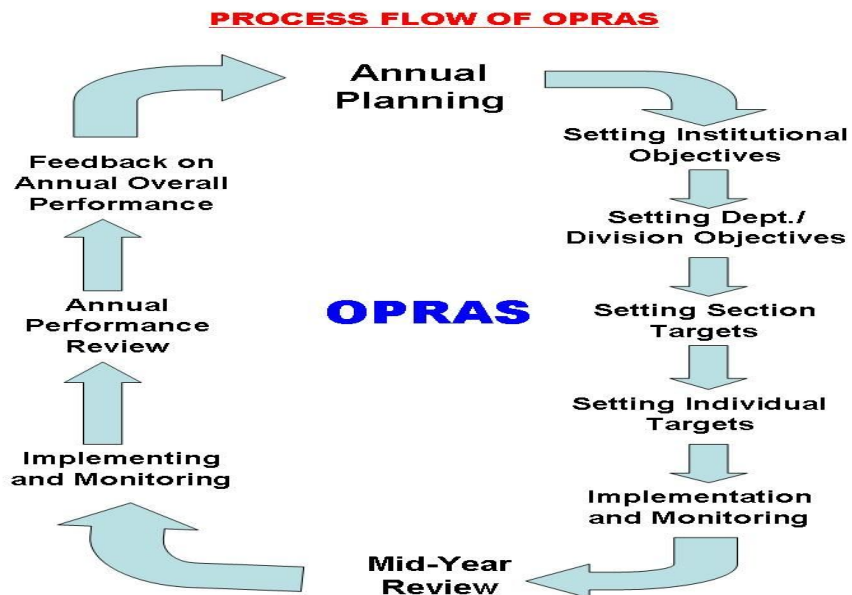


**Source: OPRAS guideline, PO-PSM**

### **3.4.1. OPRAS implementation Process Flow**

Implementation of OPRAS in public service follow the series of integrated process which originate from the annual planning where objectives for institution are drawn and cascaded up to the individual level followed by implementation and monitoring by conducting mid -year review and monitoring continues up to the annual performance review and last step is the feedback on annual overall performance which providing input to the annual planning process as illustrated in the diagram below

Figure 5: Process Flow of OPRAS



Source: OPRAS guideline, PO-PSM

#### **4. CHAPTER FOUR: THEORETICAL FRAMEWORK**

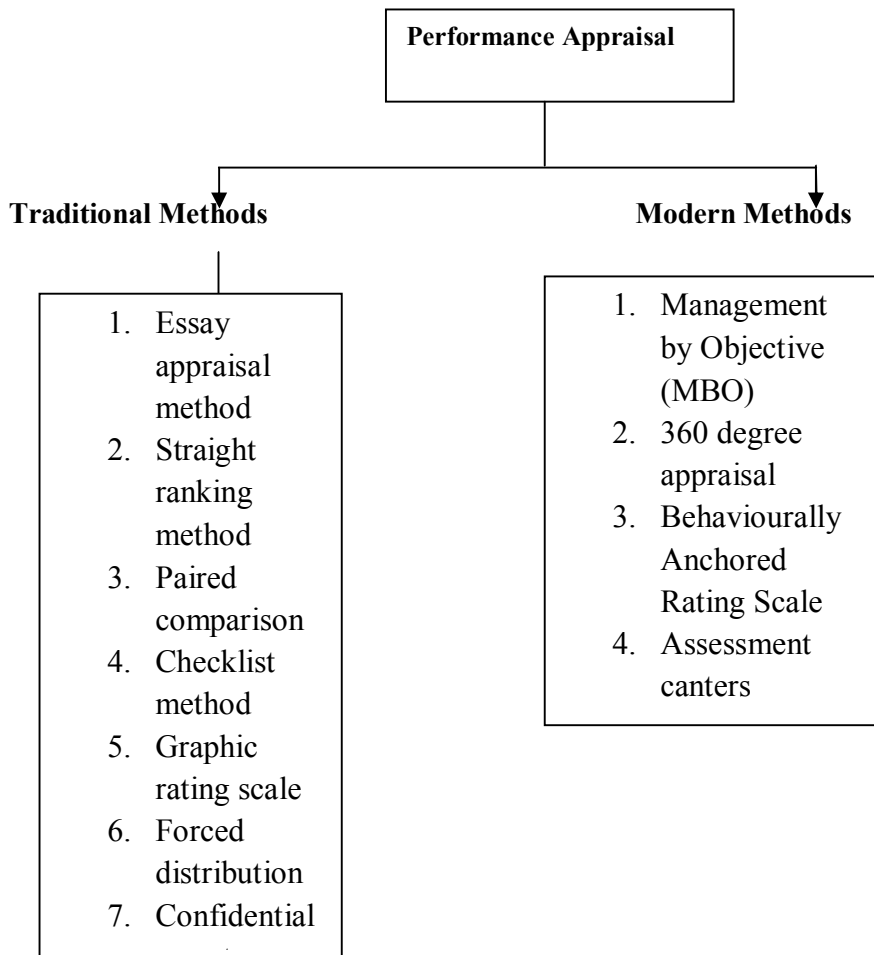
Effectiveness of performance appraisal depends much on the philosophy underlying within it. This signifies that performance appraisal can be viewed in different ways in terms of approaches, theories, concepts or the process employed. Here below are the approaches and theories adopted to facilitate the discussion.

##### **4.1. Traditional and Modern Approaches of Performance Appraisal**

Performance appraisal issues can be examined from different perspectives. There are two fundamental views of traditional and modern. The traditional view has been considered judgments and reminds of performance and evaluated control and has directive style. This view has been purely focused on performance of past time period and has been formed with the previous requirements.

The goal of new view is training, growth and development of evaluated capacities, improvement of the performance of individuals and organizations, providing consultation and public participation of stakeholder, motivating and accountability for quality improvement and optimization activities and operations. The origin of this view has been the contemporary requirements and developed to evaluate the systematic of performance by using modern methods and techniques. Area covered by performance measurement is macro level of organization, a unit, process and staff.

**Figure 6: Traditional and Modern methods of Performance Appraisal**



Source: Author



#### **4.2. Traditional Approach of Performance Appraisal**

For a long time, traditional performance appraisal which replaced casual or unsystematic appraisal has been used just as an approach for appraising employees in organization. Torrington, et al (2005) argues that, traditional approach typically requires each line manager to do performance appraisal of their staff usually on annual basis. Elaborate forms are often complicated as a record of a process, but they are not living documents, they are general left stored in the records of the Human resource department, and the issue of performance is often neglected until the next round of review meeting. Ngirwa (2000) argue that, the approach was more subjective and damaged team work because employees were rated by single person who may be biased or had an incompetent view of the work.

Explaining the purpose of the traditional approach, Ngirwa (2005) noted that, traditional approach was based on past performance and served the purpose of promotion, salary review, separation and transfer. He further clarifies that, in traditional approach no feedback was provided, the importance of employees' participation was disregarded.

What was actually measured in Performance appraisal was the extent to which the individual conformed to organization. Traditional approach was based on personality trait measures such as resourcefulness, passion drive and intelligent (Murray.1981): In many work organizations in East Africa, this performance appraisal is by far the most widely used approach, and one that is widely criticized for its shortcomings. In recent years, the critics of this philosophy of rating have increased in number and loudness. The argument has been mounted upon the lack of liability and validity of traditional system. The fundamental criticism has been found upon judgmental role of managers and the opposed response of subordinates. Ngirwa (2007) stated other two criticisms; first, it does not provide feedback to the employee and thus cannot possibly help him/her to improve his/her performance and that of the

organization. Secondly, it regards the importance of employee participation in the appraisal process.

A traditional approach is not much appropriate to this study as it has failed to consider the importance of feedback, developmental aspects of the employee's performance and individual participation on appraisal process that constitutes a significant part of OPRAS. Below are examples of traditional methods.

#### **4.2.1.Essay Method of Performance Appraisal**

In this method, the appraiser prepares a written statement about the employee being appraised. The statement usually concentrates on describing specific strengths and weaknesses in job performance. It also suggests courses of action to remedy the identified problem areas. The statement may be written and edited by the appraiser alone, or it be composed in collaboration with the appraisee.

#### **4.2.2.Confidential report system**

Confidential report system is well known method of performance appraisal system mostly being used by the Government organizations. In this method, subordinate is observed by his superiors regarding his performance in the job and on his duties done. Thereafter supervisor writes confidential report on his performance, mainly on his behavior in the organization and conduct and remarks if any. Confidential reports will be kept confidential and will not be revealed to anyone and finally confidential reports will be forwarded to the top management officials for taking decision against person on whom confidential report has made. Confidential reports are the main criteria for promoting or transferring of any employee mainly in the government.

#### **4.2.3.Behavior Based methods**

This is the type of performance appraisal that uses specific performance factors to evaluate employees. This approach rests on the idea that you can get the right level of performance from employees based on a demonstration of desirable behaviors. This system contrasts with the outcome (result oriented) approach in which the results of employee work efforts are emphasized. Employees must receive direct explanation of expected behaviors at the beginning of their employment. Employees are assessed on how they do their job.

Behavior measures can be very useful for feedback purposes because they indicate exactly what an employee should do differently. Dick (1996) is the approach that concentrates on the behaviors in which the individual engages in the performance of the job. Robert et al (2009) mentioned an important dimension of job performance which considers behavior of employees, is termed organizational citizenship behavior (OCB) it means individual behavior that is discretionary, not directly or explicitly recognized by the formal reward system, and that in the aggregate promotes the effective functioning of the organization. Waxley (1987) has urged psychologists to use employees' attitudes toward performance appraisal more frequently as a useful way of assessing appraisal effectiveness.

In assessing behaviors, skills and competencies, is looking not at what the individual is but rather at what the person does, is not about what kind of guy he is but how he goes about doing the job. The most commonly used term for this aspect of the appraisal process is performance factors that should be included in an appraisal form. Most of the organization today includes performance factors as part of their appraisal process. OPRAS form is also including part of assessing behavior by looking at different characters of an individual. Behavior approach is including Conventional Rating Scale method,

Behaviorally Anchored Scale method, Behavior-Based Appraisal, The weighted checklist, and Forced-choice method.

#### **4.3. Modern Approach of Performance Appraisal**

The modern approach of Performance Appraisal which is future oriented approach and is developmental in nature has made the performance appraisal process more formal and structured. Employees participate in the process of choice and setting of performance goals and standard/criteria, design of appraisal instrument, receive feedback on their performance Appraisal, and are given opportunities to view and influence their appraisal grades.

Ngirwa (2007) identifies two principals underlying this approach. First an employee's performance records cannot be confidential to him/her: the two are representative of each other. Now, the performance appraisal is taken as a tool to identify better performing employees from others employees', training needs, career development, reward and bonuses and their promotions to the next levels. The results of performance appraisal are used to take various other human Resource decisions like promotions, demotions, transfer, training and development and reward outcomes. The modern approach to Performance Appraisal includes a feedback process that strengthens the relationships between superiors and subordinates and improves communication through the organization.

Grueck (1982) viewed modern approach forward looking through the use of goal setting, a contributor to employee motivation, develop Human resource planning, and provide employee ambition. It is also show organization interest in employee development which was cited to help the enterprise to retain ambitious, instead of losing the employees to competitor, provide structure for communication between employees by the management and the employees, and provide satisfaction and encouragement to the employee who has been trying to perform well.

Modern 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. Appraisals have become a continuous and periodic activity in the organizations. The results of performance appraisals are used to take various other HR decisions like promotions, demotions, transfers, training and development, reward outcomes. The modern approach to performance appraisals includes a feedback process that helps to strengthen the relationships between superiors and subordinates. Modern approach to the performance appraisal is related to our study as OPRAS portrays much on this approach. The approach considers the importance of employee's participation in the process of choice and setting of performance goals and standards, design of appraisal instrument and feedback mechanism on their performance appraisal mechanism. And the useful of the appraisal results to take various other HR decisions like promotions, demotions, transfers, training and development, reward outcomes.

#### **4.3.1.Results-Focused approach**

This approach focuses on the result to be derived from the appraisal. It produce short and long term results in achieving the performance and organizational objectives, and are generally perceived as fair, and also tend to generate high levels of commitment among the employees to the organization, and they encourage a high level of participation and are thus defensible. Before an organization can adopt this approach, the management must be of the view that the advantages outweigh disadvantages, for the approach to be incorporated. There are two general techniques of enacting results-focused approaches that is Management by Objectives (MBO) and Accountabilities and Measures (Grote, 1996).

The most common result based approach to performance appraisal is Management by Objectives (MBO). As previously elaborated the core

elements of the MBO including the following : Formation of trusting and open communication throughout the organization, mutual problem solving and negotiations in the establishment of objectives, creation of win-win relationships, organizational rewards and punishments based on job related performance and achievement, minimal use of political games, force and fear, development of a positive , proactive and challenging organizational climate. This approach is relevant to OPRAS for being result focused and generates high level of commitment among the employees to the organization.

#### **4.3.2.Management By Objective (MBO)**

Management by Objective (MBO) was first advocated by Peter Drucker in the 1950s. The essence of MBO is participative goal setting choosing course of actions and decision making. Robert. et al (1977 ) defined MBO as system for achieving organizational objectives by assigning specific, measurable , interlocking goals to specific individuals in the organization, making operational decision based in the light of these goals and using the goals as the standards by which performance is evaluated. MBO is more than a performance evaluation technique. It is also a philosophy of a management which focuses on developing long range objectives, focusing on results rather than activities, increasing employee's participation and developing employee's competence. The approach cantered on the fact that objectives are established jointly by the supervisor and subordinate. MBO emphasize is on demonstrable objectives. That is at the end of a period it can be determined if an objectives has been achieved. Objectives should be stated as clearly as possible, in terms of quality, time and cost. Once an objective is agreed, the employee is usually expected to self –audit; that is, to identify the skills needed to achieve the objective. Also MBO approach focus on goal specificity, participative decision making, explicit time period, and performance feedback.

Previously, MBO programs were primary implemented by the personnel departments. It was unusual to find the top management attitude that MBO is

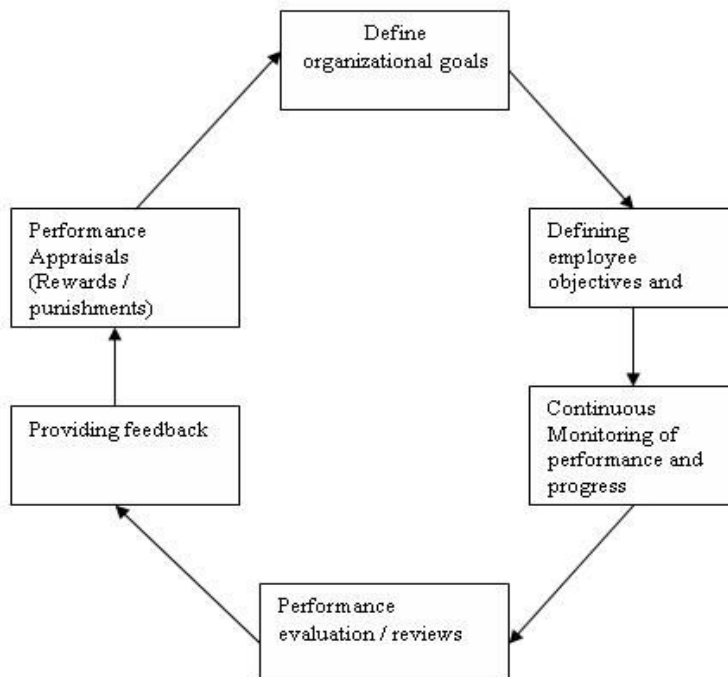
valuable, only for middle and lower managers. The new orientation as was discussed by Weihrich (2008) has shifted towards comprehensive MBO approach. Weihrich (2008) new orientation of MBO has long-range and strategic plans and demands the attention and involvement of top management. Their commitment is to go beyond the issuance of a policy statement endorsing MBO for the company. Instead, top executives must become active participants in the MBO process. MBO also integrates the efforts of managers at all levels of the organization. MBO approach is the concern not only for organization objectives, but also personal development and objectives. MBO the core philosophy behind most effective appraisal system begins with the requirement that the organization formulate long-range goals and strategic plans. These plans are then supported by developing overall organizational objectives. Derivates objectives are created for major operating units and departments. This cascading process continues until every organization member has set specific and measurable objectives, each of which can be ultimately related to the overall achievement of the organization's strategy. Management by objectives (MBO) is the approach of performance appraisal is result oriented That is, they seek to measure employee performance by examining the extent to which predetermined work objectives have been met.

MBO approach overcomes some of the problems that arise as a result of assuming that the employee traits needed for job success can be reliably identified and measured. Instead of assuming traits, the MBO approach concentrates on actual outcomes. If the employee meets or exceeds the set objectives, then she or he has demonstrated an acceptable level of job performance. Employees are judged according to real out comes, and not on their potential for success, or on someone's subjective opinion of their abilities. MBO method of performance appraisal can give employees a satisfying sense of autonomy and achievement.

MBO is relevant to the study. OPRAS is the method of performance appraisal which is results-oriented. It involves participative objectives setting, regular

objectives review, top management involvement and performance feedback. Usually the objectives are established jointly by the supervisor and subordinate. And it involves cascading process from the top to the bottom until every organization member has set specific and measurable objectives.

**Figure 7: MBO process**



Source: <http://appraisals.naukrihub.com>

#### **4.4. Expectancy Theory**

In order for the productive worker to be satisfied, high performance must lead to satisfying outcomes, recognition or rewards for high performance is very important.

Performance appraisal and reward system have a major influence on the employee's perception that performance will lead to rewards (or punishment). Performance appraisal systems that do not distinguish high and low



performers, or that do not in differential rewards (or punishment) for them will lead to a downward adjustment of inputs to meet outputs by all workers. Expectancy theory was created by Vroom (1964) who argued that the strength of the tendency to act in a certain way depends on the strength of an expectation that the act will be followed by a given outcome and on the attractiveness of that outcome to the individual. Vroom (1964) suggests that motivation results from three types of individual beliefs, expectancy, instrumentality and valence. Vroom defined “expectancy” as the belief that efforts will result in performance, “Instrumentality” described as the belief that performance will have a reward and valence described as the value an individual places upon reward. Expectancy theory suggests that the motivation behind a supervisor effectively completing the performance appraisal process with a given employee is dependent on the degree of the supervisor perceives that efforts put in to performance appraisal process will result in supervisor’s perception that an accurate performance appraisal rating will produce performance appraisal effectiveness (instrumentation), and the value that the supervisor places on an effective performance appraisal. According to the expectancy theory, a good appraisal will lead to organizational rewards such as bonus or promotion; and that the rewards will satisfy the employee personal goals. The key to the expectancy theory is the understanding of the individual goals and the linkage effort and performance, between performance and rewards and finally between the rewards and individual goal satisfaction.

This theory emphasizes the need for organizations to relate rewards directly to performance and to ensure that the rewards provided are deserved by recipients.

Bannister et al, (1990) has reported that appraisee seem to have greater acceptance of the appraisal process, and feel more satisfied with it, when the process is directly linked to rewards. Such findings are a serious challenge to those who feel that appraisal results and reward outcomes must be strictly isolated from each other. Dick. (2011) identified one of the common feature

of performance appraisal is a tight linkage between performance appraisal rating and compensation.

This theory is relevant to this study as OPRAS is concerned. Employees expectations on OPRAS is that the results will lead to make HR decisions on promotions, bonus etc, on contrast employees will not be motivated to use this system if there is no link between the high performance achieved and reward system.

#### **4.5. Implementation Theory**

According to the implementation theory by Meter and Horn (1975), policy usually originated from top down; where the top (policy initiator) gives directives to the subordinates (implementers) to meet the objectives and standards of the policy. They further argue that the success of any policy implementation depends on the amount of change involve and the extent to which there is goal consensus among participants in the implementation process. Meter and Horn (1975) explained six variables in their model that are crucial to the implementation process. These variables are: policy standards and objectives, resources, inter organization communication and enforcement activity, the characteristics of implanting agencies, economic, social and political conditions and finally the disposition of implementers.

Drawing from the implementation theory, independent variables are considered to influence the dependent variables (reform measures) and lead to success or failure, the reform measures selected and assessed are remuneration, recruitment, retrenchment, capacity building and government expenditure. The success of the policy depends on the proper coordination of policy objectives and goals and the need for enforcement mechanism by supervisor to make subordinates comply. Also the characteristic of the implementing agency in terms of competence and size are necessary condition for successful implementation. As the implementation theory suggests, the availability of

sufficient resources and specific standards and objectives are important since they establishing criteria for assessing the achievement of the policy.

This theory is related to this study as it is describing factors that may affect implementation of performance appraisal system, including availability of sufficient resources, communication, enforcement activity, and the characteristic of the implementing agencies. The unsuccessful implementation of OPRAS in Executive agencies may be contributed by these factors especially insufficient resources and general characteristic of agencies and amount of change among employees. These factors are important for effective implementation of performance appraisal.

## **5. CHAPTER FIVE: RESEARCH METHODOLOGY**

This chapter represents the methodology that was employed in this study. Research methodology sets out the procedures used in conducting the study and the logic behind with an aim of providing essential information that a reader needs to understand how the data was collected and analyzed. Kothari (1990) defines Research Methodology as a way to systematically solve the research problems.

### **5.1. Scope of the Study**

This study was carried out in ten Executive Agencies namely: Registration, Insolvency and Trusteeship Agency-(RITA), Occupational Safety and Health Agency –(OSHA), Tanzania Public Service College-(TPSC), National Food Reserve Agency – (NFRA), Government Procurement Services Agency-(GPSA), Taasisi ya Sanaa na Utamaduni Bagamoyo (TaSUBA), National Bureau of Statistics – (NBS), Agricultural Seed Agency-(ASA), Tanzania National Roads Agency –(TANROADS), and Tanzania Building Agency-(TBA)

### **5.2. Area of the study**

Because of time constraints, and mainly large number of operating public service institutions, the study was carried out only at the Headquarter of Executive Agencies mostly located in Dar es Salaam.

### **5.3. Research Design**

Research design is considered as a plan for action for collecting data, organizing and analysing it with the objective of combining the relevance

research with procedures (Kothari, 2002). This is descriptive kind of research, according to Babbie (2003) descriptive means to describe situations and events, the researcher observes and then describes what was observed. In this study the researcher sought to describes the status of implementation of OPRAS in EAs.

#### **5.4. Population of the Study**

The population upon which the findings and conclusions of this study were drawn was collected from four categories of respondents. The first category was comprised of the HR Directors/ Managers the second category was Directors of other departments, third one was officers and forth category was supporting staff. These respondents were selected with a view to provide useful information on the subject matter.

#### **5.5. Sampling Methods and Technique**

From the above four categories of respondents, the sample population and agencies for the case study was selected by using two common sampling methods namely purposive and random sampling.

The purposive sampling method was adopted in the selection of the case studies from agencies. Agencies which were selected for the study was purposely chosen by considering both the age of the agencies since their establishment and kind of service they provide. The agencies which selected covered those with long time in the service and those with average years. Purposive sampling method was used in order for the study to cover agencies with diverse characteristics and respondents were selected by using simple random method to cover different carders such as Directors, officers and supporting staff from different departments.

#### **5.6. Sample Selection Method**

Random sampling was used where by every member of population of interest had an equal chance of being selected. In order to reduce sampling

error stratified sampling method was used, the population was divided according to the characteristics of importance for the research, the study aimed to cover different carders in agencies HR directors, officers and lower carders so population was randomly sampled within each category and questionnaires were randomly distributed to the members of each category therefore every employee in a particular category was in possibility to be selected.

### **5.7. The Sample Size**

The sample size of the study was comprised of the categories of respondents as follows: ten (10) HR Directors, one from each selected agencies, fourteen (14) respondents from different carders selected randomly from the various departments in selected ten Agencies. Therefore, the total sample population consists of fifteen (15) respondents from each agency, which in total are 150 respondents. However, the total number of questionnaires which responded was 73 which is equal to 48%.

### **5.8. Data type**

This study used both primary and secondary data. The primary data including the findings collected by using questionnaire from respective agencies and secondary data include the review of different reports and guidelines pertaining OPRAS prepared by PO-PSM.

### **5.9. Methods of Data Collection and analysis**

In order to investigate the phenomenon, empirical research was carried out in 10 EAs by using survey method. Babbie. (2003) contends that survey is the good method available to the social researcher in collecting original data for large population. In the course of the study questionnaire was distributed to the employees of respective agencies to solicit their perceptions. Kothari (2002) defines questionnaire as the list of questions that respondents answer.

Questionnaire employed in this study included both open and closed ended questions. Two types of questionnaire was prepared and used to collect information. These involved HR Directors' questionnaires and other staff questionnaire.

In analyzing data, this study used qualitative method of data processing and analysis with the aid of Excel programme. The descriptive statistical techniques such as tables, graphs and percentages were used to summarize and organize data into meaningful forms.

## **6. CHAPTER SIX: RESEARCH FINDINGS AND DATA ANALYSIS**

### **6.1. Demographic characteristics of respondents**

This study involved diverse demographic characteristic of respondents from ten agencies in order to solicit useful information for the study. The diversity characteristics of respondents were based on organization, position, gender, level of education, age and length of employment in public service. The representation of respondents in all aspects was relatively good at least there is number of respondents in each category and from each agency under study, however the number of respondents was not equal to the target number of the researcher. Representation on gender was relatively good, substantial number of both male and female participated in this study with different levels of education, the scale was considered from Certificate level of which majority are supporting staff such as drivers, secretaries and office attendants to the level of officers and Management staff of which their level of education is ranging between Advance diploma to PHD. In general this study covered all carders from supporting staff to management level from different agencies with different years of employment as summarized in the tables below:



### Respondents by Organizations

S/n	Name of Agencies	Year of Establishment	No. of Respondents	% of respondents
1	NBS	1999	7	10
2	TBA	2002	5	7
3	TANROADS	2000	6	8
4	NFRA	2007	6	8
5	OSHA	2001	7	10
6	ASA	2006	9	12
7	GPSA	2007	9	12
8	RITA	2006	7	10
9	TaSUBA	2007	8	11
10	TPSC	2000	9	12
		<b>TOTAL</b>	<b>73</b>	<b>100</b>

The total number of respondents were 73 from ten Agencies, 10% of respondents from NBS<sup>1</sup>, 7% of respondents from TBA<sup>2</sup>, 8% of respondents from TANROADS<sup>3</sup>, 8% of respondents from NFRA<sup>4</sup>, 10% of respondents from OSHA<sup>5</sup>, 12% of respondents from ASA<sup>6</sup>, 12% of respondents from GPSA<sup>7</sup>, 10% of respondents from RITA<sup>8</sup>, 11% of respondents from TaSUBA<sup>9</sup> and 12 of respondents from TPSC<sup>10</sup>.

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<sup>1</sup> National Bureau of Statistics

<sup>2</sup> Tanzania Building Agency

<sup>3</sup> Tanzania Roads Agency

<sup>4</sup> National Food Reserve Agency

<sup>5</sup> Occupation Safety and Health Authority

<sup>6</sup> Agricultural Seed Agency

<sup>7</sup> Government Procurement Service Agency

<sup>8</sup> Registration, Insolvency and Trust sheep Agency

<sup>9</sup> Taasisi ya Sanaaa na Utamaduni Bagamoyo

<sup>10</sup> Tanzania Public Service Collage

## Characteristic of Respondents

Characteristics of Respondents				
Total Number of Respondents	73			
Total Number of Agencies	10			
Gender	Female		Male	
	32		41	
Education	Certificate	Diploma	Bachelor Degree	Master's Degree
	8	10	33	22
Position	Supporting Staff	Officers	Directors	HR Director
	18	33	12	10
Ages of respondents	20-30 yrs	31-40 yrs	41-50 yrs	51-60 yrs
	11	29	24	9
Yearsof employment in Public service	1-3 yrs	4-7 yrs	7-10 yrs	10-above yrs
	13	22	23	15

From total number of 73 respondents, 32 (44%) were female and 41 (56%) male and on the level of education 8(11%) respondents have Certificates, 10 (14%) respondents have Diploma, 33(45%) respondents have Bachelor degree and 22(30%) respondents have Master's Degree. The positions of respondents range from the level of supporting staff to Directors. 18 (25%) respondents were supporting staff, 33(45%) respondents were Officers, 12(16%) respondents were Directors from different Departments and 10(14%) respondents were HR Directors. Ages of respondents: 11(15%) respondents belong to the age group (20-30 years), 21(29%) respondents (31- 40 years) , 24(33%) respondents (41-50 years), and 9 (12%) respondents (51-60 years). According to the years of employment in the public service 13(18%) respondents have been in public service for (1-3 years), 22(30%) respondents (4-7 years), 23(32%) respondents (7-10 years) and 15 (21%) respondents (10 years and above).

Generally representation of respondents was well distributed for the purpose of the study, representation according to gender, education level, position, years spent in public service and age was relatively good.

## **6.2. Analysis and interpretation of the findings**

The analysis of findings is divided into two parties, part one is analyzing findings from employees in totality excluding HR Directors and part two is analyzing findings from HR Directors. This approach was employed in order to get diverse opinions from employees and HR Directors who are key informants for the study. In-depth analysis was done in five areas, awareness on OPRAS, compliance with OPRAS guideline, usefulness of OPRAS, satisfaction, challenges and ways for improvement as identified by respondents.

### **6.2.1. Awareness on OPRAS**

In section A of questionnaire focused on OPRAS awareness, the purpose was for a researcher to find out the level of awareness among employee on OPRAS by looking: if employees are aware that OPRAS is an official performance appraisal tool used in public service and their level of understanding on the system, also checked to establish if employees have exposed to the OPRAS training and assessing the length of the usage of the system in agencies. This will enable to know if OPRAS is well known by employees, if they have received training and if the implementation has been started right after being introduced in the public service as the main tool for measuring performance of employees.

**Figure 8: Employees awareness on OPRAS**

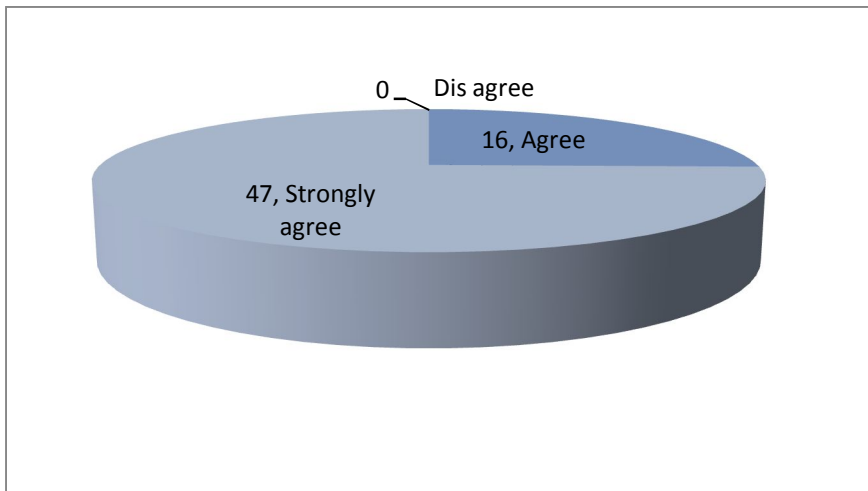
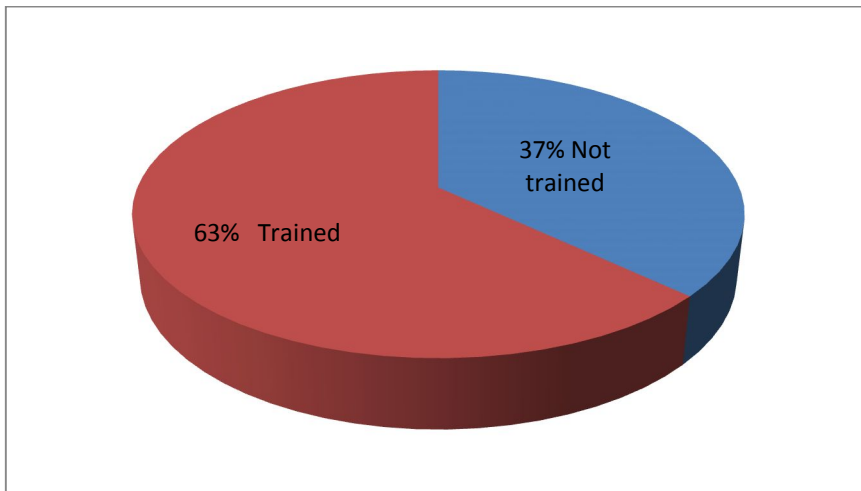


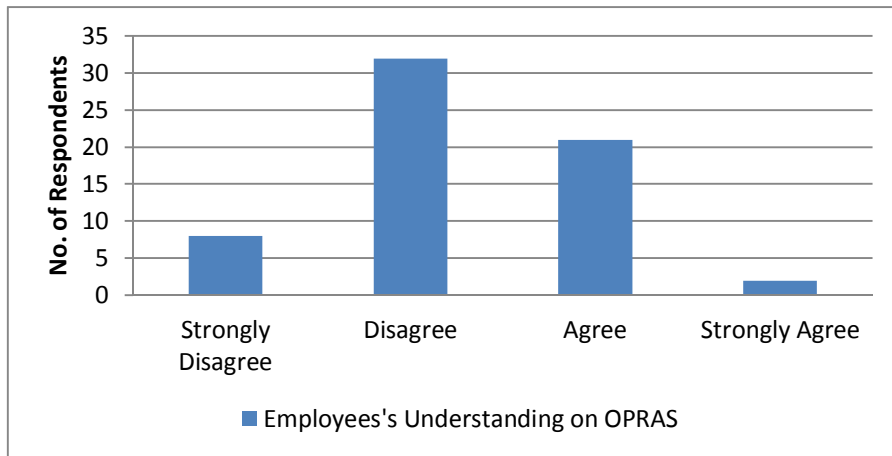
Figure 8 above depicts that, 47 (75%) respondents are strongly agree, and 16 (25%) respondents agree that they are aware about OPRAS, from these results we can conclude that, employees in agencies are aware that OPRAS is existing and used in public service as main performance appraisal tool. However, despite of these positive results we cannot conclude that they have high level of understanding about OPRAS as we can see in the following results.

**Figure 9: Employees trained on OPRAS**



From the above figure 9, the evidence implies that, majority of employees have been trained on OPRAS, 63% of employees (including HR directors) attended formal training which were organized with the assistance from PO-PSM. On the other hand 37% of the total respondents not attended formal training, this might be due to the fact that they joined agency while training was already conducted, and the study revealed that for those who not attending training most of them were trained through their peers and supervisors. In general, majority of employees working with these agencies received training on OPRAS. However, the perception of employees regarding the understanding of OPRAS is still relatively low as depicted in the figure below.

**Figure 10: Employees perception on the level of understanding on OPRAS**

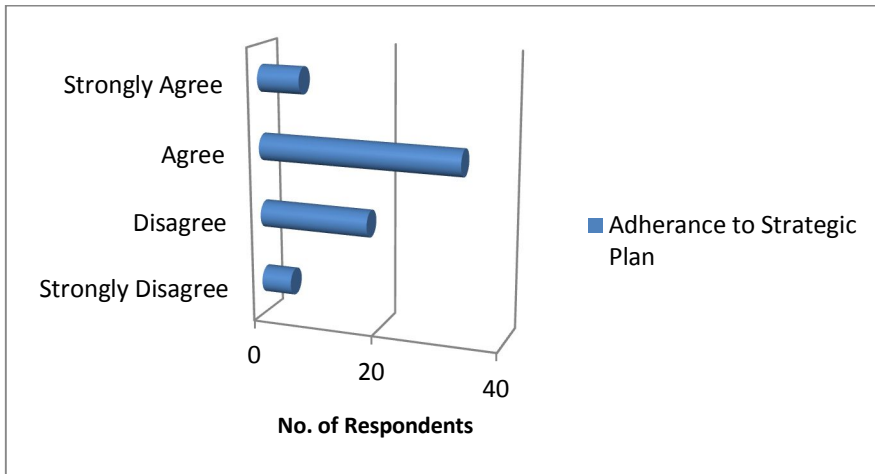


Based on the figure 10 above, among 63 respondents, 8 (13%) respondents strongly disagree, 32 (51%) respondents disagree, 21 (33%) of respondents agree and 2 (3%) of respondents were strongly agree on the level of understanding of OPRAS among employees. This prove that, majority of employees still have low level of understanding on OPRAS despite of the fact that, most of them (equally to 63%) attended formal OPRAS training. This depicts that, majority of employees who attended training did not understand well the subject matter .

#### **6.2.2.Compliance with OPRAS guideline**

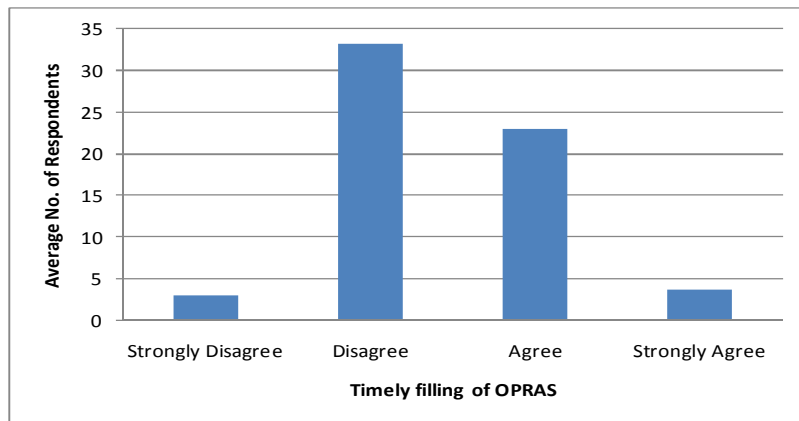
In section B of questionnaire was looking at the implementation of OPRAS in regards to the key principles stated in the OPRAS guideline: by looking at adherence to the organisation key documents such as strategic plan and MTEF while filling OPRAS forms, timely filling of OPRAS forms and conduction of review meetings and to found out if employees are getting feedback on their performance from their supervisors .

**Figure 11: Adherence to the Organisations' key documents (strategic plan and MTEF)**



From the figure 11, out of 63 respondents, 5 ( 8%) respondents strongly disagree, 18 (29% ) of respondents disagree, 33 (52%) of respondents agree and 11% of respondents were strongly agree that they adhere to the key documents of the organisation (SP and MTEF) while filling OPRAS forms. In general, 63% of the employees of these agencies comply with SP while filling OPRAS forms. On the contrary, 37% of employee are not complying with such document, this could be due to the weakness of most of SPs as outlined by majority of respondents on challenges, some of agencies' SPs have been developed without adherence to the SP guide line and consequently poor MTEF hence brings confusion while filling OPRAS form , and for lower cadres (supporting staff) due to the nature of their responsibilities are not directly linked to the overall Organizational objectives.

**Figure 12: Timely filling of OPRAS forms and review meetings**



In this part study was looking at compliance on the three main areas, if OPRAS forms are filled on time, midyear reviews are conducted on time and if appraisal meetings are also conducted on time. The evidence revealed that, most of the agencies are not filling OPRAS forms on time and review meetings are not conducted on time as required according to the OPRAS guideline. The figure above depicts that, from the total number of 63 respondents, 3 ( 5%) strongly disagree, 33 ( 53%) disagree, 23 ( 37%) agree and 4 ( 6%) strongly agree that OPRAS forms are filled on time and review meetings are conducted on time . From the results we can conclude that, there is weakness on the issue of time, most of agencies filling OPRAS form late and review meetings are conducted late as well this distorts the logic of OPRAS.



**Figure 13: Feedback from Supervisors**

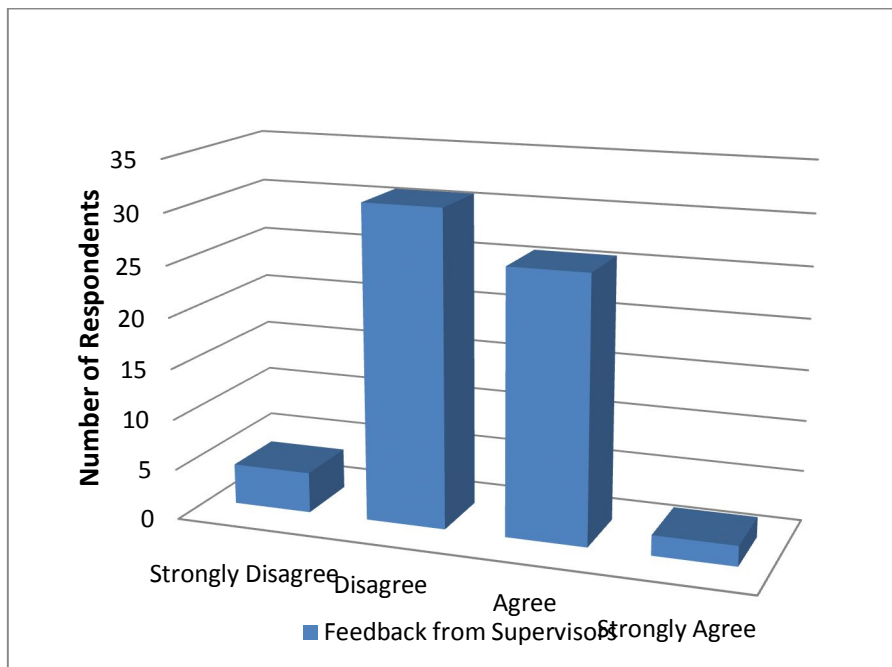
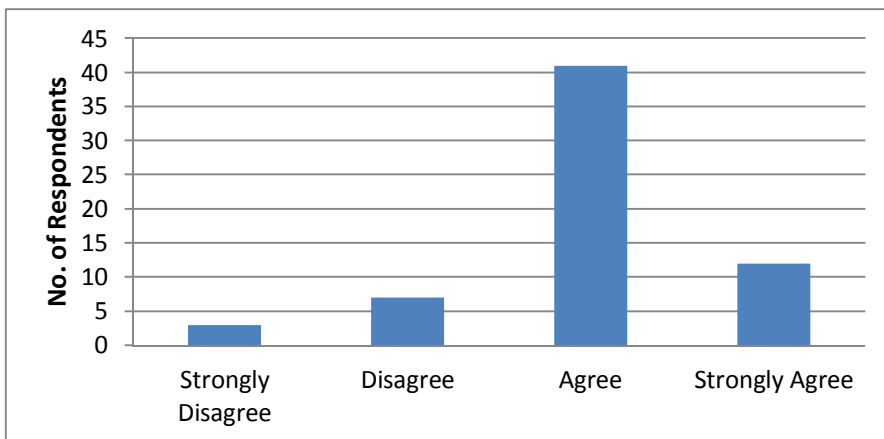


Figure 13 depicts that, among the sample of 63 respondents, 4 (6%) strongly disagree, 31 (49%) disagree, 26 (41%) agree and 2 (3%) of respondents strongly agree that are receiving feedback from their respective supervisors. From these results we can conclude that, majority of the respondents more than 50% are not receiving feedback from their supervisors while less than 40% of the respondents are receiving feedback on their performance from their supervisor. OPRAS among other things intends to provide feedback for employees for performance improvement, if employees are not receiving feedback from their supervisors it means the whole process of appraisal is worthless. This depicts that, there is weakness on the process of appraisal meetings, the meetings are not conducted as required, at the end of the meeting supervisors should provide feedback to subordinates regarding their performance. Performance feedback should include information on areas for improvement and how to improve performance.

### 6.2.3. Usefulness of OPRAS

In section C of questionnaire was focusing on the usefulness of OPRAS, sought to get views from employees in different aspects regarding usefulness of OPRAS. On usefulness of OPRAS the perception of employees was examined on the following aspects: feedback, to found out if they perceive feedback from OPRAS is useful for improving their performance, if the results obtained from OPRAS are used for making various administrative decisions and if OPRAS is useful for creating participatory environment.

**Figure 14: Employees perception on the usefulness of feedback in improving performance**



From the above figure 14, out of 63 respondents, 3 (5%) respondents strongly disagree, 7 (11%) respondents disagree, 41 (65%) respondents agree and 12 (19%) of respondents strongly agree that feedback is useful for improving their performance. Although the study revealed that majority are not getting feedback from their supervisors but they agree that if they could get feedback as OPRAS intended could be useful for improving their performance.

**Figure 15: OPRAS results in making administrative decisions**

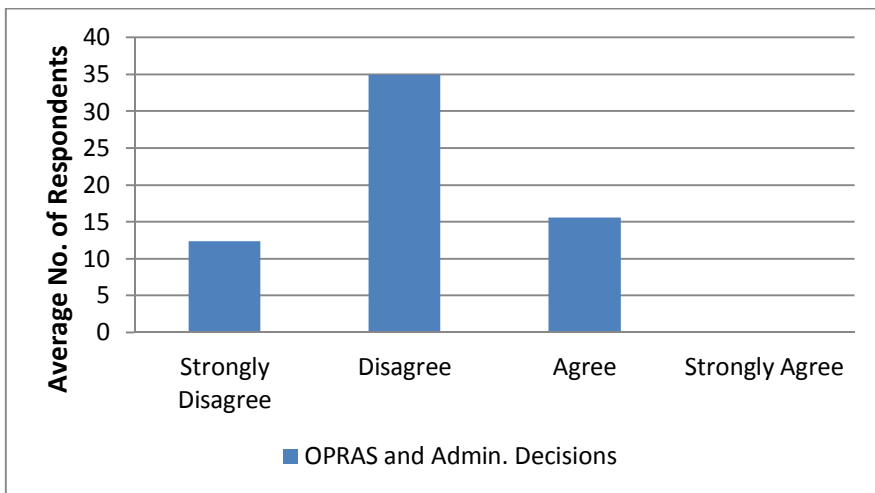
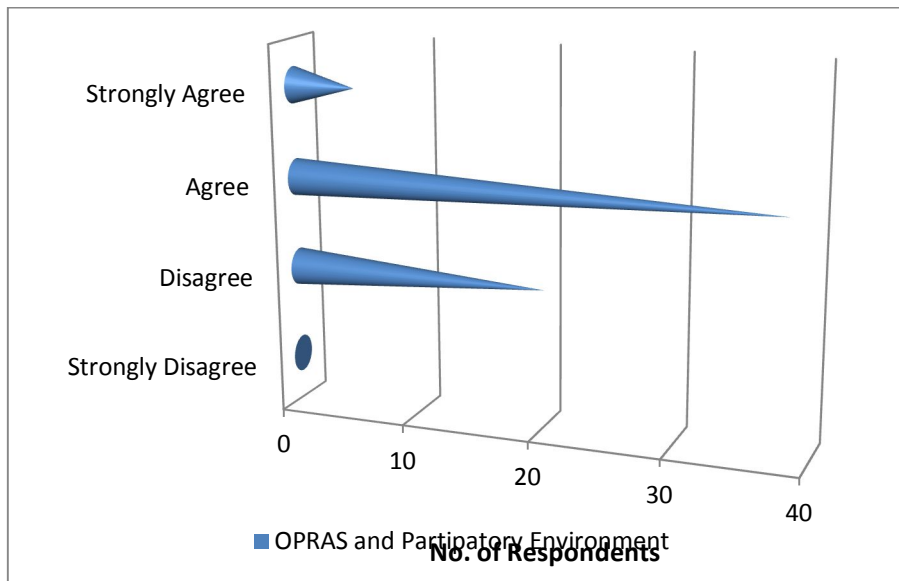


Figure 15 reveals that, among the sample of 63 respondents, 12 (20%) respondents strongly disagree, 35 (56%) respondents disagree, 16 (25%) agree and 0% of respondents strongly agree that there is a link between OPRAS results and administrative decisions. Basing on the results, majority of employees disagree on the linkage between their performance results and administrative decisions such as promotions, bonus, increments, transfer, and on sanctions. Only 25% agrees that OPRAS results are used to effect different administrative decisions. With these results, we can conclude that, OPRAS results are not used for making administrative decisions in EAs. However, from financial year 2013/14 there is circular letter issued which urged the use of OPRAS results of consecutive three years in effecting promotion, this may result to the effective use of OPRAS results on promotion, but this study cover up the year 2012.

**Figure 16: Employees perception on OPRAS and participatory environment**

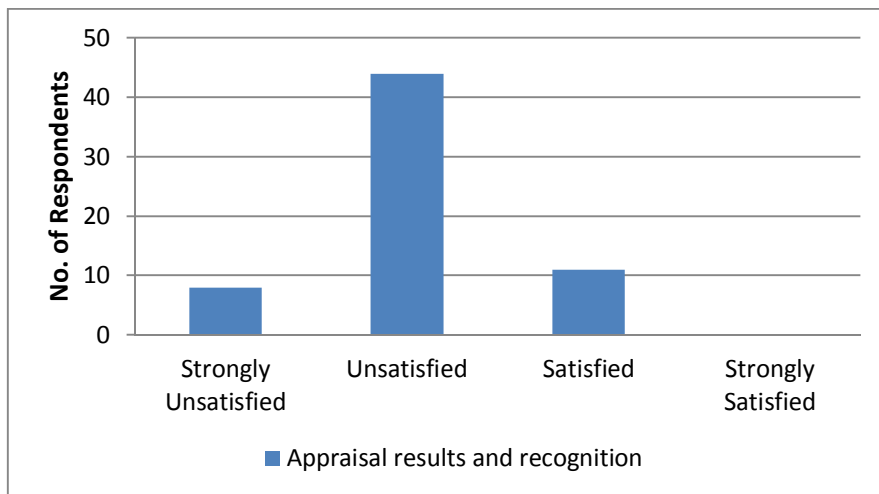


Analysis of figure 16 reveals that, from 63 respondents, 20 (32%) respondents disagree, 38 (60%) agree and 5(8%) of respondents strongly agree that OPRAS creates participatory environment. This results depicts that, majority of employees admit that OPRAS creates participatory environment, this might be due to the fact that, OPRAS process involves agreement between supervisor and subordinates on objectives that to be achieved in the particular year in which contribute to the achievements of organizations' goals, an employee is participating from planning level up to the implementation. For the employees who perceived OPRAS is not creating participatory environment it could be due to the fact that implementation of OPRAS is not done accurately as it is required as the result it doesn't create participatory condition. Gary.(2003) employees' participation is a key element of intrinsic motivational strategies that facilitate workers growth and development.

#### 6.2.4. Employees' satisfaction with OPRAS

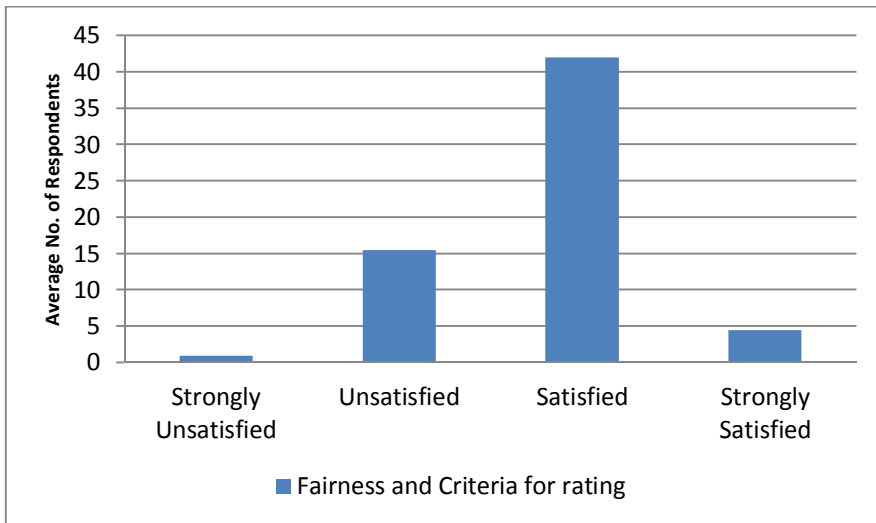
In section D of questionnaire the aim was to get views from employees on the satisfaction towards OPRAS, sought to know if employees are satisfied with OPRAS by looking at different issues: recognition, criteria and fairness on rating and general perception of employees on this system as appraisal tool.

**Figure 17: Employees perception on recognition**



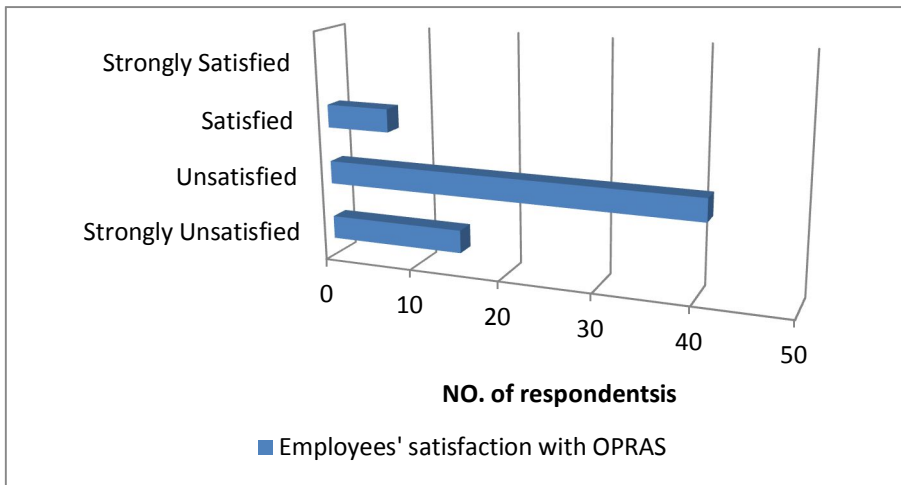
From figure 17 the study found out that, from the sample of 63 respondents, 8 (13%) respondents strongly unsatisfied, 44 (70%) respondents unsatisfied, 11 (17%) respondents satisfied and 0% respondents strongly satisfied on the recognition they receive from performance appraisal results. From the above results we can conclude that, majority of employees are not satisfied with recognition they get regarding to their performance. Since the study revealed that there is poor link between OPRAS and reward systems it is more likely for OPRAS to have adversely linkage to recognition as well.

**Figure 18: Employees perception on fairness and rating criteria**



From figure 18 it reveals that, out of 63 respondents, only 1 (2%) respondent strongly unsatisfied, 16 (25%) respondents unsatisfied, 42 ( 67%) respondents satisfied and 4 (7%) respondents strongly satisfied on the fairness and criteria used in OPRAS. These results depicts that, majority of employees are satisfied with criteria and fairness of OPRAS rating this could be due to the fact that OPRAS provides opportunity for self evaluation and rating before a discussion with supervisor and later on agree on grades according to the level of achievement towards specified objectives. According to Gary (2003) if employees are confident in the fairness of the appraisal process, they are more likely to accept performance ratings.

**Figure19: Employees' satisfaction with OPRAS as performance appraisal tool**



Analysis of figure 19 revealed that, from 63 respondents, 15 ( 24%) respondents strongly unsatisfied, 41(65%) respondents unsatisfied, 7 ( 11%) satisfied and 0% respondents strongly satisfied. These results depicts that, majority of employees are not satisfied with OPRAS. This means, OPRAS does not motivating employees and this could be due to the fact that OPRAS is not directly linked to the reward system. From these results we can conclude that, OPRAS not successfully satisfy employee's expectations, there is gap between employee's satisfaction and OPRAS. And it has been revealed that, if employees are not satisfied with the appraisal system is more likely not to respond positively towards implementation.

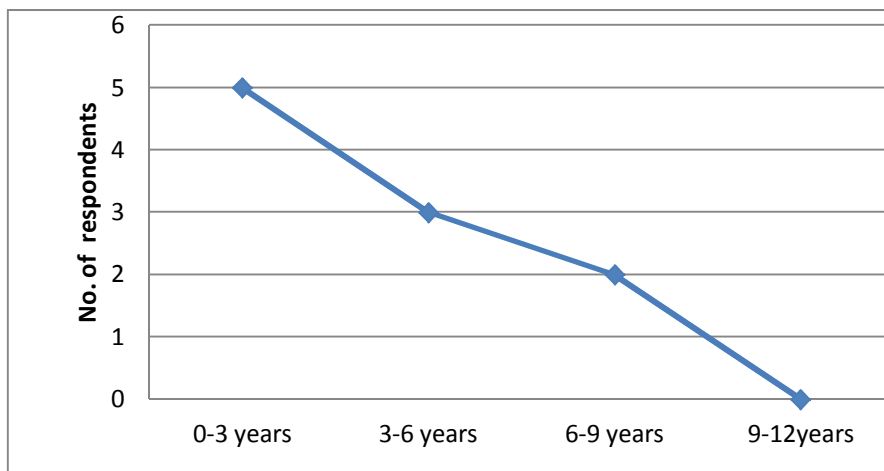
### 6.3. Human Resource Directors

HR Directors from each agency was involved in the study and questionnaire with almost similar questions with employees were offered to them in order to get consistent feedback for the comparison purpose. However, some of the questions were added of which could be better answered by them according to the virtue of their position.

#### 6.3.1.Awareness on OPRAS

On OPRAS awareness all Directors strongly agreed that they are aware of the system, researcher was expecting this kind of result since HR Directors are directly dealing with this system in the agencies for that reason they have to be much aware about it.

**Figure 20: Years of usage of OPRAS**



From the figure 20 above it depicts that, in 10 Agencies that were examined 5 of them were executing OPRAS from (0-3 years) and 3 agencies have been executing from (3-6 years), the remaining two agencies are using OPRAS for more than 6 years. The length of the usage of OPRAS may differ from one agency to another depending on the year of establishment. However, some of the agencies have been established since long time but delayed to implement OPRAS. Five agencies have been established before



OPRAS introduced in the public service , ideally all five agencies should be in group of more than six years of implementation but only two agencies TPSC and NBS have the longest use of this system. For the agencies which established while OPRAS was already in place should start implementation immediately but some of them have started implementation from financial year 2012/2013 such as ASA, NFRA, RITA, OSHA, and TaSUBA. From these results we can conclude that, considering number of years since OPRAS has been officialised in the public service which is almost nine years but only few agencies started implementation as was required, and majority of them started implementation late.

**Figure21: Director’s perception on employees understanding of OPRAS**

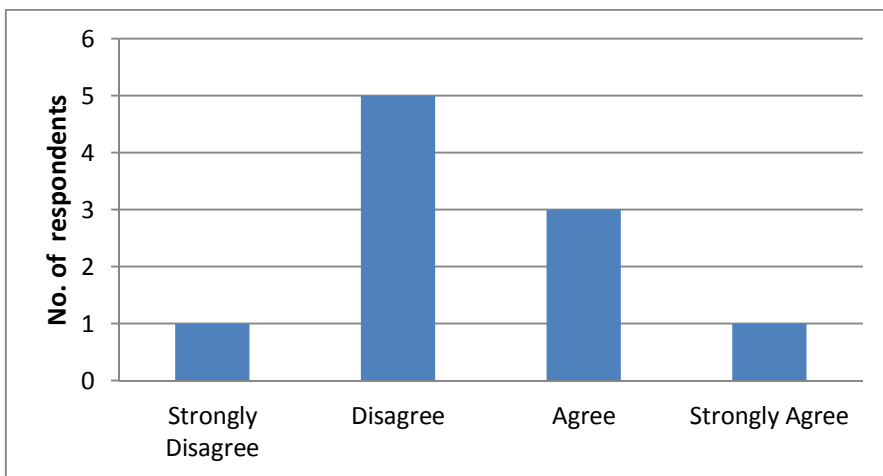
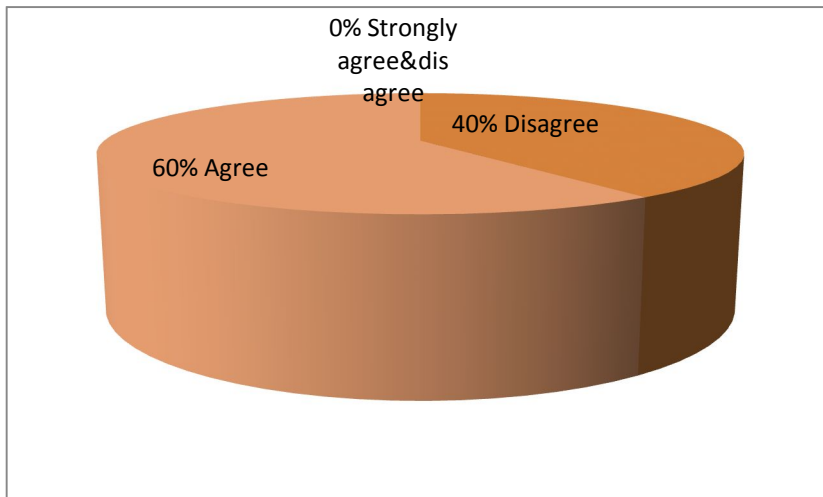


Figure 21 shows that, from the sample of ten EAs majority of HR Directors perceived that, the level of employee’s understanding on OPRAS is relatively low. In the figure above reveals that, 5 Directors disagree and one strongly disagree that employees understanding well about the system. This is consistence with the employee’s perception on the similar question. For these results we can conclude that, the level of employees understanding on OPRAS is relatively low and this might be one of the challenges for the effective implementation of OPRAS in EAs, this call for refresher training to improve employees understanding on OPRAS.

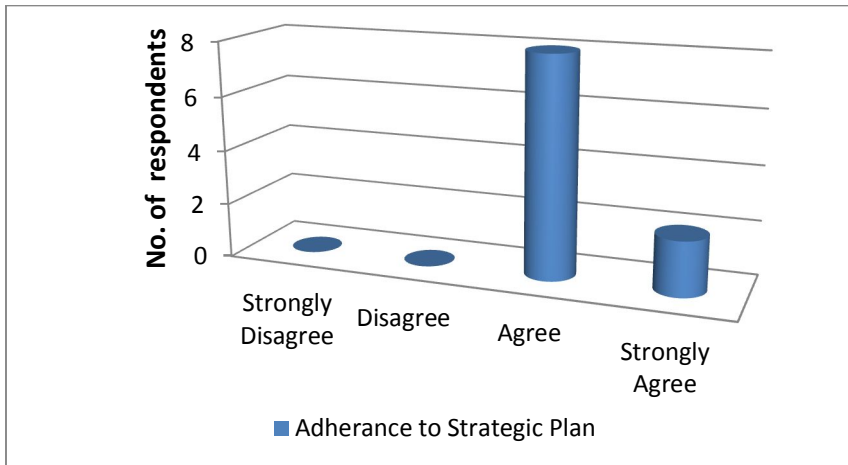
**Figure 22: Implementation of OPRAS by employees in Agencies**



From the figure 22 depicts that, 6 (60%) of the agencies under this study admit that, all employees fill OPRAS forms, and remaining 4 (40%) of agencies under this study disagree that not all employees fill OPRAS forms is either management or management and officers example in GPSA at the beginning OPRAS was used only by management but from financial year 2011/2012 started to be used by all employees. This study revealed that, most of the lower cadre staff such as drivers, secretaries, office attendants is not filling OPRAS form this might be due to the nature of their activities being not directly link to the organization objectives.

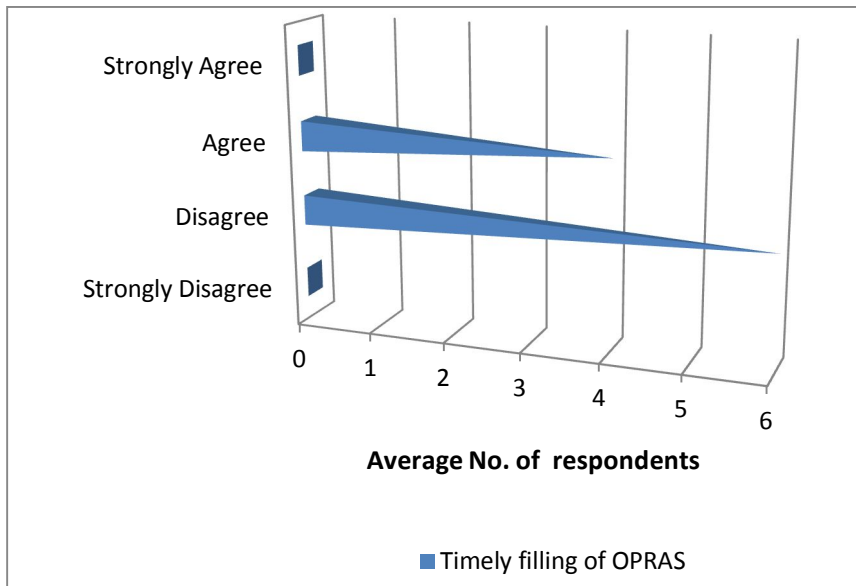
### 6.3.2.Compliance with OPRAS guideline

**Figure 23: Adherence to the organisations, key documents**



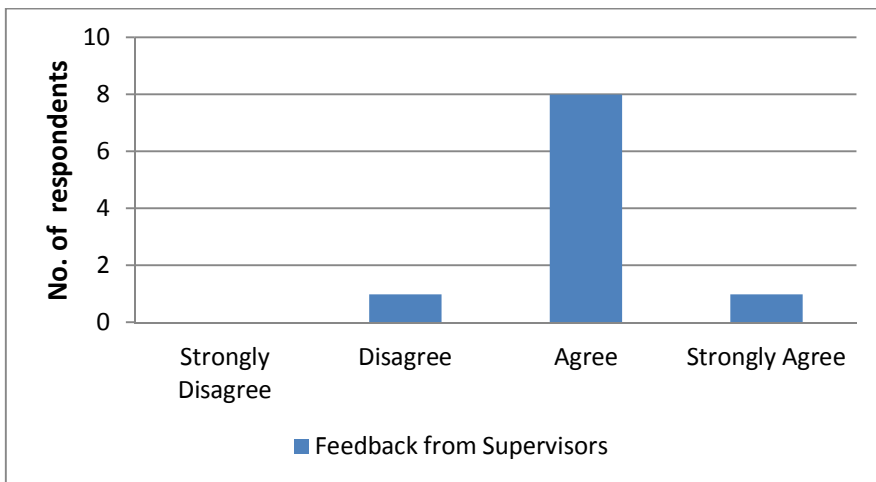
Based on figure 23 depicts that, 8 Directors agree and 2 Directors strongly agree that they adhere to the SP and other organization key documents when filling OPRAS form, this shows that, most agencies adhere to these documents and there is a link between organizational strategic plans, and individual objectives filled in the OPRAS forms. This part is also consistent with employee's perception on the similar question. However, the study revealed that qualities of the many SPs are poor which results to vague MTEF and action plan and hence creates difficulties when filling OPRAS form consequently poor quality of what filled in OPRAS forms.

**Figure24: Timely filling up of OPRAS forms and review meetings**



Based on figure 24, it is clear that majority of HR Directors of the agencies admit that are not complying with time when filling up OPRAS forms and conducting review meetings (mid and annual review). Only 4 agencies agree that are complying with time. From the results we can conclude that, compliance with time is still a challenge in most of the agencies as revealed by the study. These results are in line with the findings obtained from employees' perception on the similar questions.

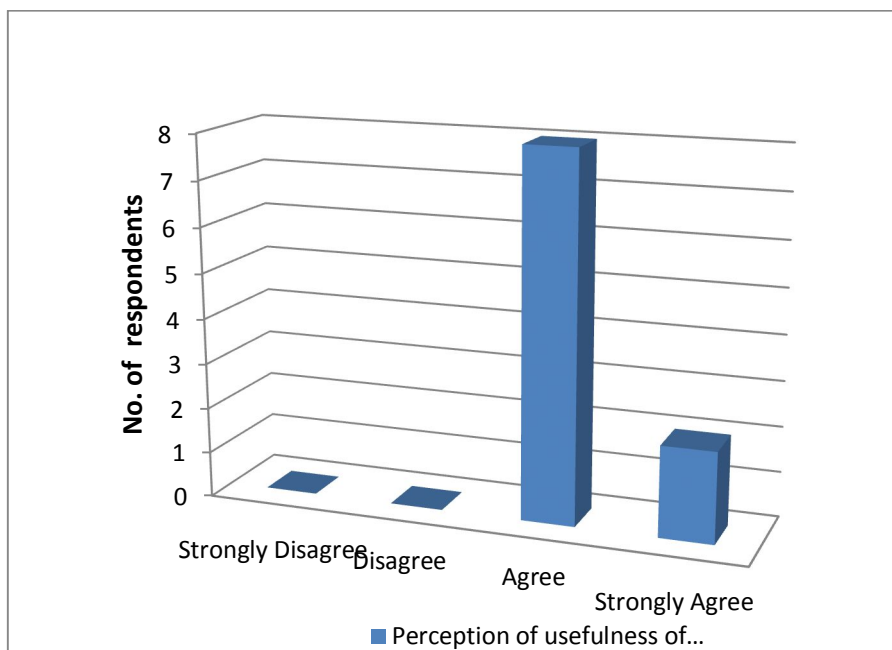
**Figure25: Feedback from supervisors**



From the figure 25 depicts that, among 10 Directors, 8 Directors agree and only 1 disagree that they get feedback from their supervisors, this depicts that most of the HR directors receive feedback from their immediate supervisors, this is contrary with employee's results on the similar question. These results imply that, at the top level employees are receiving feedback from their supervisors regarding to their performance but at lower level feedback mechanism is still poor. Therefore, much emphasize is required in order to improve feedback mechanism between employees and their supervisors on the performance.

### 6.3.3. Usefulness of OPRAS

**Figure26: Usefulness of feedback on improving performance**



From the figure 26 the study found that, similar to employees HR directors also perceived positively that feedback is useful in improving performance, 8 directors agree and 2 strong agree on that issue. In spite of this fact, results from the related question asked to the employees revealed most of the employees are not getting feedback on their performance from their supervisor which is important for improving their performance. From these results we can conclude that, despite of employees and HR Directors being positive on the usefulness of feedback, efforts should be done to ensure all employees are getting feedback accordingly.

**Figure 27: Directors' perception on OPRAS results in making administrative decisions**

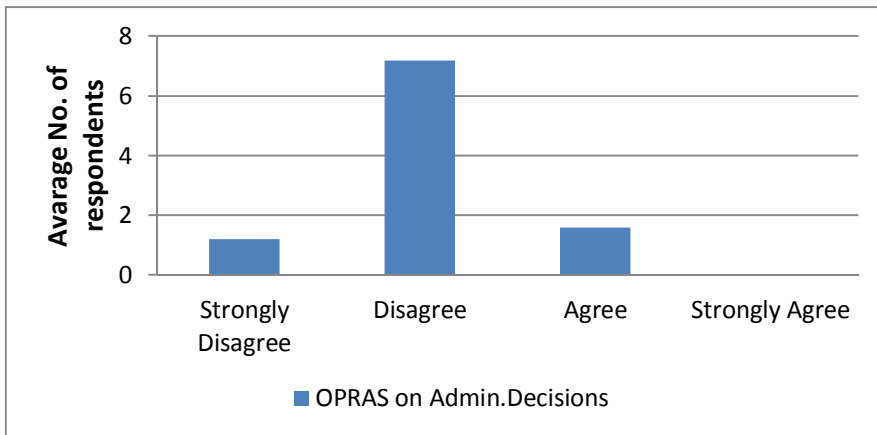
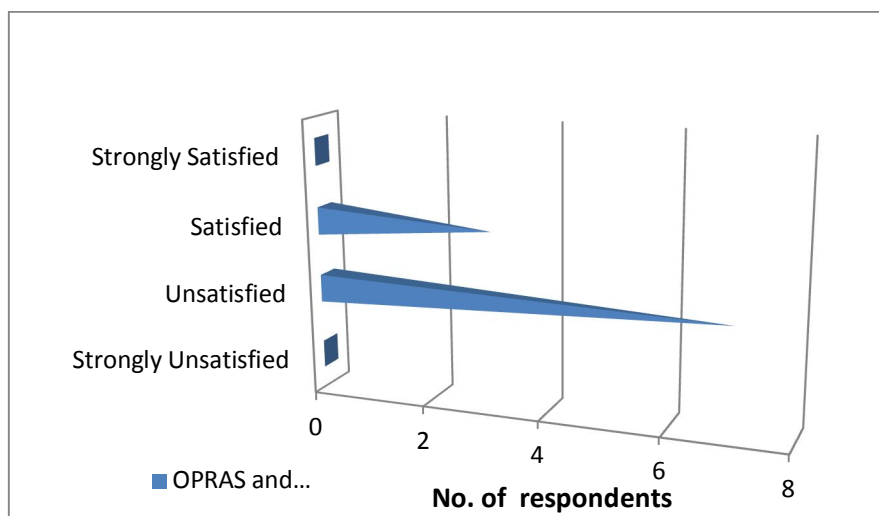


Figure 27 above depicts analysis of respondents on the issue of OPRAS and administrative decisions, HR directors just like employees both have the same perception that there is poor link between OPRAS results and administrative decisions. The results obtained from OPRAS in most cases are not considered when making different decisions such as promotion, transfer, sanction, increment as was intended. From these results it shows that most of the agencies are not using OPRAS results for making merit based HR decisions, only 2 Directors agree that there is a link. As previously mentioned from financial year 2013/14 there is new circular letter issued which urges the use of OPRAS results of consecutive three years during promotion process, this may result to the effective use of OPRAS results on promotion.

#### 6.3.4. Satisfaction with OPRAS

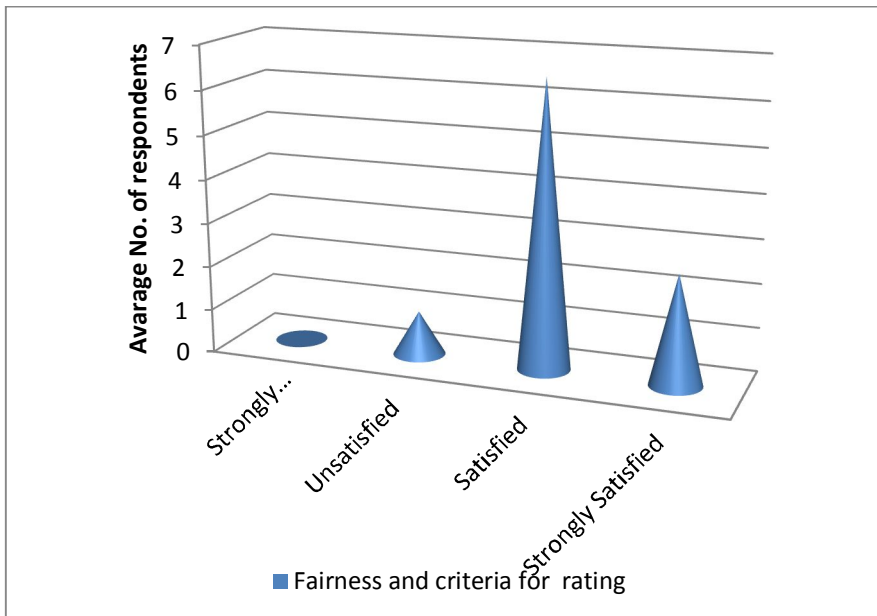
**Figure28: Directors' perception on OPRAS and recognition**



Analysis of figure 28 shows that, HR Directors from agencies under study are not satisfied with the recognition they get according to the results of their performance which obtained through OPRAS, only 3 directors agreed are satisfied. These results are consistence with employees' perception on the same issue. With this results we can conclude that, OPRAS has never been successfully on promoting recognition among employees in terms of appreciation of the work done by them , much have to be done to enhance employee's satisfaction basing on their results .Implementation of OPRAS will be effectively if employees will be recognized according to their results.

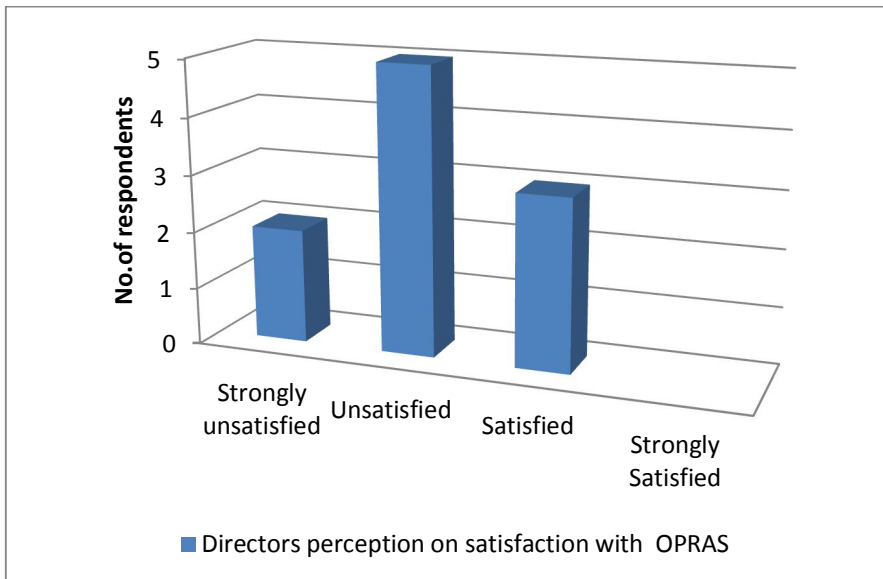


**Figure29: Fairness and criteria for rating**



From the figure 29, it was found by the study that also HR directors as employees are satisfied with fairness on the criteria used for rating, only one director is unsatisfied. Since OPRAS is transparent where by subordinate and supervisor discussing together on the performance, it creates more fairness on the rating process. Subordinate and supervisor have an opportunity to discuss in detail about the progress of each target and finally agreed on the deserved marks. Glenn et al (1968) discussions based on self-review of performance would be more satisfying than those based on manager-prepared appraisals. Studies indicate that self appraisal increases employee's preparations and readiness for the appraisal interview, enhances overall satisfaction and increases perceived appraisal fairness.

**Figure 30: Satisfaction with OPRAS**



Based on figure 30 it is clear that, HR directors have the same perception with employees that are not satisfied with OPRAS, only 3 directors out of 10 agree to be satisfied, this depicts that, the weakness on the implementation of OPRAS in EAs is largely contributed by the fact that employees are not satisfied with the system, and this could be due to the results from the study which revealed challenges facing this system which including insufficient resources, low level of understanding also poor link between OPRAS results and administrative decisions hence poor incentive for the use of the system by employees. For that reason we can conclude that, OPRAS is yet to create satisfaction to employees.

**Figure 31: Directors' perception on the employees' satisfaction with OPRAS**



From the figure 31 it has been identified that, HR director's view that employees are not satisfied with OPRAS. These results are the same with the employees' perception on the same issue, only 2 directors agree that employees are satisfied. And this could be due to the different reasons as revealed in the study which including weakness on the understanding of OPRAS among employees and poor link between OPRAS and various HR decisions of which demoralize employees. In addition, according to the literature review discussed it revealed that, employees are more likely to be satisfied with the performance appraisal if the results on their performance will yield tangible benefits. Bard (2006) intrinsically motivated employees seemed to react positively to performance appraisal.

#### **6.4. Employees' views on the challenges facing OPRAS and ways for improvement**

This part employed open ended questions to solicit views from respondents on challenges impeding the implementation of OPRAS and their suggestions for improving the implementation of the system.

Generally the views of employees of agencies and HR Directors under study were almost similar; the key challenges identified were as follows:

Majority of agencies' employees are not conversant enough on OPRAS. OPRAS is not well understood by employees, majority have received training, but understanding of the key issues to be considered especially when filling OPRAS form is not clear to majority of them and some of employees never attended any training. Additionally, some of employees revealed that, OPRAS form is difficult and somehow complicated.

Another challenge which identified by employees explain that, OPRAS is not motivating as it does not provide any incentive even for outstanding performance, there is weakness between OPRAS and reward system, and for the appraisal system to work well employees must see the link with reward system. For them if they fill OPRAS or not there is nothing to gain from it.

The study conducted by Bana (2009) indicates reward of well performing staff as one of the complaints about OPRAS is precisely that is not yet clearly linked to a system of individual rewards.

Resources also identified as a challenge because in most cases are disbursed late almost in the mid of financial year this lead to the late accomplishment of targets and in most of the time the amount of fund received is not equivalent to the planned budget hence not sufficient to accomplish goals. Angelo et al. (2006) people cannot produce results if they lack the necessary resources. Lack of resources to produce the results means the employee cannot control results with his/her actions.

Inadequate commitment and ownership from leaders and senior management on OPRAS was mentioned as a challenge for the effective implementation of OPRAS there must be a strong emphasize from leaders on the implementation of OPRAS. Leaders should be overseer of the implementation of the system.

Lower carders are facing difficulties on filling OPRAS form, because of the nature of their activities it is difficult for them to present them in OPRAS form. The way it was designed, it did not consider the activities performed by lower carders like drivers, secretaries, and office attendants hence it is becoming difficult for them to utilize OPRAS form.

Further, some of the agencies' employees revealed that, due to the nature of services provided by agencies, OPRAS form is not suitable for them, according to them OPRAS can work well in organization which is dealing with production where the output is easily measured.

Bana (2009) there are claims that the initial OPRAS forms were overly complicated to complete and they were not context-sensitive to different professional cadres in the public service.

On rating system although majority agreed are satisfied with rating system however, the challenge which identified is according to the organization culture it is difficult for a subordinate to disagree with their supervisors on rating so in most cases the rate of the supervisor will prevail, and also it is depend on the existing relationship between supervisor and subordinates, if there is tension between them and supervisor is not friendly during appraisal meeting will create fear and uncomfortable condition for subordinate and hence subjectivity on grading.

Heejoon (2006) has recognized that interpersonal affect as a potentially important influence on ratings, interpersonal affect means an individual's emotional reaction to a specific person which can affect rating. In addition, employees add that there is a possibility for rating employee higher than the

actual performance especially on the tasks that cannot be measured easily, and logically, on self rating is more likely for a person to rate herself higher than the actual performance.

Jiing-Lin et al (1988) identified two major weakness on self appraisal (1) self-appraisals are subject to self-enhancement desires and (2) most people are unable to evaluate themselves objectively or reliably enough to provide accurate information. This rating system can function most effectively in an atmosphere of trust and open communication.

The study by Ruth (2010) on factors affecting the effectiveness of performance appraisal in public sector in Tanzania explored that lack of understanding about appraisal system, lack of participation in the performance review, in effective performance feedback are the factors which hinders the effective implementation of performance appraisal in Tanzania

Ngin'ngo (2006) studied the effectiveness of OPRAS in the President's Office Public Service Management (PO-PSM) he concluded that the implementation of OPRAS has not been effective due to lack of participation by main stakeholders in developing and implementing the system; lack of transparency in OPRAS; failure to communicate appraisal results; and the lack of understanding of the entire mechanism of OPRAS by the majority of staff.

Mbonde (2011) in his study on OPRAS concludes that the variations in implementation of OPRAS in Tanzania Public service has been due to the variations in MDAs internal conditions which are low level of awareness, lack of management commitment, low level of stakeholders involvement and lack of sufficient support.

Kangila (2006) studied employees' perception on performance appraisal in Tanzanian public service and concluded that performance appraisal was not successful and did not achieve its required objectives because of low

involvement of employees on its introduction, little knowledge and insufficient training.

Nils , et al ( 2012) in assessing OPRAS, the findings revealed that OPRAS does not work as intended due to modalities of measuring performance , the poor implementation of feedback mechanism and experience of not seeing any tangible benefits of OPRAS.

Gary (2003) in his study about factors that attenuate the effectiveness of participation of employees in performance appraisal is including lack of training, absence of rater accountability strategies and supervisory resistance to honest subordinate feedback

#### **6.4.1.Ways for Improvement**

Respondent suggested various ways that can be followed for improving implementation of OPRAS in agencies and in entire public service. Majority of respondents suggested the following:

They suggested to conduct more training in order to equip employees with the knowledge since many of employees received OPRAS training long time and some of them are new employees and others have transferred as the result they implement OPRAS in poor quality especially when filling OPRAS form and make SMART targets, training must be a continuously process. Leigh (2010) employee have to know to conduct Performance appraisal, training should take place regularly to provide refreshers and updates on any changes to the process

Majority of respondents emphasized on linking OPRAS with reward system. Employees should be rewarded based on their OPRAS results and not otherwise by doing so employees will value the system. Employees are more likely to implement performance appraisal systems if is considered in making a wide range of personnel decisions in organizations. (Kevin. 1995).

Timely disbursement of resources will make the implementation of OPRAS more effectively, as of now fund disbursed late and not in line with the planned budget in which makes difficulties for employees to accomplish their goals. Neely A. (1995) budgetary constraints and poor prioritization is the one of the factors which makes OPRAS to underperform.

Special forms should be designed for lower carders such as drivers, secretaries and office attendants which will be simple according to their activities, the existing form is difficult for them to fill. In addition, review of OPRAS form should be done to suit the nature of some of the agencies' services.

Senior management in agencies should sphere head implantation of OPRAS in agencies by doing so will motivate other employees in lower carder to implement OPRAS and value it. And HR department should enhance monitoring of OPRAS implementation in the organizations.

Durevall et al (2005), ownership of agenda by the agents of implementation including political leaders, top managers, senior, middle and public servants at all levels of the organization is crucial and further assert that lack of ownership and initiative by the senior leaders can seriously affect the implementation process.

Corkery (1995) insists that ownership needs to be secured among the ranks and files of administration as well as the senior levels in the organization if any change in organisation is to be successful executed.



## **7. CHAPTER SEVEN: SUMMARY, CONCLUSION AND RECOMMENDATIONS**

This chapter provides summary, conclusion and recommendations of the study based on the findings on the previous chapter. For a researcher to come out with conclusion and useful recommendations the summary of the key findings is presented followed by conclusion and recommendations according to the situation revealed by the study.

### **7.1. Summary of the key findings**

The study sought to examine the implementation of OPRAS in EAs by looking at different aspects as shown in previous chapters and answer specified research questions. Below is summary of key findings of the study. In general OPRAS is not well understood by EAs employees, although the study has shown majority of employees are aware of the system and attended training but still the level of understanding is relatively low, there is weakness on that area. Filling up of OPRAS form seems to be a challenge to majority of employees especially on developing SMART targets, they just fill forms because they are required to do so but the quality of what filled inside the form is poor. In addition, there is delay of filling up of the forms, in most cases is done retrospectively just nearly to the end of the financial year the same applies to the mid and annual reviews.

Performance appraisal entails to motivate employees for performance improvement by its results being used in making various decisions and on merit based reward system. Ideally, appraisal results should be used in making merit based HR decisions. However, study revealed that, OPRAS is not motivating employees because of poor link with reward system and HR decisions which is important for increasing employee's morale towards their daily performance. Majority of agencies under review admit that appraisal

results are not effectively used to determine administrative decisions. On the contrary, most of administrative decision such as promotions, increments are based on seniority and public service scheme of respective cadre. In spite of the fact that, the scheme of service has captured issues of performance based promotion, but in reality and in most cases are not taken into consideration. Notwithstanding OPRAS guideline provide for discretion for institutions to innovate kind of rewards for best performers but still OPRAS results are not used for making such decisions.

In addition, the study revealed that employees are not satisfied with OPRAS because of the many challenges facing this system which including low level of understanding and reward system is not directly connected to OPRAS consequently employees are not motivated to use this system. Logically, employees are expecting to be recognized according to their performance results obtained from OPRAS.

Rabia et al, (2011) in the study of the relationship of employees satisfaction and performance appraisal findings shows that, there is relationship between two variables, the study confirmed that employee satisfaction with performance appraisal is the key element for the effective implementation of performance appraisal.

Mellica (2012) argue Human resource performance management practices in organizations are essentially related to the satisfaction of employees.

Inadequate resources was mentioned by many employees to be an obstacle for the effective implementation of OPRAS because in most cases amount of fund received is not reflecting the actual plan and received late which delays implementation of activities and some of them completely not done due to budget constrain. Bwalya (2006) scarcity of resources may constrain the implementation of performance appraisal especially in the context of developing countries where resources are in most cases inadequate and governments depend on the funds from the donors.

Studies have also shown that there is relationship between effective implementation of reforms and availability of resources. In his study on the factors which constrained the implementation of Reforms in Tanzania Lukumai (2006) deduced evidence that among other factors, the limited resources constrained the efforts of the government in the implementation of the Civil Service Reform Programme. OPRAS is the part of the public service reform so the effective implementation of it is largely depends on resources.

Furthermore, the study revealed that, majority of employees are not getting feedback from their supervisors regarding to their performance, although OPRAS providing opportunity for supervisors to provide feedback but the study revealed that majority of employees are not getting any feedback from supervisors.

Ngirwa (2003) has reported the essence of feedback of the employees' performance. According to him feedback has motivational effect on the employees. If the employees performance is appraised as satisfactory, it aims at recognizing and become expression gratitude from his/her employer and therefore an encouragement to work harder and more efficient.

Moreover, the study revealed that most of agencies under the study started the implementation of OPRAS late, even after OPRAS being incorporated into the legal framework in 2008. Although some of the agencies have been established while OPRAS was already in place but they started implementation late.

PO-PSM have been encouraging MDAs with issues on the structure or content of the form to customize it and get approval from PO-PSM. But it was revealed by the study that EAs are not aware if they can customize form according to their demands as they identified as one of the challenge.

## **7.2. Conclusion**

The analysis of data collected in this study together with the discussion and interpretation of findings enabled the researcher to come out with the conclusion that in general, OPRAS in EAs is not effectively implemented. The study revealed that majority of EAs are not implementing OPRAS in accordance to the principles and standards required according to the OPRAS guideline and there is weakness in the usage of appraisal results in making administrative decisions.

The literature reviewed in chapter two revealed ideally how the appraisal results should be used in making various administrative decisions, there must be a direct link between appraisal results and administrative decisions for the effective implementation of any appraisal system. On the contrary, OPRAS results are not effectively used in making administrative decisions. The absence of the link marks a major hindrance factor for the effective implementation of OPRAS not only in agencies but also in other government institutions.

In public service decisions on promotion what is considered most is public service scheme (2003) which specifies criteria for promotion although performance of employees is also mentioned as one of the criteria but in most cases seniority is mostly considered for deciding promotion rather than performance of employee, generally performance is given low consideration compared to seniority. Recently (in financial year 2013/2014), the President Office, Public Service Management has issued circular letter which urge each Ministry, Agencies and Government departments to adhere to three consecutive OPRAS results in effecting staff promotions. However, this study covers the period before the issuance of this circular.

Furthermore, Inadequate knowledge about the system hindering the effective operationalisation of OPRAS, many employees have received training but according to the findings still there is knowledge gap on OPRAS especially on how to fill OPRAS form, developing individual objectives and SMART target and cascading process is not well understood by the employees which

is very important in OPRAS process. The study has revealed that, capacity building measures required for imparting knowledge and skills to employees for effective implementation of OPRAS. Most of employees lack technical knowledge on how to implement OPRAS.

Corkery (1998) argues that effective implementation of performance appraisal in the public service organizations depends on the level of skills, competencies and capabilities available within these organizations as well as the structures and systems within which these capacities are applied.

Poor implementation of OPRAS is also contributed by slow adaption of changes by employees and change of mindset. Employees fear for changes and being accountable for their results. This is a new system in Public service so it might take time for employees to adapt.

A study on the factors which influence employees' resistance to change in organizations by Amba-Rao (1989) reveals that the employees' perception of a change initiative can positively or negatively influence the change implementation efforts in public service organizations.

### **7.3. Recommendations**

In view of the findings discussed and the conclusion given, researcher would like to make the following recommendations for improving implementation of OPRAS across agencies and public service at large.

The more emphasize should be made to ensure OPRAS results are used for making administrative decisions as intended. The recent circular will be effective if close supervision will be made to ensure each organization adhere to it when effect promotion. Cleveland et al. (1989) organizations use appraisals for a variety of purposes, including using the results of appraisal as input for making decisions about employees. Performance appraisals will be most effective when they are applied consistently to a number of decisions.

Bana (2009) in his study regarding OPRAS recommended employee performance appraisal should be among other things serves as a tool for identification of the employees' training needs further should also provide a means to recognize and reward good performance as well as to manage underperformance.

Additionally, there is a need to develop a performance based rewards guideline that will link OPRAS and reward system. This guideline will guide MDAs on linking OPRAS and decisions in any kind of rewards with OPRAS. HR decisions should be informed by OPRAS appraisal results. Moreover, the best annual employee awards should be based on performance results. The best performer of the organization should be chosen based on his performance according to OPRAS results, as of now criteria and process used to choose the best performers in organizations is too subjective. Bana (2009) credibility of OPRAS should be improved by linked to credible rewards, salary progression guided by performance or non pay reward system should be used as positive reinforcement in order to enable employee in to the imperatives of OPRAS.

Public Service Commission and PO-PSM should enhance monitoring of OPRAS in Executive Agencies, and actions should be taken for the Agencies which are not effectively use OPRAS, carrot and stick approach should be applied. In addition, HR departments should also strengthen monitoring to ensure every employee fill OPRAS form timely and mid-year and annual meetings are conducted on time as well.

Ole (2007) contends that compliance to merit based practices can be improved through more regular and systematic inspection, HRM inspection should be improved in both Executive agencies and Local governments.

Most of agencies have received OPRAS training during the period of establishment, and by then they had few employees, there is a need to have sustainable plan to provide training for new employees. In addition, it is

advised for each agency to have OPRAS trainers who received special training on OPRAS (Training of Trainers-TOTs) so they can provide training to new employees and guide other employees. Additionally, much of emphasis should be made on refresher courses on OPRAS to improve understanding of OPRAS among employees.

Gary E. (2003) absence of training and support hinders the effectiveness of performance appraisal, employees and management requires conceptual, experimental education on performance appraisal processes, managers should receive extensive training in conducting interviews and providing feedback.

Leadership commitment is very important in order for the OPRAS to work effectively, both the leaders within organizations and leaders who are responsible for public service; Chief Secretary and Permanent Secretary PO-PSM should provide instructions which strongly emphasize the implementation of OPRAS in public organizations and actions should be taken to defaulters, if the leaders will put emphasize on the use of OPRAS will result to the effective implementation of the system. Leaders have the role to persuade employees, lack of commitment of the top management/leaders in EAs leads to ineffective implementation of OPRAS. The President can also intervene for more emphasize as in Kenya and Rwanda the presidents sphere head the implementation of performance appraisal and employees effectively utilize the system.

Fernandez and Pitts (2006) argue that effective leadership is needed to revitalize the organizations and facilitate adaptation to their changing environment. According to them the existence of a strong managerial leadership within the public service organizations can be a significant force towards effective implementation of organizational reforms.

In addition, strong actions should be taken for defaulters of the system and leaders in the organizations should be held accountable for the failure of the system in their organizations.

Moreover, agencies should improve their strategic plan and develop in accordance to the SP guide line, for having SP which is in good quality will make MTEF and action plan to be clear as well and make the process of filling OPRAS form much easier.

Automation of OPRAS will reduce workload to the employees and will facilitate timely filling of OPRAS forms. Strengthening the use of ICT will also improve data management. Leigh (2005) an automated solution will make employee appraisal faster, easier and much more effective, collected information stored conveniently on line where can be utilized by authorized personnel.

From the study it was revealed that some of EAs are not comfortable with OPRAS forms due to the uniqueness of some of the services provided by EAs. PO-PSM has already given flexibility to customize forms but it seems agencies are not aware of that, it's upon PO-PSM to create awareness to EAs that they can do customization with approval from PO-PSM. In addition, it is imperative for PO-PSM to review the form and distinguish for lower carders such as drivers, secretaries and office attendants by simplifying them according to their activities.

#### **7.4. Limitation of the study**

The survey is subjected to the bias and prejudice of the respondents and researcher. Hence 100% accuracy cannot be assured. And also a research was carried out in a short span of time and while researcher was in another country hence was difficult to distribute and collect questionnaire and to make close follow-up.



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## APPENDIX A

### QUESTIONNAIRE FOR STAFF

Dear Respondent,

I am a Master of Public Administration student of Seoul National University (SNU) conducting a study on the topic “**Research on the Introduction of Open Performance Review Appraisal System (OPRAS) in Executive Agencies (2008-2012)**”. Please, be assured that confidentiality of your response is highly guaranteed and your response will be used for academic purposes only. Name or any form of information about your identity is not required. And if you need findings of this research do not hesitate to send a request to [misskaji@yahoo.com](mailto:misskaji@yahoo.com). Thank you for giving me your precious time for this questionnaire.

Kindly fill the following Information

**Please marking the appropriate answer in each section**

#### Section A.

##### Awareness on OPRAS

1.

- a) Strongly disagree
- b) Disagree
- c) Agree
- d) Strongly Agree

2. Did you trained on OPRAS?

Yes ☐ No ☐

If not how did you learn about OPRAS?

- a) Through my colleagues
- b) Through my supervisor
- c) Using personal initiatives
- d) Neither of above (open questions)

3. Do you think OPRAS is clearly understood by employees in the organization

- a) Strongly disagree
- b) Disagree

- c) Agree
- d) Strongly Agree

**Section B:**

**Compliance with OPRAS  
guideline**

4. While filling OPRAS form do you adhere to the **Organization's Strategic plan**, MTEF and Action Plan
  - e) Strongly disagree
  - f) Disagree
  - g) Agree
  - h) Strongly Agree
  
5. Do you think there is a link between **individual objectives** filled in OPRAS form and Organization Objectives
  - a) Strongly disagree
  - b) Disagree
  - c) Agree
  - d) Strongly Agree
  
6. Is OPRAS form filled on time?
  - a) Strongly disagree
  - b) Disagree
  - c) Agree
  - d) Strongly Agree
  
7. Is **midyear and annual review** conducted on time?
  - a) Strongly disagree
  - b) Disagree
  - c) Agree
  - d) Strongly Agree
  
8. Is **appraisal meeting** conducted on time?
  - a) Strongly disagree
  - b) Disagree
  - c) Agree
  - d) Strongly Agree
  
9. Do you get **feedback from your Supervisor** about your performance?

- a) Strongly disagree
- b) Disagree
- c) Agree
- d) Strongly Agree

10. Does the HR department monitor implementation of OPRAS?

- a) Strongly disagree
- a) Disagree
- b) Agree
- c) Strongly Agree

### Section C:

#### Usefulness of OPRAS

11. Is feedback useful for the improvement of your performance?

- a) Strongly disagree
- b) Disagree
- c) Agree
- d) Strongly Agree

12. Do you think OPRAS results are used for making organization's decisions?

- a) Strongly disagree
- b) Disagree
- c) Agree
- d) Strongly Agree

13. Transfer, suspension, demotion, dismissal are based on OPRAS results?

- a) Strongly disagree
- b) Disagree
- c) Agree
- d) Strongly Agree

14. Is OPRAS increase employees motivation?

- a) Strongly disagree
- b) Disagree
- c) Agree
- d) Strongly Agree

15. Is performance ratings used to fix increments?

- a) Strongly disagree
- b) Disagree
- c) Agree
- d) Strongly Agree

16. Is promotion based on performance appraisal?

- a) Strongly disagree
- b) Disagree
- c) Agree
- d) Strongly Agree

17. Is OPRAS creating a participative environment in the organization?

- a) Strongly disagree
- b) Disagree
- c) Agree
- d) Strongly Agree

**Section D:**

**Satisfaction**

18. Are you satisfied with the recognition you get according to your performance results?

- a) Strongly unsatisfied
- b) Unsatisfied
- c) Satisfied
- d) Strongly satisfied

19. Are you satisfied with criteria used for rating?

- a) Strongly unsatisfied
- b) Unsatisfied
- c) Satisfied
- d) Strongly satisfied

20. Are you satisfied with fairness in rating?

- a) Strongly unsatisfied
- b) Unsatisfied
- c) Satisfied

d) Strongly satisfied

21. Are you satisfied with the feedback you get from your supervisors?

- a) Strongly unsatisfied
- b) Unsatisfied
- c) Satisfied
- d) Strongly satisfied



22. Are you satisfied with OPRAS

- a) Strongly unsatisfied
- b) Unsatisfied
- c) Satisfied
- d) Strongly satisfied

23. Considering everything are you satisfied with OPRAS as performance appraisal tool?

- a) Strongly satisfied
- b) Satisfied
- c) Unsatisfied
- d) Strongly unsatisfied

24. Do you feel free to express to your appraiser, your disagreement regarding the appraisal results?

- a) Strongly satisfied
- b) Satisfied
- c) Unsatisfied
- d) Strongly unsatisfied

**Section E:**

**Challenges and ways for Improvement**

**Challenges**

25. What are challenges that OPRAS faces?

.....  
.....

**Improvement**

26. What can be done to overcome challenges above?

.....  
.....

**Section F:**

**Demographic Characteristics of Respondents**

**Organization**

.....

**Department**

.....

**Position**

.....

**Please tick to the appropriate answer**

- a) Gender of respondent

Male ☐ Female ☐

b) For how long have you **been employed** in public service  
1-3 years, ☐ 7 years ☐ 0 years ☐ re than 10 years ☐

c) **Highest education level attained by a respondent.**

Certificate ☐ Advance Diploma ☐ Degree ☐ Masters ☐  
PHD

d) Age of respondent

- a) Below 20yrs
- b) 20-30yrs
- c) 31-40yrs
- d) 41-50yrs
- e) 51 and above

**Thank you!**

## APPENDIX B

### QUESTIONNAIRE FOR HUMAN RESORCE DIRECTORS/ MANAGERS

Dear Respondent,

I am a Master of Public Administration student of Seoul National University (SNU) conducting a study on the topic “**Research on the Introduction of Open Performance Review Appraisal System (OPRAS) in Executive Agencies (2008-2012)**”. Please, be assured that confidentiality of your response is highly guaranteed and your response will be used for academic purposes only. Name or any form of information about your identity is not required. And if you need findings of this research do not hesitate to send a request to [misskaji@yahoo.com](mailto:misskaji@yahoo.com). Thank you for giving me your precious time for this questionnaire.

Kindly fill the following Information

#### Section A:

##### Awareness on OPRAS

1. Are you aware of OPRAS?
  - a) Strongly disagree
  - b) Disagree
  - c) Agree
  - d) Strongly Agree
  
2. For how long OPRAS has been used in this Organization?
  - a. 0-3
  - b. 3-6
  - c. 6-9
  - d. 9-12
  
3. Did you trained on OPRAS?  
Yes ☐ No ☐

If not how did you learn about OPRAS?

- a) Through my colleagues
- b) Through my supervisor
- c) Using personal initiatives

d) Neither of above

4. Do you think OPRAS is clearly understood by employees in the organization?
  - a) Strongly disagree
  - b) Disagree
  - c) Agree
  - d) Strongly Agree
5. Does all staff fill OPRAS form?
  - a) Strongly disagree
  - b) Disagree
  - c) Agree
  - d) Strongly Agree
6. Are all employees been trained on OPRAS?
  - a) Strongly disagree
  - b) Disagree
  - c) Agree
  - d) Strongly Agree

**Section B:**

<b>Compliance with OPRAS guideline</b>
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7. While filling OPRAS form do you adhering to the Organization's Strategic plan, MTEF and Action Plan?
  - a) Strongly disagree
  - b) Disagree
  - c) Agree
  - d) Strongly Agree
8. Do you think there is a link between individual objectives filled in OPRAS form and Organization's Objectives?
  - e) Strongly disagree
  - f) Disagree
  - g) Agree
  - h) Strongly Agree

9. Is OPRAS form filled on time?
- a) Strongly disagree
  - b) Disagree
  - c) Agree
  - d) Strongly Agree
10. Is midyear and annual review conducted on time?
- a) Strongly disagree
  - b) Disagree
  - c) Agree
  - d) Strongly Agree
11. Is appraisal meeting conducted on time?
- a) Strongly disagree
  - b) Disagree
  - c) Agree
  - d) Strongly Agree
12. Does the HR department monitor implementation of OPRAS?
- a) Strongly disagree
  - b) Disagree
  - c) Agree
  - d) Strongly Agree
13. Do you get feedback from your Supervisor about your performance?
- a. Strongly disagree
  - b. Disagree
  - c. Agree
  - d. Strongly Agree

**Section C:**

**Usefulness of OPRAS**

14. Is feedback useful for the improvement of your performance?
- e) Strongly disagree
  - f) Disagree
  - g) Agree

- h) Strongly Agree
15. Do you think OPRAS results are used for making organization's decisions?
- a) Strongly disagree
  - b) Disagree
  - c) Agree
  - d) Strongly Agree
16. Transfer, suspension, demotion, dismissal are based on OPRAS results?
- a) Strongly disagree
  - b) Disagree
  - c) Agree
  - d) Strongly Agree
17. Is OPRAS increase employees motivation?
- a) Strongly disagree
  - b) Disagree
  - c) Agree
  - d) Strongly Agree
18. Is performance ratings used to fix increments?
- a) Strongly disagree
  - b) Disagree
  - c) Agree
  - d) Strongly Agree
19. Is promotion based on performance appraisal?
- a) Strongly disagree
  - b) Disagree
  - c) Agree
  - d) Strongly Agree
20. Is OPRAS creating a participative environment in the organization?
- a) Strongly disagree
  - b) Disagree
  - c) Agree
  - d) Strongly Agree

e)

**Section D:**

**Satisfaction**

21. Are you satisfied with the recognition you get according to your performance results?
  - a) Strongly unsatisfied
  - b) Unsatisfied
  - c) Satisfied
  - d) Strongly satisfied
22. Are you satisfied with criteria used for rating?
  - a) Strongly unsatisfied
  - b) Unsatisfied
  - c) Satisfied
  - d) Strongly satisfied
23. Are you satisfied with fairness in rating?
  - a) Strongly unsatisfied
  - b) Unsatisfied
  - c) Satisfied
  - d) Strongly satisfied
24. Are you satisfied with the feedback you get from your supervisors?
  - a) Strongly unsatisfied
  - b) Unsatisfied
  - c) Satisfied
  - d) Strongly satisfied
25. Considering everything are you satisfied with OPRAS as performance appraisal tool?
  - a) Strongly unsatisfied
  - b) Unsatisfied
  - c) Satisfied
  - d) Strongly satisfied
26. Do you feel free to express to your appraiser, your disagreement regarding the appraisal decisions?
  - a) Strongly disagree
  - b) Disagree
  - c) Agree
  - d) Strongly Agree
27. In your opinion, are your staffs satisfied with OPRAS as the system used in assessing their performance in the Organization?
  - a) Strongly unsatisfied

- b) Unsatisfied
- c) Satisfied
- d) Strongly satisfied

**Challenges and ways for  
Improvement**

**Section E:**

**Challenges**

28. What are challenges that OPRAS faces.

.....

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**Improvement**

29. What can be done to overcome challenges above?

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## Demographic Characteristics of Respondents

### Section F: Organization

.....  
**Department**

.....  
**Position**

.....  
**Please tick to the appropriate answer**

a) Gender of respondent

Male ☐ Female ☐

b) For how long have you been employed in Public service  
1-3 years, ☐ 4-7 years ☐ 7-10 years ☐ more than 10 years ☐

c) Highest education level attained by a respondent.

Certificate ☐ Advance Diploma ☐ Degree ☐ Masters ☐  
PHD ☐

d) Age of respondent

- a) Below 20yrs
- b) 20-30yrs
- c) 31-40yrs
- d) 41-50yrs
- e) 51 -50

**Thank you!**

국문초록

# 업무평가공개제도 도입에 관한연구 : 탄자니아 정부기구에 관한 사례연구 (2008- 2012)

**Jane Simon Kaji**

행정대학원 행정학 전공

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본 연구는 탄자니아의 업무평가공개제도(OPRAS) 집행의 효과성을 탐색해보고자 10개의 정부기구를 대상으로 연구하였다. (Registration, Insolvency and Trusteeship Agency (RITA), Occupational Safety and Health Agency (OSHA), Tanzania Public Service College (TPSC), National Food Reserve Agency (NFRA), Government Procurement Services Agency (GPSA), National Bureau of Statistics (NBS), Agricultural Seed Agency (ASA), Tanzania National Roads Agency (TANROADS), Tanzania Building Agency (TBA) and Taasisi ya Sanaa na Utamaduni Bagamoyo (TaSUBA))

표본추출을 위해서 목적표본추출과 무작위표본추출 방법을 사용하였다. 설문조사를 실시하였으며 질문지와 1차 및 2차 자료 검토를 통해 확보한 자료를 분석하였다. 연구결과, 업무평가공개제도(OPRAS)의 집행은 정부가 기울인 노력에 비해서 효과적이지 않은 것으로 나타났다. 많은 정부기구들이 늦게 집행을 실시하였고, 평가결과가 실제로 행정 결정에 많이 활용되지 않고 있었다. 또한 많은 정부기구 직원들이 업무평가공개제도를 위한 교육에 참여하였음에도 불구하고 이 제도에 대한 이해도가 낮은 것으로 나타났다. 뿐만 아니라 OPRAS 제도의 지침서에 제시한

중요한 원칙들을 실제 준수하는데 어려움이 있는 것으로 나타났다. 또한 직원들은 업무평가공개제도에 만족하지 않는 것으로 나타났다.

본 연구는 업무평가공개제도의 집행을 가로막고 있는 요인들에 대해서도 살펴보았다. 불충분한 자원, OPRAS 제도와 행정결정의 연계가 잘 되지 않는 점, 직원들의 이해도가 낮은 점, 리더십의 부재, 보상체계가 미약한 점, 징벌체계 역시 미흡한 점 등이 그러한

본 연구는 끝으로 업무평가공개제도의 보다 효과적인 집행을 위한 정책을 제안하였다. 평가제도와 보상체계를 연계시킬 수 있는 보상제도를 구축해야 하고, 업무평가공개제도에 대한 이해를 넓힐 수 있도록 교육훈련제도를 확대해야 하며, 직원들에 대한 연수를 실시해야 하고 또한 리더십들의 헌신 역시 필요하다. 그리고 중앙정부 인사부처는 정부기구들의 제도집행을 더욱 강하게 감독해야 한다. 끝으로 업무태만자에 대한 징벌체계 역시 재구축해야 할 것을 제안하였다.

주요어: OPRAS, 업무평가제도, 정책집행

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