

**THE EFFECTIVENESS OF OPRAS IN PERFORMANCE MANAGEMENT
IN LOCAL GOVERNMENT AUTHORITIES:
A CASE OF LUDEWA LOCAL GOVERNMENT AUTHORITY**

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**A DISSERTATION SUBMITTED IN PARTIAL FULFILMENT
OF THE REQUIREMENT FOR THE DEGREE OF MASTER OF
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SUPEVISOR’S CERTIFICATION

The undersigned certifies that she has read and hereby recommends for acceptance a dissertation titled “The Effectiveness of OPRAS in Performance Management in Local Government Authorities: A case of Ludewa Local Government Authority” in partial fulfilment of the requirements for the award of the degree of Master of Human Resource Management of the Open University of Tanzania.

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Date.....

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DECLARATION

I, Fanuel Brown Mwakibete declare that this dissertation titled “The Effectiveness of OPRAS in Performance Management in Local Government Authorities: A case of Ludewa Local Government Authority” is my original work and has not been submitted and will not be submitted for a similar or any other degree in any other university.

.....

FANUEL BROWN MWAKIBETE

Date.....

DEDICATION

I return glory to the Almighty God and Holy Mary mother of Jesus and dedicate this work to my sick Father, Mr. Brown Mwakibete and a friend of mine Mr. Alfred Mosha, for their invaluable advice and support they have taken me here today.

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The Almighty God, through the prayers of Holy Mary mother of Jesus, gave this very big accomplishment to me. I humbly praise his name and thank him.

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ABSTRACT

The objective of the study was to assess the effectiveness of Open Performance Review Appraisal System (OPRAS) in performance management in Local Government Authorities (LGAs). Ludewa LGA was the focus area of the study with a sample size of 322 respondents. The study adopted a descriptive design using a mixed approach. The tools that were used to collect data were questionnaires, individual in-depth interviews and document reviews. Quantitative data analysis was done with the help of SPSS version 20 using mean and one sample T-Test and data are presented in tabular form. Qualitative data analysis was done using thematic and content analyses and data are presented in statements. The findings show that OPRAS is not effective in performance management in LGAs and is still faced by setbacks that failed its predecessor, the Closed Annual Confidential Report System (CACRS). There is misinterpretation of the OPRAS to mean a tool for promotion only and its role of providing performance feedback and capacity building is highly minimised. More surprising, even those promotions are less likely based on OPRAS as few public servants fill in the OPRAS forms and reviews are rarely conducted to agree on performance scores. Similarly, trainings and funds to facilitate appraisal are so scarce.

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LIST OF ACRONYMS AND ABBREVIATIONS

CACRS	Closed Annual Confidential Report System
CSC	Client Service Charter
CSRPF	Civil Service Reform Programme
DED	District Executive Director
HoD	Head of Department
HR	Human Resource
LGAs	Local Government Authorities
MDAs	Ministries, Independent Departments and Agencies
NBS	National Bureau of Standards
OPRAS	Open Performance Review and Appraisal System
P4P	Payment for Performance
PA	Performance Appraisal
PAS	Performance Appraisal Systems
PIF	Performance Improvement Fund
PMS	Performance Management System
PSMEP	Public Service Management and Employment Policy
PSRP	Public Service Reform Programme

SD	Standard Deviation
SE	Standard Error
SOP	Strategic and Operational Planning
SMART	Specific, Measurable, Attainable, Realistic and Timely
URT	United Republic of Tanzania

CHAPTER ONE

INTRODUCTION

1.0 Chapter Overview

This chapter provides background information to the study, statement of the problem, research objectives both general and specific, research questions and the significance of the study.

1.1 Background to the Study

The Open Performance Review and Appraisal System (OPRAS) was launched in July, 2004 when the government embarked on “Instituting Performance Management Systems” between 2000 and 2004 (Bana and Shitindi, 2009; URT, 2010; Hezekiah, 2011; Issa, 2011). It is part and parcel of the Public Service Reform Programme (PSRP) launched by the government which is implemented in a series of overlapping but mutually supporting phases. The first phase lasted from 2000 to June, 2007 and adapted a theme “Instituting Performance Management Systems”. It was this phase that gave birth to the OPRAS in July, 2004.

The second phase was from July, 2007 to June 2012 and flied under the banner “Enhanced Performance and Accountability” whereas the third one began in July, 2012 and is envisioned to operate to 2017 with a thrust “Quality Improvement circle”.

The OPRAS was introduced by Circular No.2 of 2004 as a major Performance Appraisal (PA) tool for public servants performance evaluation in the government of

the URT. Other tools are the Performance Improvement Fund (PIF), Strategic and Operational Planning (SOP) and Client Service Charter (CSC) (Bana and Shitindi, 2009). OPRAS was compulsory in all MDAs, Regions and LGAs and was embodied in the Public Service Management and Employment Policy (PSMEP) of 1999 and Public Service Act No. 8 of 2002 as amended in 2007 and 2013 (URT,2003, URT, 2007). The policy and legislations were to provide the tool with legal power to facilitate its implementation, (Bana and Shitindi, 2009; Issa, 2011; Hezekiah, 2011).

The Open Performance Review and Appraisal System replaced the Closed Annual Confidential Report System (CACRS) which was used before due to its limitations. The Closed Annual Confidential Report System provided one-sided information on the performance to employer only (no feedback to employees), failed to identify training needs, failed to help performance management and accountability, and had rigidity, bureaucracy, nepotism, favouritism and poor management of resources (Turner and Hulme, 1997; Nigera, 2004; Bana and Shitindi, 2009; Issa, 2011). So, the OPRAS was launched to address these challenges.

The effectiveness of OPRAS however, in terms of addressing the CACRS limitations and its role in performance management in terms of compliance of actors to laid down appraisal procedures, equity in rewards, and adequacy of information during appraisal including providing timely feedback is still a big challenge (Hezekiah, 2011; Massawe, 2009). Thus, this study was conducted to assess the effectiveness of OPRAS in performance management in Local Government Authorities, (LGAs) the area which has received few researches as compared to the area of Ministries,

Independent Department and Executive Agencies (MDAs) as shown in empirical literature review.

1.2 Statement of the Problem

The purpose of introduction of the OPRAS in July 2004 to replace the CACRS as shown in the introduction part was to improve performance. However, the effectiveness of OPRAS in the performance management is still a great challenge, (Karyeija, 2007; Massawe, 2009; Hezekiah, 2011; Messah and Kamencu, 2011 and Songstad et al, 2012). These scholars have shown the tool to have great problems in elements of actors' compliance with the laid down appraisal procedures, equity in rewards, and adequacy of information during appraisal. These studies are presented below at the end of which a list of limitations against them that motivated this study are presented.

The study by Hezekiah (2011) about OPRAS in Arusha city and district councils, among other issues found that there is very low institutionalization of Performance Appraisal Systems in LGAs due to some cultural, organizational and political factors. Songstad et al (2012) studying the OPRAS and Expectations towards Payment for Performance (P4P) in Public Health Sector in Tanzania found a general reluctance towards OPRAS as health workers did not see OPRAS as leading to financial gains nor did it provide feedback on performance work.

Massawe (2009) studying the effectiveness of OPRAS in the National Bureau of Standards (NBS), he found that the bureau did not have an action plan for training its staff at all levels on how to fill in the OPRAS and the importance of OPRAS to them and the agency. Karyeija (2007) studying appraisals in the civil service, he found that

although Uganda successfully introduced the appraisal reforms; the incompatibility between the values embedded in the appraisal and the host administrative culture watered down the reform. Lastly, Messah and Kamencu (2011) studying the Effect of Performance Appraisal Systems on Employees, they found that competence, assessment and development, Management by Objectives, performance based pay and employee training mainly impacted employee performance.

However, these studies focused on early stages of the launch of tools wondering whether they will last. Again most of the studies such as that of Massawe (2009), Karyeija (2007), and of Messah and Kamencu (2011) are limited to Ministries, Independent Departments and Agencies (MDAs) leaving the LGAs uncovered. On the other hand, Songstad et al (2012) who have studied LGAs have explored the experience of OPRAS by the health workers only leaving the experience of more than 20 other professions in other 12 departments of LGAs unknown.

One of comprehensive works in LGAs for all professions is that of Hezekiah (2011). The study however, was too general as it assessed the challenges of institutionalization of Performance Appraisal System in general other than specifically assessing the effectiveness of OPRAS in performance management. Again none of these studies or of this type were done in my research area, Ludewa district council. This study aimed to fill these unaddressed gaps.

1.3 Objective of the Study

1.3.1 General objective

The general objective was to assess the effectiveness of OPRAS in Performance Management in Local Government Authorities, a case of Ludewa Local government authority.

1.3.2 Specific objectives

More specifically the study aimed:-

- i. To determine OPRAS actors' compliance with laid down appraisal procedures
- ii. To assess the effects of employees' inputs measured through OPRAS on rewards
- iii. To assess the adequacy of information in the OPRAS process for such use as performance feedback and capacity building

1.4 Research Questions

From the above specific objectives, the following research questions were established -:

- i. Is there compliance of OPRAS actors with laid down appraisal procedures?
- ii. To what extent are rewards based on employees' inputs measured through OPRAS?
- iii. Is there adequate information in the OPRAS process for such use as performance feedback and capacity building?

1.5 Significance of the Study

Theoretically, the study increases understanding of the concept of OPRAS in Performance Management. Currently there are few literatures about the OPRAS most of which have only covered early stages of the OPRAS and MDAs leaving the LGAs least covered. In addition, the study is a prerequisite for the award of the degree of Master of Human Resource Management to the researcher.

The recommendation on areas for further studies made by the researcher is another scholastic significance of the study. Similarly, government decision makers and other stake holders of the OPRAS in LGAs like the President's Office-Public Service Management, Public Service Commission, Ministry for Regional Administration and Local Government Authorities and related offices are provided with findings of the study from the field to help them improve the performance management through the OPRAS.

1.6 Organization of the Study

The dissertation is organised into five chapters. Chapter one provides introduction to the study. It covers background to the study, statement of the problem, objectives, research questions and significance of the study. Theoretical and empirical literature reviews are addressed in chapter two. The same chapter also covers definition of basic concepts, which is meaning of performance appraisal and a highlight of indicators/characteristics of an effective performance appraisal tool, knowledge gap and a conceptual framework.

Chapter three, the methodology chapter introduces the research philosophy; design; area; population, sample and sampling techniques. Similarly, research instruments;

data analysis; data validity and reliability and ethical issues are all covered in this chapter. Chapter four provides research findings, analysis and discussion; and lastly chapter five covers conclusions and recommendations. In the ending there are references and appendices.

CHAPTER TWO

LITERATURE REVIEW

2.0 Chapter Overview

This chapter provides meaning of performance appraisal, indicators of an effective performance appraisal tool, theoretical standpoint of the study, empirical literature review, knowledge gap and conceptual frame work.

2.1 Meaning of Performance Appraisal (PA)

Khanka (2003) defines PA as “a systematic and objective way of judging the relative worth or ability of an employee in performing his or her task”. This definition however lacks time element, hence Flippo (1984) defines Performance Appraisal as “the systematic, periodic and an impartial rating of an employee’s excellence in matters pertaining to his present job and his potential for a better job”. Both of these definitions on the other hand do not explicitly express PA as a matter also of procedures compliance, thus Pattanayak (2003) asserting that, performance appraisal refers to all procedures that are used to evaluate the personality; the performance; and the potential of organization employees. In this last definition the issue of justice in evaluation is not emphatic enough (Roch and Shanock, 2006).

So, Roch and Shanock (2006) defines PA as a just or fair procedure of judging the quality and quantity of inputs of employee in accomplishing targets jointly set with the supervisor. Justice or fairness is manifested in procedures used in evaluations, equitable rewards and adequacy of information for feedback and capacity building. This is the view the researcher maintains in this study.

The ideas in the definitions about PA that the PA is to be systematic, periodic, participatory, and must involve feedback are well observed in the general procedure or process through which the OPRAS theoretically flows as in the figure 2.1



Figure 2.1: Process flow of OPRAS (URT, 2013).

2.2 Indicators of an Effective Performance Appraisal Tool in Performance Management

There is a common agreement among scholars that an effective Performance Appraisal (PA) tool in performance management is characterized by justice and equity (Adams, 1965; Pritchard, 1969; Beach, 1975; Flippo, 1984; Greenberg, 1986;

Rosenzweig and Nohria, 1994; Jackson and Randall, 2000; Folger et al, 2002; Pattanayak, 2003; Khanka, 2003; Roch and Shanock, 2006; Massawe, 2009; Messah and Kamencu, 2011; Armstrong, 2012; Warokka et al, 2012; Nusair, 2014). This view is also maintained by Equity and Justice Theories of Adams (1965) and Roch and Shanock (2006) respectively as shown in theoretical review part of this study.

Justice takes a form of procedural, distributive (which is also referred to equity), and information justice (ibid). Procedural justice is manifested in terms of actors compliance with the laid down appraisal procedures like setting of SMART (Specific, Measurable, Attainable, Realistic and Timely) objectives; participation of employees in the goal setting, appraisal and reviews; presence of mid - and annual reviews; presence of trained raters; consistent application of standards to all appraisee; development measures; and presence of an appeal procedure to challenge or rebut evaluation etc. (Folger and Greenberg, 1985; Greenberg, 1986; Rosenzweig and Nohria, 1994; Byrne and Cropanzano, 2001; Folger et al, 2002; Roch and Shanock, 2006).

Distributive justice or equity is about a relationship between employees' inputs and outcomes (rewards and sanctions). For instance; how OPRAS scores reflect employee efforts, how promotions and demotions are based on OPRAS scores, recognition of best performers and sanctioning of poor performers etc. (Adams, 1965; Pritchard, 1969; Greenberg, 1986; Roch and Shanock, 2006; Messah and Kamencu, 2011; Armstrong, 2012).

Information justice is about adequacy of information in the appraisal process, presence of two-way traffic feedback, openness, advance information when

employees are to fill in the OPRAS forms, respect of employees views during reviews, clarification of performance expectations and standards, and explanation and justification of decisions (Roch and Shanock, 2006; Messah and Kamencu, 2011). These major three dimensions of justice are the standards that have been used to gauge the effectiveness of the OPRAS.

2.3 Theories Supporting the Study

2.3.1 Equity theory

Adams theory of equity considers the nature of inputs and outcomes, the nature of social comparison process, the conditions leading to equity or inequality, the possible effects of inequality and the possible responses one may make to reduce a condition of inequality (Adams, 1965; Pritchard, 1969).

In the theory, inputs are things that are perceived by a person as relevant personal investments like effort, age, time, education, loyalty, commitment and so forth whereas outcomes are material and non-material things perceived by a person to be returns for his or her inputs- that is factors that have utility or value to him like performance based pay, promotions, recognitions, bonuses, and alike.

Outcomes and inputs form a ratio, and the individual outcomes and inputs are weighted according to their perceived importance in determining the final value of this outcome/input ratio. Equally, a person makes a conscious or unconscious comparison of his input/outcome ratio to that of another person or persons. Equity is said to happen when a person perceives a ratio of his input/outcome is equal in itself and in comparison to others' ratio. The opposite of it forms inequity.

Adams provides a number of things a person can take to avoid or reduce inequality in an attempt to equalize his and others ratio. Firstly ; a person can cognitively distort his or others inputs or outcomes, secondly; acting on other to get him/her to change his/her inputs or outcomes, thirdly; a person can change his/her inputs or outcomes, fourthly a person can change his/her comparison person or leave the field or job.

The major limitation of this theory is that it is solely concerned with the final distribution of rewards (distributive justice).The procedures (procedural justice) that generate that distribution are not examined or ignored (Pritchard, 1969; Leventhal: 1976). To overcome this weakness, the researcher has used the justice theory alongside equity theory. The justice theory covers distributive, procedural and informational justice.

Therefore; as per this theory, an assessment was done to see whether the OPRAS has provided local government employees with equity at this theoretical extent. The study had to reveal whether the appraisals and associated rewards rates receive as outcomes are reflecting their performance. This theory also gave authority to the researcher to examine to what extent has the government provided inputs to the OPRAS tool to expect best measurements as outcomes from it.

Expected inputs from the government included training of raters, participatory setting of objective performance and appraisal standards, agreement on scores, objectivity, fairness, openness, rewards based on equity, regular and timely appraisals and provision of working facilities to meet agreed performance standards.

2.3.2 Justice theory

This is an integrative theoretical framework established by Roch and Shanock (2006) through exchange theory. It provides a multidimensional view of the equity theory which focuses mainly on distributive justice. It encompasses all three major justice dimensions, that is; procedural, distributive, and informational justice.

Although the model is young; in research, justice at work place is not a very new phenomenon anyway. For example, Folger and Greenberg in 1985 published “Procedural Justice: an Interpretive Analysis of Personnel Systems” (Folger and Greenberg, 1985). Again, the term “Organizational Justice” was coined in 1987 by Greenberg in his work “A taxonomy of Organisational Justice Theories” (Greenberg, 1987). Similarly, Russell Cropanzano (Eds) in 2001, published a book “Justice in the Workplace” containing writings of Byrne and him titled “History of Organizational Justice: The Founders Speak” (Byrne and Cropanzano, 2001).

According to this theory, procedural justice is about how procedures set entail and lead to fairness. Again it is about to what extent the procedures are complied with (Greenberg, 1986). Performance Appraisal tool is perceived to be effective; if it is structurally characterised by the presence of raters other than estimations of score by a supervisor, rater familiarity with ratee work, presence of reviews and two way traffic communication during evaluation interview

Likewise procedural justice covers participation of appraisee in setting performance and evaluation criteria or standards, consistent application of standards to all appraisee, and the presence of an appeal procedure to challenge or rebut evaluation (Ibid; Rosenzweig and Nohria, 1994; Folger et al, 2002). The presence of a

functioning appeal arrangement builds trust in evaluations of supervisors, in management, and leads to job satisfaction (Op.cit).

Distributive justice is based on the equity theory (Messah and Kamencu, 2011). It is about what appraisals or rewards someone receives in relation to his /her contribution (in-put) or in relation to what others get (Greenberg, 1986). When there is equity, it is said there is distributive justice. Also distributive justice perception on appraisals depends on the appraisee perception of the goal of the rater or appraiser, that is, is an appraisal done to motivate, teach, avoid conflicts or gain personal favour?

The last dimension of justice is information justice. Messah and Kamencu (2011) provide that information justice is about clarification of performance expectations and standards, feedback received, and explanation and justification of decisions. Information about procedures can take the form of honest, sincere and logical explanations and justifications. In the context of performance appraisals, there will be a shared setting of performance goals and standards, routine feedback, and explanations during the performance appraisal interview. Therefore the OPRAS was evaluated to see if it provides and manifests itself in the form of these three justice dimensions.

2.4 Empirical Literature Review

A review was made at East Africa level with a total of five studies; three studies from Tanzania, one from Uganda and last one from Kenya. At the end of each study there are limitations; the issues that motivated this study.

From Tanzania, Hezekiah (2011) on her work Institutionalization Challenges of Performance Appraisal in Tanzanian Local Government Authorities (LGAs) studied the challenges of instituting Performance Appraisal Systems (PAS) in local governments; focusing on two LGAs namely Arusha city council and Arusha district council. The two authorities were studied to ascertain any differences between urban and local authorities. The study was qualitative and data was obtained through in-depth interview, focused group discussion, observation and document reviews. It involved 34 respondents who were purposefully (heads of department) and randomly (lower cadre) picked.

The findings of the study showed no significant differences between the two LGA's. The study also found that there is very low institutionalization of PAS in LGA's due to some cultural, organizational and political factors. Public servants in the councils have inadequate knowledge on the purpose of PAS leading to a disregard to performance as a criterion during administrative decisions. The findings also showed a lack of commitment from implementers and insufficient financial resources to facilitate the institutionalization of PAS as well as power distance and uncertainty avoidance as the major deterrents to institutionalization of PAS in LGAs.

Her conclusion was that there is a need to alter the adapted reforms to conform to Tanzanian culture in order to enable public servants to identify with the reforms. Although this is one of very comprehensive works in LGAs for all professions unlike that of Songstad et al, 2012 in the following pages studying health workers only, its focus was so general. It assessed the challenges in general of institutionalization of Performance Appraisal in Tanzanian LGAs. It did not specifically assess the

effectiveness of OPRAS itself in the performance management. Also the researcher would have used a mixed methodology and increased the sample of 34 respondents for two LGAs for more unlikelihood of unbiased data.

Another study was conducted by Songstad et al (2012) titled Assessing Performance Enhancing Tools: Experiences with the Open Performance Review and Appraisal System (OPRAS) and Expectations towards Payment for Performance (P4P) in Public Health Sector in Tanzania. The study aimed at understanding the health workers experiences with OPRAS, their expectations towards Pay for Performance (P4P) and how those lessons learned from the OPRAS can assist in the implementation of P4P. A qualitative study design was used to elicit data. Focus group discussions and in-depth interviews were used to collect data. Health workers evaluated OPRAS and P4P in terms of the benefits experienced or expected from complying with the tools.

The study found a general reluctance towards OPRAS as health workers did not see OPRAS as leading to financial gains nor it provides feedback on performance work. Great expectations were expressed towards P4P due to its prospects on topping up salaries, but still links between the two performance enhancing were not clear. The weakness of this study is that it explored the experience of OPRAS from health workers only; that is only one profession in LGAs, leaving the experience of more than 20 other professionals like of Human Resource Officers, accountants, planners, teachers and alike from other 12 LGA departments unknown.

A third study was carried by Massawe (2009), the Effectiveness of Open Performance Review and Appraisal System in Executive Agencies: The Case of the

National Bureau of Standards (NBS). The purpose of the study was to evaluate the effectiveness of the OPRAS in the executive agencies. Purposive sampling was used for key respondents such as Directors and Heads of Departments and Sections.

The study found that the bureau did not have an action plan for training its staff at all levels on how to fill in the OPRAS and the importance of OPRAS to them and the agency. The bureau again had not put in place an effective mechanism for monitoring and implementation of the OPRAS. The problem of this study like many others focused only on the agencies, the National Bureau of Standards and did not bring out the experience of Local Government Authorities. Similarly, although it studied the effectiveness of the tool itself which is in line with this study, it studied the tool when it was still young. The tool was only half an age it is today.

Karyeija (2007) examined the impact of administrative culture on the reform of performance appraisal in Uganda's civil service. His tools were questionnaires, interviews and document reviews. His case studies were the Republic of Uganda Ministry of Local Government, Ministry of Public Service, Ministry of Justice and Constitutional Affairs, Ministry of Finance, Planning and Economic Development and the National Council of Science and Technology.

The finding was that, although Uganda successfully introduced the appraisal reforms; the incompatibility between the values embedded in the appraisal and the host administrative culture watered down the reform. The Ugandan bureaucracy is characterized by large power distance, strong uncertainty avoidance, high ethnicity and political neutrality. These cultural variables influenced the introduction of performance appraisal by sabotaging its actual conduct and its institutionalization.

The study concludes that for the successful performance appraisal introduction culture matters because performance appraisal is imposed from abroad and requires a compatible host administrative culture in order to take root. The problem with this study is that it focused too much on ministries, Independent Departments and Agencies and left Local Government Authorities uncovered. Again the study was done in the early period of the installation of Performance Appraisal tools to assess the challenges of their installations (culture incompatibility) other than their effectiveness in performance management.

Messah and Kamencu (2011) studied the Effect of Performance Appraisal Systems on Employees in Kenya Tea Development Agency: A Survey of Selected Tea Factories in Meru County-Kenya. The study investigated the effectiveness of the performance appraisal systems in influencing performance in Kenya Tea Development Agency with special focus on Githongo, Imenti Tea Factory, Kiegoi and Miciimikuru Tea Factories in Meru County in Kenya. The research adopted a descriptive research design.

The study used questionnaire as primary data collection instrument. Content analysis was used to analyse data. The finding was that competence, assessment and development, Management by Objectives, performance based pay and employee training mainly impacted employee performance. The shortfalls of this study are that it only covered only agencies and left the experience of LGAs with the appraisals unknown. The study on other hand only examined the effect of Performance Appraisal Systems on Employees (distributive justice and equity) rather than wholly covering all aspects of an effective appraisal tool in performance management.

Table 2.1: Summary of empirical literature review

Name of author	Year	Findings	Analytical method used
Hezekiah	2011	Inadequate knowledge on the Performance Appraisal System , lack of commitment and insufficient financial resources to facilitate the process	Qualitative
Songstad et al	2012	Reluctance towards OPRAS as health workers did not see the financial gains from OPRAS nor did it provide feedback on performance work.	Qualitative
Massawe	2009	No action plan for training staff about the OPRAS and an effective mechanism for monitoring implementation of the OPRAS.	Qualitative and Quantitative
Karyeija	2007	Administrative culture was not welcoming to the institutionalization of Performance Appraisal.	Qualitative and Quantitative
Messah and Kamencu	2011	Assessment and development, Management by Objectives, performance based pay and employees training mainly influenced employee performance.	Qualitative and Quantitative

Source: Compiled from various authors

2.5 Knowledge Gap

A summary of empirical literature review (Table 2.1) shows a number of studies that were undertaken to assess the challenges and successes of the Performance Appraisal tools in performance management. However, overall these studies focused on early stages of the launching of the tools, exploring the unknown to whether the tools will last long. So, after the maturity of the tools there is a need to make an evaluation on how help have they become in performance management, an objective of their launch.

Similarly, most of the studies were limited to MDAs leaving the LGAs uncovered. On the other hand, Songstad et al (2012) who had studied LGA explored the experience of OPRAS from health workers only, leaving the experience of more than 20 other professions from other 12 LGA departments unknown. One of comprehensive works in LGAs for all professions was that of Hezekiah (2011). The study however only assessed the challenges of institutionalization PAS other than specifically assessing the effectiveness of OPRAS in performance management. Lastly, none of these studies were done in Ludewa LGA where the current study was based. Therefore this study aimed to fill these unaddressed gaps.

2.6 Conceptual Framework

A conceptual framework can be defined as a research structure consisting of a set of interrelated abstract ideas that guide a researcher in his or her study. In the researcher's conceptual framework, there were two variables, independent and dependant variables.

2.6.1 Independent variables

There were three independent variables namely; OPRAS actors' compliance to laid down appraisal procedures, equity in rewards, and adequacy of information during appraisal process. Effective OPRAS is reflected firstly; on OPRAS actors' compliance with laid down appraisal procedures like setting of SMART (Specific, Measurable, Attainable, Realistic and Timely) objectives, presence of participatory appraisal, mid -year and annual reviews, presence of trained raters, development measures etc. Secondly; there should be equity in rewards and sanctions that is employees' inputs must influence rewards. Thirdly; there should be adequate information/knowledge for performance feedback, capacity building, etc.

2.6.2 Dependant variable

An effective OPRAS is a dependant variable. To become effective; there must be clear manifestation of compliance of OPRAS actors with the laid down appraisal procedures, rewards must reflect the inputs of employees and lastly there has to be adequate information/knowledge shared during the appraisal process.

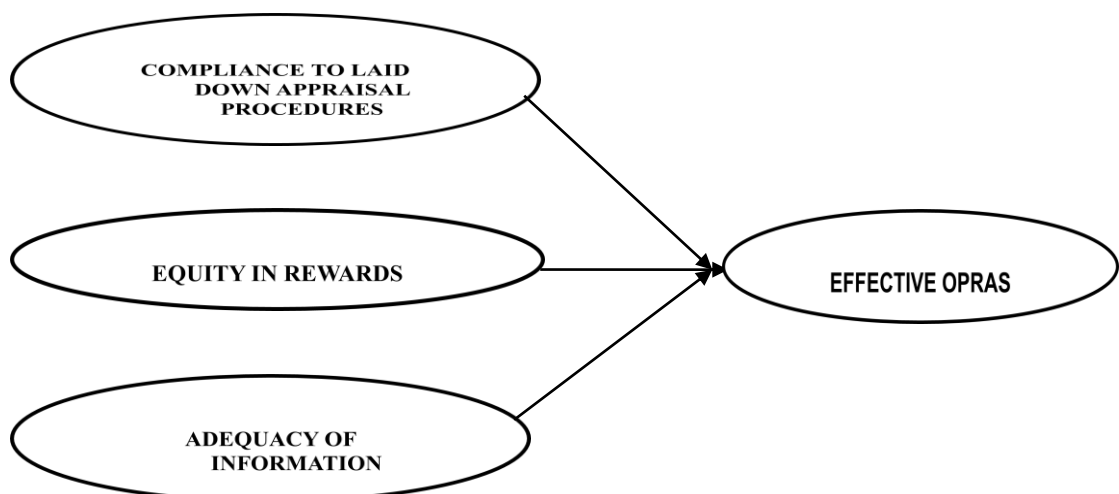


Figure.2.2. Conceptual framework (Researcher, 2015)

CHAPTER THREE

RESEARCH METHODOLOGY

3.0 Chapter Overview

This chapter covers the methods for conducting the research. It covers a research philosophy; research design; research area; target population, sample size and sampling techniques; types of data to be collected, research instruments; data analysis; data validity and reliability and ethical considerations.

3.1 Research Philosophy

Creswell (2003) asserts that if a research is quantitative it will take a post-positivism philosophical stance, or surveys or experimental knowledge claim. On the other hand a qualitative study will take a constructivist/advocacy/participatory knowledge claim/phenomenology/grounded theory/ethnography /case study or narrative approach (ibid). This study took a pragmatic philosophical stance as it employed the use of both quantitative and qualitative methodologies. This was a result of the use of open- and close-ended questions, semi-structured interviews and document reviews to elicit data.

The use of open- and close-ended questions, semi-structured interviews and documents review was to get quality and objective findings. Close-ended questionnaires alone limit the freedom of respondents but ease the analysis of data through statistical packages. Open-ended questionnaires and documents review do not allow a predetermined response which makes analysis difficult. So, the

researcher maximised the use of close-ended questions to avoid problems on data analysis. Close-ended questionnaire were in the form of a 5 points Likert scale.

Semi –structured in- depth interview was used to elicit data from Heads of Departments without tight restrictions since they were thought to have much useful information. Consequently, quantitative data were quantitatively analysed using SPSS version 20 using T-Test and mean calculation and qualitative data were analysed through content and thematic analyses.

3.2 Research Design

Kothari (2004) sees the decisions regarding what is the study about? Why is the study being made? Where will the study be carried out? What type of data is required? Where can the data be found? What periods of time will the study include? What will be the sample design? What techniques of data collection will be used? How will the data be analysed? And in what style will the report be prepared? Constitute a research design.

Some of these questions have been answered in previous chapters and the remaining ones are tackled in this chapter. Generally, the research adopted a descriptive research design involving both quantitative and qualitative approaches. The study was about describing a phenomenon (the effectiveness of OPRAS) without manipulation (Saunders et al, 2009).

3.3 Research Area

The study was carried out in Ludewa district council, located in Njombe region which is found in the Southern highlands of Tanzania, in East Africa. It is one of

very peripheral rural districts characterized by untarmacked, mountainous and unreliable seasonal roads passable during summer seasons only. The reason for the choice of this area for study is the fact that the researcher was working in the district with the Public Service Commission as a Human Resources Officer and hence was well familiar with the geography and respondents. Also remote areas are forgotten in researches. Most of empirical literatures reviewed were based on towns. So, Ludewa is to provide new insight from rural areas.

3.4.1 Target Population

The researcher's target study population were all employees in 13 departments of Ludewa Local Government Authority who had joined the service for over a year and had an opportunity to fill in the OPRAS. It included a total of 2 032 that covered both Heads of Departments and their sub-ordinates. The departments that the population was targeted were the Human Resource and Administration; Planning Statistics and Monitoring; Trade and Finance; Health; Community Development and Social Welfare; Primary Education; Secondary Education; Agriculture, Irrigation and Cooperatives; Water; Land and Natural Resources; Livestock and Fisheries; Sanitation and Environment; and Works.

3.4.2 Sample size

In any research, determination of a sample size is significantly important as it gives an understanding of a number of observations one has to make in a sample to allow a generalization for the whole study population. Guided by Payne and Payne (2004) model for recommended sizes of samples for various survey universes (Appendix II), the sample size of the study was 322 respondents. This is because the researcher's

study population has a total of 2 032 which lies between 2 000 and 2 500 universes as it can be seen in the Payne and Payne model (Ibid).

The researcher took 10% (32 respondents) of that sample size for a quantitative part of the study, randomly picked from the 13 departments. This size was in line and larger than those of Hezekiah (2011) of 34 respondents for the whole sample population for both Arusha city council and Arusha district council (17 respondents for each) and similar to that of Songstad et al (2012) of 34 respondents for their study in Mbulu district, in Manyara region both studying the OPRAS.

On the other hand 2.4% of the sample size, which involved 7 out 13 HoDs plus 1 District Executive Director, was involved in the study through interview. The rest of researcher's respondents in the sample population were involved in the study through documents review by investigating their personal files or covered through studying a general OPRAS subject file that covered the details of entire study population. The major reason of having a larger sample size in document reviews tool than in filling questionnaires was to overcome geographical disadvantages of the research area as shown in the highlight of a research area. Further, the study was conducted during rainy seasons which made accessibility and direct participation of many respondents even more challenging and difficult.

3.4.3 Sampling techniques

Kumar (2005) defines sampling as the process of selection of a few (a sample) from a bigger group (the sampling population) to become the basis for estimating or predicting the prevalence of an unknown piece of information, situation or outcome

regarding the bigger group". In this study, the researcher used purposive sampling and random sampling.

Purposive sampling is defined by Green and Thorogood (2009) as an act of explicitly selecting interviewees who are likely to generate appropriate and useful data. The researcher used purposive sampling when picking up Heads of Departments for interview. For example, Heads of Departments who were acting for a short time like for a day when substantive Heads of Departments were absent were not selected because of the need of reliable information from proper HoDs.

Random sampling was used to elicit data from the rest of employees either through questionnaire or documents review by investigating their personal files. To those administered by questionnaires, selection involved picking up any employee who was found at a work station by a researcher until the required sample size of 32 respondents was exhausted.

In documents review; while studying personal files, the researcher randomly picked personal files from two purposively chosen departments and from HoDs. The two purposively chosen departments were firstly, the department of Agriculture, Irrigation and Cooperatives- had a large size of respondents both in Ludewa rural and town and secondly a department of Human Resource and Administration- its staffs are the people involved in administration of the OPRAS. HoDs were involved because of their role in performance management.

3.5 Types of Data to be Collected

The study made use of both primary and secondary data to ensure quality of data by having diverse and multiple sources.

3.6 Research Instruments

3.6.1 Instruments for primary data collection

3.6.1.1 Close-ended and open-ended questionnaire

Questionnaire is the most commonly used instrument of all research instruments. A questionnaire is a set of questions that may be mailed or physically given to a respondent to answer them in his or her convenient time and return them to a researcher after filling them. Questionnaires are designed to collect vast quantities of data from varieties of respondents. Questionnaires are usually inexpensive to administer, very little training is needed to develop them, and they can be quickly and easily analysed once completed (Wilkinson and Birmingham 2003).

Questionnaires were physically administered than mailing to guarantee respondents close guidance and easy collection. Again, since open-ended questionnaire would in no way allow a predetermined response and make analysis difficult, the researcher largely used close-ended questions with very few open-ended questions in demographic information only.

The close-ended questionnaire was in the form of a *5 point Likert scale*. The Likert scale published in 1932, like many other scales, Wilkinson and Birmingham (2003) assert, it measures attitudes to the set statements in the questionnaire. In this study, nominal scaled questions were asked to respondents at a scale of five possible

responses ranging from the attitude measure “5-strongly agree, 4-Agree 3-Halfway, 2-Disagree and 1-Strongly disagree”. The researcher also used multiple choice questions particularly on the background questions to hold some control over the demographic responses given by respondents.

3.6.1.2 Individual semi-structured in-depth interview

The researcher used an individual semi-structured in-depth interview tool to elicit data from the head of departments. Semi-structured interviews are most widely used interviewing format for qualitative research design with regard to the three types of interview formats- unstructured, semi-structured and structured. They are generally organised around a set of predetermined open-ended questions, with other questions emerging from the dialogue of interview (DiCicco-Bloom and Crabtree, 2006).

An individual in-depth interview allows the interviewer to engage deeply into personal and social matters of a respondent other than a group in-depth interview that allows interviewer to get a wider range of experience, but because of the public nature of the process prevents delving deeply into the individual(Ibid).

3.6.2 Instruments for secondary data collection

3.6.2.1 Documents review

The researcher also collected data from various documents available at Ludewa LGA as sources of secondary data. The documents reviewed are employees’ personal files and a subject file on OPRAS.

3.7 Data Analysis

Data analysis is about interpretation and giving meaning to the data collected. Data have been analysed both quantitatively and qualitatively; simply known as the mixed approach. The Statistical Package for Social Science (SPSS) version 20 was used to analyse quantitative findings. The researcher has specifically used mean, a component of central tendency/descriptive statistics and One Sample T-Test in quantitative data analysis. The findings are presented in tabular form.

In terms of the mean; the higher the mean as per 5-points Likert scale used in the study (5-strongly agree, 4-Agree, 3-Halfway, 2-Disagree and 1-Strongly disagree), the effective the OPRAS is. With reference to Wilkinson and Birmingham (2003), the cut point for an effective OPRAS in this 5-point Likert scale is 4-Agree.

In the T-Test; if the null hypothesis is accepted and the alternative hypothesis is rejected, then the OPRAS is not effective and the opposite is true. Regarding the assumptions for the use of One Sample T-test, Rose et al (2015) and Laerd Statistics (2013) provide the first assumption for the use of One Sample T-test to be normality of data. The normality of data can be checked by performing skewness and kurtosis tests, kolmogorov-smirnov (K-S) test and Shapiro-Wilk (S-W) tests (ibid).

In the skewness and kurtosis tests, Rose et al (2015) provide that the Standard Error (SE) is used in the tests. If the sample size is below 50, then kurtosis test is suggested to be the best test (Ibid). Since this study had a sample of 32 respondents for quantitative data, then the researcher has used kurtosis test to determine normality.

Rose et al (2015) assert that kurtosis score is divided by SE and if the result is greater than ± 1.96 , then the data are not normal to that statistic and the opposite is true. Additionally, the scholars contend that if the kurtosis value is positive, it indicates right kurtosis of data and if it is negative then it shows left kurtosis. Applying the rule to the data in Table 3.1, for kurtosis test the result is -0.919. This result is well within the ± 1.96 limits suggesting that the departure from the normality of this study is not extreme. Also since the kurtosis value is negative, then there is a slightly left kurtosis of data.

Table 3.1 Kurtosis test statistics

	N	Kurtosis	
	Statistic	Statistic	Std. Error
EFFECTIVENESS OF OPRAS IN PERFORMANCE MANAGEMENT IN LGAs	32	-0.744	0.809

Source: Field survey (2015)

The second assumption and related to normality, Laerd Statistics (2013) and Rose (Op.cit) provide that there should be no significant outliers (extremely small or large values than the rest). As it can be seen in Tables 4.5a, 4.5b, 4.7 and 4.9 about means of variables on specific objectives of the study; there are no significant outliers.

The other assumption provided by Laerd Statistics (ibid) is that sample observations should be random. The sample selection technique for all respondents from whom quantitative data were elicited was random sampling as stated previously in this chapter. This compliance to the assumption qualified the researcher use of One Sample T-test in data analysis.

On the other hand, qualitative data like interviewees' responses were analysed through content and thematic analyses and presented in statements. Leedy and Ormrod (2005) define content analysis as a detailed and systematic description of manifest content of communication to identify pattern or themes. Content analysis has been used in analysing written information collected from documents and verbal information from interviews. Very appealing expressions from interviews have been directly quoted to support key points.

3.8 Data Validity and Reliability

Validity refers to truth, authenticity, accuracy and relevance of data. It is about integrity in data measurement and conclusions reached (Bryman, 2003). Hezekiah (2007) sees validity as the extent to which the findings are consistent with what the researcher intends to study.

In addition to a pilot study which was done to ensure validity and reliability, the researcher did other four things to ensure validity. Firstly, the researcher employed multiple data sources in the study to get diverse and highly representative response from all LGA OPRAS actors. The researcher used interviews to elicit data from HoDs and the District Executive Director, questionnaire to subordinates, and document reviews to clarify data from those other two sources and collect more other data.

On the other hand to ensure content validity, the researcher set questions that exhaustively touch the general objective of the study and the main themes of each specific objective about the OPRAS namely compliance of OPRAS actors with the appraisal procedures, equity, and adequacy of information in the appraisal process.

Likewise; guided by McHugh (2008), the researcher calculated the Standard Error of Mean for the whole study to determine the accuracy and precision of sample mean representation of the population mean. The results for the Standard Error of Mean are presented in chapter four. Lastly, the researcher has provided a number of other study findings which in fact have highly proved the findings of this study to be in line with them; like that of Hezekiah (2011), Songstad et.al (2012) and Massawe (2009) to mention some of them.

Regarding reliability, Creswell (2009) defines it as when the researcher's approach is consistent across different researchers and different projects. Generally it is about an instrument's relative lack of error. To ensure not only reliability but also validity, the instruments were pre-tested through pilot survey.

The pilot study was conducted from 05 to 09 January, 2015. It involved eliciting data using questionnaire from 20% of the 32 sample size for quantitative data that is 6 respondents, interviewing 3 heads of departments from a total of 13, that is 20% of them and a review of 6 employee personal files.

From the pilot study, the researcher discovered five questions in the questionnaire were improperly set and would have led to inaccurate outcome in SPSS One Sample T-Test and mean calculations. They were inconsistent with others. They were set carrying a negative attitude where as the rest were set carrying a positive one. So they would bring confusion at a time of analysing the attitude elicited using *5-point Likert scale*, "5-strongly agree, 4-Agree, 3-Halfway, 2-Disagree and 1-Strongly disagree". These questions were rephrased.

The questionnaire also revealed to the researcher the fact that most of employees did not know their OPRAS performance scores which were the measurements of their total inputs in the organisation. These scores had to be used by the researcher to determine the relationship between employees' inputs and the rewards they receive through correlation method which is a second specific objective of the study.

From 6 files sampled by a researcher, only one file had a copy of OPRAS form for the year 2011-12 only in a range of 10 years of filling in the OPRAS. This was on other hand not reviewed by the immediate supervisor. So, the researcher had to remove a question asking respondents about their last three OPRAS performance scores. Instead, the researcher had to pose questions directly asking respondents if they see there is that relationship between their inputs and rewards they receive to determine that relationship in the study.

Mean and One Sample T-Test have then been used to analyse the data in place of correlation previously proposed by the researcher. Other qualitative data on this specific objective collected through document review and interview have been analysed using content and thematic analyses.

With respect to reliability, the researcher further more tested reliability using Cronbach's Alpha reliability scale. According to Ritter (2010), Cronbach's Alpha can take any value less or equal to one with the higher values being more desirable. This view is well summed up by George and Mallery (2003) as presented in the Table 3.2

Table 3.2 Cronbach's alpha description

S/N	Cronbach's alpha	Internal consistency
1	$\alpha \geq 0.9$	Excellent (High-stakes testing)
2	$0.7 \leq \alpha < 0.9$	Good (Low-stakes testing)
3	$0.6 \leq \alpha < 0.7$	Acceptable
4	$0.5 \leq \alpha < 0.6$	Poor
5	$\alpha < 0.5$	Unacceptable

Source: George and Mallery (2003)

The findings about this test are presented in Table 4.4 in chapter four.

3.9 Ethical Considerations

The researcher has observed respondents consent, voluntary participation, confidentiality and anonymity some elements of research ethics highlighted by Creswell, (2009). Again; respondents' privacy was respected and the collection of data was subject to the research clearance letter from the Director of Research, Publications and Postgraduate Studies and data access permission from the District Executive Director (DED) of Ludewa LGA. The data collected were analysed objectively and have only been used for the purpose of this study. Also all information used in this study are appropriately cited and included in reference list.

CHAPTER FOUR

RESEARCH FINDINGS, ANALYSIS AND DISCUSSION

4.0 Chapter Overview

This chapter contains the findings of the study, analysis of the data and discussions to provide a short descriptive analysis and related tables on the main thematic areas.

4.1 Basic Profile of Respondents

4.1.1 Gender and age distribution

Table 4.1 shows that, age wise, most of the respondents were between 26-45 years old. This in terms of performance management suggests that the labour force is fresh and energetic enough to expect high performance from them. This trend is a result of the recent government effort to employ more young graduates after the expansion of higher education system that has provided a large size of labour power at the labour market.

In terms of gender, it is seen that a quarter of the population is constituted by women and the rest that is three quarters are men. Similarly, age wise as seen in age composition finding, about 62% of these women are young and energetic with years of age between 26 -45 years. The smaller number of women in the population on other hand is a feature common to most government institutions due to gender imbalance in most formal work institutions with men being many than women. The government is struggling to eradicate this feature to attain the 50% gender composition in its institutions.

Table 4.1 Gender and age cross tabulation

		Age					Total	Percent
		18-25	26-35	36-45	46-55	56 and above		
Gender	Female	1	3	2	1	1	8	25.0
	Male	1	11	7	4	1	24	75.0
Total		2	14	9	5	2	32	100.0
Percent		6.3	43.8	28.1	15.6	6.3	100.0	

Source: Field survey (2015)

4.1.2 Respondents length of service

The researcher required only respondents who had more than a year experience with the OPRAS to participate in the study. As a result, the required respondents were those who had more than a year length of service with the government. From the research findings, as in the Table 4.2, all 32 respondents that is 100% of respondents had a length of service of more than a year in the government service. This implies that all these respondents had an exposure to performance management process through OPRAS form and are in position to pass judgement about the effectiveness of the OPRAS.

Table 4.2 Respondents length of service

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Employed more than a year ago	32	100.0	100.0	100.0

Source: Field survey (2015)

4.1.3 Respondents' professions and education

As pointed out in the literature review, one of a very good study about the effectiveness of OPRAS was done by Songstad et al (2012). The study however focused only on Health workers. So, professional wise the researcher wanted to get as inclusive and diverse finding as possible.

Hence as in Table 4.3, the respondents came from 20 professions belonging in 12 out of 13 departments of the LGA. The survey covered Human Resource Officers, Computer System Analysts, Supplies Officers, Drivers, Economists, Accountants, and Dentists. Other cadres are Medical attendants, Laboratory technicians and Radiographic Technologists, Nurses, Community Development Planners, Community Development Officers, Primary Education Teachers, Secondary Education Teachers, Agriculture Officers. Also the study involved Water Engineers, Land Officers, Livestock Field Officers, and Civil technicians.

The researcher did not get a survey respondent from Sanitation and Environment department. The department has just recently become effectively operational in the LGA. It uses Health department staffs in its operations. The researcher made effort to get the HoD interviewed alongside other 6 out of 13 HoDs and the DED to make a total of 8 interviewees. This suggests that the study was very inclusive.

Education wise, as in Table 4.3, a total of 59.4% respondents are professionals with either first degree or diploma. Diploma holders are 31.1% of the total population whereas first degree holders are 28.1% of the total population. This suggests that respondents qualify to make a quality judgement about the study and that the LGA has an educated workforce which if its performance is well managed it can deliver.

Table 4.3 Professions and education level cross tabulation

Professions	Education level					Total	Percent
	Certificate	Diploma	Advanced diploma	1st degree	Master degree		
Human Resource Officer	0	0	0	0	1	1	3.1
Computer System Analyst	0	0	1	0	0	1	3.1
Assistant Supplies Officer	0	1	0	0	0	1	3.1
Driver	1	0	0	0	0	1	3.1
Economist	0	0	0	1	0	1	3.1
Accountant	0	0	1	0	0	1	3.1
Dentist	0	0	0	1	0	1	3.1
Medical attendant	1	0	0	0	0	1	3.1
Laboratory technician	0	1	0	0	0	1	3.1
Radiographic Technologist	0	1	0	0	0	1	3.1
Nurse	1	0	0	0	0	1	3.1
Community Development Planner	0	0	0	0	1	1	3.1
Community Development Officer	0	1	0	0	0	1	3.1
Primary Education Teacher	3	2	0	1	0	6	18.8
Secondary Education Teacher	0	0	0	3	1	4	12.5
Agriculture Officer	0	1	0	2	0	3	9.4
Water Engineer	0	0	0	1	0	1	3.1
Land Officer	0	0	1	0	0	1	3.1
Livestock Field Officer	0	2	0	0	0	2	6.3
Civil technician	1	1	0	0	0	2	6.3
Total	7	10	3	9	3	32	100.0
Percent	21.9	31.3	9.4	28.1	9.4	100.0	

Source: Field survey (2015)

4.2 Response Rate

A response rate is a relationship between the people who have participated in the survey and the people in the sample size expressed in percentage. To reliably, efficiently and effectively conduct the study, quantitatively a total of 32 questionnaires were administered to respondents. The finding shows that all 32 questionnaires were returned complete and usable. This is a 100% responsive rate.

On the other hand, 2.4% of the sample size, which involved 7 out of 13 HoDs plus 1 District Executive Director, was involved in the study through interview. The Heads of Departments contacted for interview are the HoDs of Human Resource and Administration; Planning Statistics and Monitoring; Community Development and Social Welfare; Water; Land and Natural Resources; Sanitation and Environment; and Health Secretary on behalf of the Health department HoD. The rest of respondents were involved in the study through documents review by investigating their personal files and studying a general OPRAS subject file that covered the entire study population.

4.3 Results of Reliability and Validity Measures of the Study

The Cronbach's alpha scale reliability test revealed a cronbach's alpha of 0.906 for the 45 research questions in the questionnaire as in Table 4.4.

Table 4.4 Cronbach's alpha reliability scale statistics

Cronbach's alpha	Total number of Items/questions
0.906	45

Source: Field survey (2015)

This is an excellent reliability suggesting that the instrument was very much reliable with reference to Cronbach's alpha description summary table of George and Mallery (2003) as reflected in Table 3.2.

With respect to validity findings in terms of Standard Error of Mean, McHugh (2008) asserts that the Standard Error (SE) is an inferential statistical term that measures the accuracy or precision within which a sample represents a population. He adds that SE statistics provides the estimates of the interval within which the population parameter may be found.

McHugh (2008) then provides that to obtain a 95% confidence interval, Standard Error of Mean is multiplied by 1.96 and the result is added to the sample mean to obtain the upper limit of the interval; and the sample mean is subtracted from that same result to get the lower limit of the interval in which the population parameter will fall. The resulting interval will provide the range of values within which the population mean is likely to fall.

Thus from Table 4.11 in the end of this chapter;

Since, Standard Error of Mean = 0.106,

Sample mean = 2.65

Then, Upper limit = $(0.106 \times 1.96) + 2.65 = 2.858$

Lower limit = $(0.106 \times 1.96) - 2.65 = -2.442$

Thus the range within which the population mean is likely to fall is between -2.442 and 2.858. It is within this range that the sample mean of this study which is 2.65

falls. This finding suggests accuracy and precision of the study and thus validates this study.

4.4 Findings, Analysis and Discussion for Each Research Specific Objective

4.4.1 Findings and analyses of data from first specific objective: to determine OPRAS actors' compliance with the laid down appraisal procedures

4.4.1.1 Mean for the first specific objective: to determine OPRAS actors' compliance with the laid down appraisal procedures

Tables 4.5a and 4.5b below show means for each variable about the OPRAS actors' compliance with the laid down appraisal procedures. An average mean for these means which is 2.82 is presented in Table 4.5b. With reference to 5 point Likert scale presented by Wilkinson and Birmingham (2003) used in the questionnaire (5-strongly agree, 4-Agree, 3-Halfway, 2-Disagree and 1-Strongly disagree) and since the cut point for an effective OPRAS is 4, then respondents disagree with the fact that there is actors' compliance with the laid down appraisal procedures which signifies ineffectiveness of the OPRAS in Performance Management procedurally.

Non compliance is very high in the area of providing training about OPRAS to the general staff of the LGA, new employees and even to weak performers after appraisal as it can be seen in variables PRC02, PRC03, PRC04, and PRC5 respectively in Table 4.5a about OPRAS actors' compliance with appraisal procedures.

Equally; there is high non compliance to supervisors on score agreements with their subordinates, consistent application of performance and evaluation standards,

inclusion of all in the appraisal, opportunity to appeal without fear of supervisor, commitment the government and follow ups, reliability, easiness in filling the form and conducting mid-and annual review meetings as it be evidenced in variables PRC10, PRC11, PRC12, PRC18, PRC20, PRC21, PRC22 and PRC23 respectively in Table 4.5b about OPRAS actors' compliance with laid down appraisal procedures.

Table 4.5a Mean for each variable for the first nine variables about OPRAS actors' compliance with the laid down appraisal procedures

Code	Statements on appraisal procedures (Procedural justice)	N	Mean
PRC01	I clearly understand what OPRAS is	32	3.28
PRC02	I have received trainings about OPRAS	32	2.19
PRC03	All evaluators are trained before they rate their subordinates	32	2.72
PRC04	All raters rate their subordinates only when they clearly know their works	32	2.75
PRC05	Every new employee receives trainings about OPRAS	32	1.75
PRC06	Those who are identified as weak performers through OPRAS are subjected to trainings for improvement	32	1.59
PRC07	All set goals are SMART(Specific, Measurable, Attainable, and Timely)	32	3.25
PRC08	I know how to set individual goals	32	3.75
PRC09	I know the department/section goals clearly	32	3.84

Source: Field survey (2015)

Table 4.5b Mean for each variable on the other fourteen variables about OPRAS actors' compliance with the laid down appraisal procedures and an overall average of the means in Table 4.5a and 4.5b.

Code	Statements on appraisals procedures (Procedural justice)	N	Mean
PRC10	There is always agreement on evaluation with people who evaluate me	32	2.50
PRC11	There is consistent application of performance and evaluation standards to all	32	2.72
PRC12	The OPRAS is thorough and inclusive (i.e. all employees are involved in setting performance and evaluation standards and all are evaluated and it covers both strengths and weaknesses)	32	2.88
PRC13	I fill the OPRAS every year	32	3.78
PRC14	The OPRAS is characterised by objectivity	32	3.84
PRC15	I always know in advance and given enough time for filling in the OPRAS	32	3.00
PRC16	At my work place, no person fills in the OPRAS for another. Every one fills in for oneself.	32	4.28
PRC17	The OPRAS is ethical (privacy is respected)	32	3.28
PRC18	I have an opportunity to appeal when I feel unfairly evaluated with no fear of my supervisor	32	2.81
PRC19	I have ever appealed against the appraisal	32	1.53
PRC20	OPRAS was not a mere copy and paste from western. There are national commitment and follow ups	32	2.06
PRC21	The OPRAS is reliable (It is free of error).	32	2.97
PRC22	OPRAS document is not complex and difficult to fill in.	32	2.19
PRC23	There are always mid- and annual review meetings	32	1.94
	An average mean for all variables above about OPRAS actors' compliance with the laid down appraisal procedures	32	2.82

Source: Field survey (2015)

4.4.1.2 Calculation of T- test from data in the first specific objective, which is to determine OPRAS actors' compliance with the laid down appraisal procedures.

Table 4.6 One- sample test on OPRAS actors' compliance with the laid down appraisal procedures

	Test Value = 4					
	T	Df	Sig. (2-tailed)	Mean Difference	95% Confidence Interval of the Difference	
					Lower	Upper
OPRAS actors' compliance to laid down appraisal procedures/ Procedural justice	-10.267	31	0.000	-1.178	-1.41	-0.94

Source: Field survey (2015)

From Table 4.6 the researcher, with reference to 5 point Likert scale presented by Wilkinson and Birmingham (2003) used in the questionnaire, (5-strongly agree, 4-Agree, 3-Halfway, 2-Disagree and 1-Strongly disagree), has taken

$$\mu = 4$$

Where by $\mu = \text{Mean}$

Therefore,

$$H_0: \mu < 4$$

$$H_1: \mu \geq 4$$

In which it is given that,

$$p \leq \alpha$$

$$\alpha = 0.05 \text{ (5\%)} \text{ or } 0.1 \text{ (1\%)}$$

Where by $H_0 =$ Null hypothesis

= No compliance of OPRAS actors' with appraisal procedure. This implies the OPRAS is not effective procedural wise with reference to the justice theory.

$H_1 =$ Alternative hypothesis

= There is compliance of OPRAS actors' to appraisal procedure. This implies the OPRAS is effective procedural wise with reference to the justice theory.

$$p = \text{p-value}$$

$$\alpha = \text{significant level}$$

Thus, since from the Table 4.6,

$$p = 0, \quad (\text{single tail})$$

$$\alpha = 0.05, \quad (\text{given})$$

And from $p \leq \alpha,$

It is affirmed, $0 \leq 0.05.$

Therefore, $H_0: \mu < 4$ is accepted and $H_1: \mu \geq 4$ is rejected.

From this test, the null hypothesis is accepted and alternative hypothesis is consequently rejected. The conclusion is therefore that there is no OPRAS actors'

compliance with appraisal procedures. This makes the OPRAS lack procedure justice which makes it ineffective in performance management.

4.4.1.3 Data from documents reviewed and interviewees with respect to the first specific objective, which is to determine OPRAS actors' compliance with the laid down appraisal procedures

Most of documents reviewed during this study and the responses from interviewees have shown non compliance of OPRAS actors with the laid down appraisal procedures. This is in line with the low mean of 2.82 for this specific objective and the rejection of alternative hypothesis and acceptance of null hypothesis in the T-test findings in this specific objective both of which suggest the same.

The documents reviewed by the researcher were personal files of employees and a subject file on OPRAS. Most of personal files had no copies of OPRAS forms in them. The few files that had OPRAS forms in these ten years of existence of OPRAS, most of the forms had no information in the columns of agreed scores.

In the OPRAS subject file, the researcher found an open letter from the office of the District Executive Director to the Heads of Departments and Sections with Ref. No. LDC/S.20/35/34 dated 15 March, 2012 (Appendix VI to this report) informing them that in the inspection done about OPRAS by the Department of Administration and Human Resource Management, it was found that “most public servants of the LGA do not fill in OPRAS forms and the few who have done so their forms lack mid-year reviews which were supposed to be made on December, 2011...”

With the help of the Registry Office Supervisor, the researcher randomly sampled 15 personal files of public servants from Department of Agriculture, Irrigation and Cooperatives. Out of them, only 2 personal files which are of a Principal Agriculture Field Officer and of a Cooperative Officer had OPRAS forms. Again in these 2 files, in 10 years of existence of OPRAS that is from 2004 to 2014, the Principal Agriculture Field Officer had only filled in the OPRAS forms in the financial year 2010-11 while the Cooperative Officer had filled in for the year 2011-12. Both of the forms were not reviewed and did not have agreed score of a supervisor and a subordinate.

From department of Administration and Human Resource Management, the researcher again sampled randomly 15 personal files. Out of them, 6 had OPRAS forms. Out of these 6 files, the first file had OPRAS forms for 6 years out of 10 years. Out of these 6 years filled in OPRAS forms by a subordinate only 1 OPRAS form was reviewed and had an agreed performance score. The second file had OPRAS forms for 3 years and only 1 was reviewed and had agreed performance score.

The third file had OPRAS form for 1 year and was not reviewed and lacked agreed performance score. The fourth one had for 2 years and only 1 was reviewed and had agreed performance score. The fifth had for 1 year and was reviewed and had agreed performance score. The sixth and last file had forms for 2 years and both forms were not reviewed and lacked agreed performance score.

From 13 Heads of Departments of the LGA, the researcher randomly picked 3 personal files. Out of those files all 3 had OPRAS forms but the first file had forms

for 3 years and out of these 3 one was not reviewed and lacked agreed performance score. The remaining 2 files had forms for 2 years each out of expected ten. The forms for the 2 years were reviewed and had agreed performance score.

The researcher also found another open letter from District Executive Director to Heads of Department with Ref. No. LDC/S.20/35/01 dated 13 September, 2006 (Appendix VII to this report) informing them that OPRAS forms were supposed to be filled in and there after reviewed before July, 2006. However, “that activity was not timely conducted because of delays in getting the forms”. This phrase suggests that there is a problem in getting logistics timely needed to make OPRAS effective.

The documents reviewed also uncovered an express strong national commitment and follow ups on OPRAS in the first five years of establishment of the OPRAS, from the year 2009 backwards and its opposite there afterwards. For example 30 August, 2008; DED received an open letter from Permanent Secretary (Establishments) Ref. No. BD/46/352/01/13 dated 13 November, 2008 (Appendix VIII to the report) requiring all public servants employers to submit appraisal reports to that Permanent Secretary’s office before or by 15 December, 2008.

On the same letter there was a brief overview of what the government has so far done to introduce and make the OPRAS successful including amendment of the Public Service Act No.8/2002 by the Public Service Act No.18/2007 and Issuing the Public Service Circular No.2/2004 on filling the appraisal forms.

Similarly, the researcher found another open letter received by DED on 11 December, 2008 with Ref. No.HB.151/215/01 dated 20 November, 2008 (Appendix

IX to this report) from the Permanent Secretary-Regional Administration and Local Government Authorities informing the District Executive Director to make preparations for a Ministry Team of Experts to be sent to the LGA to assess the then understanding of OPRAS in the Health care facilities.

Likewise, another open letter was received by DED on 11 December, 2008 Ref. No.PSC/LGSD/EA.427/463/01/68 dated 28 November, 2008 (Appendix X to this report) from the Secretary of the Public Service Commission requiring DED's office to submit a report on OPRAS trainings that the LGA has conducted to its employees. The reports were beyond reach of the researcher.

These letters suggest that during the introduction phase of the OPRAS there had been a considerable government commitment in training, capacity building and raising understanding of OPRAS to its staffs. However these efforts demised from 2008 to date.

On the other hand, when 7 Heads of Departments of the LGA were asked during interview; when did they lastly receive trainings about OPRAS, 4 said they have never, 3 said in 2011 out of which 2 attended trainings conducted by the Benjamin Mkapa AIDS Foundation (BMAF), and 1 said attended a training conducted by the Office of Administration and Human Resource Management in the same year soon after those officers had received trainings from the BMAF.

All HoDs on other hand said that development measures to employees with weak performance in the form of trainings and to new employees are rarely conducted due to absence of training arrangements. Similarly, all HoDs acknowledged that the area

of review meetings has a big challenge. All of them showed a big doubt to the extended departments like Primary Education, Secondary Education and Health which receive many employees without OPRAS trainings to deliver on OPRAS.

During interview with the District Health Secretary, he admitted about the fact. He said “it is really a challenge for the District Medical Officer (DMO) to monitor all immediate supervisors throughout the district”.

One of a major concern for all HoDs and the DED was scarcity of funds to support implementation of OPRAS to make it effective in performance management. They say fund is needed for duplicating the forms, conducting trainings and ensuring work is done so that the targets can be measured through OPRAS.

On this, the District Health Secretary commented “It costs time and money. At the minimum you have 8 pages of the OPRAS form. Say I have 300 staff. It is lot of money, if you are not allocated with enough funds. It is a good document, but short of enabling facilities to administer it”.

The HoD of Land and Natural Resources, said “Were shifting from analogy to digital. We can computerize the OPRAS and forget the paper work. It will be flexible. It is possible and a bit affordable because almost everybody has a Smartphone nowadays. Our geography is difficult especially during rainy seasons. We also do not have enough money for the big departments to effectively administer it. This will be a solution”

The DED said “What targets do you measure if you did not have funds to implement your work plan. If I had to send someone to Mavanga 184km from here to work, part of this employee targets, then I am short of oil how can I measure his work done? ”

The HoD of Sanitation and Environment argued “You cannot say a subordinate has underperformed while you did not provide him with necessary working facilities. OPRAS there will have no role to play at all”

4.4.1.4 Discussion of findings from the first specific objective of the study: to determine OPRAS actors’ compliance with the laid down appraisal procedures

These data therefore strongly suggest a non compliance with appraisal procedures by the OPRAS actors. This makes the OPRAS ineffective tool in performance management with reference to justice theory because procedures are breached. OPRAS forms are not filled every year, there are untimely filling of OPRAS forms, there are no trainings, no reviews conducted, feedback procedure is violated etc.

Also currently there seems to be no considerable government commitment and follow ups on OPRAS as there had been during the introduction phase of the tool. Funds to facilitate the procedures for implementation of OPRAS like trainings, preparations of the document and enabling employees accomplish their targets are so limited.

These findings are very same as those of Hezekiah (2011) about OPRAS in Arusha city council and Arusha district council. She reported that with regard to appraisers’ competence, the two LGAs had incompetent appraisers based on limited training provided. She maintains that the situation hampered their abilities and willingness to

implement, adapt and institute Performance Appraisal Systems. Similarly her findings revealed the problem of inadequate resources to finance the adaptation and institutionalization of PAS (Ibid).

Moreover the findings of this study are highly reflected also in the findings of Massawe (2009). Studying the effectiveness of Open Performance Review and Appraisal System (OPRAS) in Executive Agencies: the Case of the National Bureau of Standards (NBS) similarly, Massawe found that there was “no action plan for training staff about the OPRAS and an effective mechanism for monitoring implementation of the OPRAS” Thus, OPRAS has a lot of challenges to be addressed procedure wise.

4.4.2 Findings and analyses of data from second specific objective: to assess the effect of employees’ inputs measured through OPRAS on rewards (equity)

4.4.2.1 Mean for the second specific objective, which is to assess the effect of employees’ inputs measured through OPRAS on rewards

Table 4.7 shows means for all variables about the effect of employees’ inputs measured by OPRAS on rewards (equity) in the LGA. The table also shows an average of these means which is 2.46. With reference to 5 point Likert scale as presented by Wilkinson and Birmingham (2003) used in the questionnaire (5-strongly agree, 4-Agree, 3-Halfway, 2-Disagree and 1-Strongly disagree); respondents therefore disagree the fact that employees’ inputs measured through OPRAS impact rewards in the LGAs.

Table 4.7 Mean for each variable on the effect of employees' inputs measured through OPRAS on rewards and an overall average of the means.

Code	Statements	N	Mean
EQT01	The appraisals I receive from OPRAS reflect my performance	32	2.75
EQT02	Promotions and appointment posts are based on OPRAS	32	2.00
EQT03	OPRAS has boosted my job satisfaction	32	2.91
EQT04	OPRAS has enabled us improve team work	32	2.78
EQT05	I got a bonus pay for my high performance measured through the OPRAS	32	1.22
EQT06	I have ever received a recognition letter for well performance measured through the OPRAS	32	1.25
EQT07	OPRAS has increased my job security	32	3.25
EQT08	OPRAS has made employees work very hard	32	3.03
EQT09	I feel so bad when I miss an opportunity to fill in the OPRAS	32	3.28
EQT10	I have ever received a warning letter because of my poor performance measured through the OPRAS	32	1.25
EQT11	I have ever been demoted due to my poor performance based on the OPRAS score	32	1.25
EQT12	I know someone who was dismissed because of poor performance based on OPRAS	32	1.41
EQT13	I do not think of leaving my job because of lack of equity in the OPRAS.	32	4.47
EQT14	There is no favouritism in OPRAS ratings from our supervisor.	32	3.63
	An average mean for all variables above about equity in rewards/ Distributive justice	32	2.46

Source: Field survey (2015)

The respondents do not see performance score they receive to reflect their inputs and also they strongly disagree to have ever received bonus pay or recognition letters for their high performance in the instances they were so awarded as it can be seen in variables EQT05 and EQT06 in Table 4.7. The respondents equally strongly disagree to have ever received warning letters, demoted or to know any other person who was dismissed on grounds of poor performance measured through the OPRAS as it is evidenced in variables number EQT10, EQT11, and EQT12 in Table 4.7.

4.4.2.2 Calculation of T- test from data in the second specific objective, that is to assess the effects of employees' inputs measured through OPRAS on rewards

Table 4.8 One- sample test on the effects of employees' inputs on rewards

	Test Value = 4					
	T	Df	Sig. (2-tailed)	Mean Difference	95% Confidence Interval of the Difference	
					Lower	Upper
Equity in rewards/ Distributive justice	-17.569	31	0.000	-1.538	-1.72	-1.36

Source: Field survey (2015)

From Table 4.8; the researcher like in the first specific objective, with reference to 5 point Likert scale used in the questionnaire (5-strongly agree, 4-Agree, 3-Halfway, 2-Disagree and 1-Strongly disagree) has taken

$$\mu = 4$$

Where by μ =Mean

Therefore,

$$H_0: \mu < 4$$

$$H_1: \mu \geq 4$$

In which it is given that,

$$p \leq \alpha$$

$$\alpha = 0.05 \text{ (5\%)} \text{ or } 0.1 \text{ (1\%)}$$

Where by H_0 = Null hypothesis

= No equity or effect of employees' inputs measured through OPRAS on rewards. This implies that the OPRAS does not lead to equity in performance management and hence it is ineffective in performance management equity wise with reference to the equity and justice theories.

H_1 = Alternative hypothesis

= There is equity effect of employees' inputs measured through OPRAS on rewards. This implies that the OPRAS leads to equity and hence it is effective in performance management equity wise with reference to the equity and justice theories.

$$p = \text{p-value}$$

$$\alpha = \text{significant level}$$

Thus, since from the Table 4.8,

$$p = 0, \quad (\text{single tail})$$

$$\alpha = 0.05, \quad (\text{given})$$

And from $p \leq \alpha$,

It is affirmed, $0 \leq 0.05$.

Therefore, $H_0: \mu < 4$ is accepted and $H_1: \mu \geq 4$ is rejected.

From this test, the null hypothesis is accepted and alternative hypothesis is consequently rejected. The conclusion is therefore that there is no equity or effect of employees' inputs measured by OPRAS on rewards. This implies that the OPRAS does not lead to equity in performance management and hence the OPRAS is ineffective in performance management equity wise with reference to the equity and justice theories.

4.4.2.2 Data from documents reviewed and interviewees with respect to the second specific objective: to assess the effect of employees' inputs measured through OPRAS on rewards.

In the OPRAS subject file, the researcher found a letter from the District Executive Director's office to the HoDs Ref. No. LDC/C.10/4VOL.III/107 dated 15 November, 2012 (Appendix XI to this report) reminding them about supervision of filling in of OPRAS forms. As a part of a third paragraph states, "A public servant who will not fill in the OPRAS form will not be promoted, this is in accordance with the order of the Presidents' Office-Public Service Management"

This statement signifies that promotions are based on OPRAS (performance scores). However this is a contradiction to the finding from most of personal files of the LGAs employees which shows that they do not fill in the forms, the fact which the office of the District Executive Director is well aware of it.

It has been presented in the first specific objective that, in the OPRAS subject file, the researcher found an open letter from the office of the District Executive Director to the Heads of Department and Sections with Ref. No. LDC/S.20/35/34 dated 15 March, 2012 (Appendix VI to this report) informing them that in the inspection done about OPRAS by the Department of Administration and Human Resource Management, it was found that “most public servants of the LGA do not fill in OPRAS forms and the few who have done so their forms lack mid-year reviews which were supposed to be made on December, 2011...”

Therefore it can hardly be said that the rewards employees receive in the LGA, say promotions for example are the outcome of the measured input of employees through OPRAS. So to say rewards are not based on OPRAS performance scores. This suggests that the OPRAS is not used and therefore is ineffective in fair reward distribution/ distributive justice/equity as performance management is concerned.

Some of appealing comments of HoDs during interviews about the relationship between inputs of employees and rewards included-:

The acting HoD of Planning, Statistics and Monitoring said, “In normal situation it is impossible to say OPRAS is a fair means of rewarding when a person who delivers

isn't promoted for more than ten years. If this continues the OPRAS will become HOPLESS to them”

The acting HoD of Community Development and Social Welfare said, “It has been like a game for funny of just filling these forms. It gives us no material benefits”.

District Health Secretary said, “There are those who have exhausted all promotion posts. They are saying, ‘if OPRAS is about promotions and were through why bothering us’. This category of employees needs other types of rewards”.

Commenting on this group of employees DED said, “This group of people are the ones who are considered during appointments for such posts as District Executive Directors, District Administrative Secretary, and Heads of Departments as a way of motivating them”.

HoD of Land and Natural Resources supported by District Health Secretary underlined the need of alternative ways of rewarding best performers away from waiting for promotions. These ways include nominating them as outstanding public servants in performance during workers day celebrations.

4.4.2.3 Discussion of findings from data in the second specific objective: To assess the effect of employees’ inputs measured by OPRAS on rewards

These findings overall; show discontent against OPRAS as a tool for managing rewards equitably. Promotions seem not to be based on OPRAS because a large number workers do not fill in them, and still many who do there are no reviews conducted to agree on the performance scores with them.

Similarly, rewards are misinterpreted to mean promotions only. The LGA lacks other initiatives like writing recognition letters, time off job, taking best performers for tours and other related non financial rewards which would make the OPRAS meaningful in performance management in relation to rewards.

On other hand bonus schemes are completely not used. These would have been used as tools for rewarding public servants who have exhausted all posts of promotions in their schemes of service. The current plan is that they are to wait for bigger appointment posts like Directors or head of institutions, a plan which cannot accommodate all such staffs.

These findings highly concur with other researchers' findings. Songstad et al (2012) found that there was a general reluctance towards OPRAS. The health workers under the study did not see OPRAS as leading to financial gains nor did it provide feedback on performance work. On the other hand the study also reported the links between the two performance enhancing tools (P4P and OPRAS) under study to be very unclear.

Likewise, Hezekiah (2011) summarizing her findings about OPRAS from Arusha city council and Arusha district council found "lack of committed bureaucrats in adapting and instituting PAS due to poor structures (reward and motivation)..."

One of Hezekiah's respondents summarised it all saying, "We work in very demanding environment and we are unappreciated.... With PAS in place, it demands so much from a head of department/appraiser and for people to commit it requires a very attractive motivation and reward system" (Ibid).

4.4.3 Findings and analyses of data from the third specific objective: to assess the adequacy of information in the OPRAS process

4.4.3.1 Mean for the third specific objective: to assess the adequacy of information in the OPRAS process

Table 4.9 shows means for all variables about the adequacy of information in the OPRAS process and an average mean for these means which is 2. With reference to 5 point Likert scale as presented by Wilkinson and Birmingham (2003) used in the questionnaire (5-strongly agree, 4-Agree, 3-Halfway, 2-Disagree and 1-Strongly disagree); respondents therefore disagree the fact that there is adequate information in the OPRAS process.

The findings show that respondents disagree with the fact that they are provided with performance feedback including getting a copy of OPRAS form after appraisal. They are equally not given honest, sincere and logical explanations and justifications about scores they are awarded by their immediate supervisors.

Similarly they see the process is not characterized by openness and also they are not given enough and clear information about performance and evaluation standards. They also disagree with the fact that their immediate supervisors are knowledgeable enough with the OPRAS to expect quality OPRAS related decisions regarding performance management in their units. These can be seen in variables INF01, INF02, INF03, INF04 and INF06 in Table 4.9.

Table 4.9 Mean for each variable about the adequacy of information in the OPRAS process and an overall average of the means.

Code	Statement	N	Mean
INF01	I receive performance feedback through OPRAS (including getting a copy of OPRAS form after reviews)	32	2.00
INF02	I always get honest, sincere and logical explanations and justifications about my scores from my supervisor	32	2.56
INF03	OPRAS is characterized by openness .There is no unnecessary secrecy. Everyone can know other peoples' scores.	32	2.19
INF04	I am given enough and clear information on performance and evaluation standards	32	2.69
INF05	I am informed in advance on when I am going to fill in the OPRAS	32	3.41
INF06	My supervisor is highly knowledgeable on the OPRAS	32	2.91
INF07	OPRAS has helped to inform me on what I am supposed to do at my job	32	3.44
INF08	In review meetings, every employees' views are respected and taken for future improvements	32	2.19
	An average mean for all variables above about adequacy of information in OPRAS process/ Information justice	32	2.67

Source: Field survey (2015)

4.4.3.2 Calculation of T- test from data in the third specific objective: to assess the adequacy of information in the OPRAS process

From Table 4.10; the researcher like in the first and second specific objectives, with reference to 5 point Likert scale presented by Wilkinson and Birmingham (2003) used in the questionnaire (5-strongly agree, 4-Agree, 3-Halfway, 2-Disagree and 1-Strongly disagree) has taken

$$\mu = 4$$

Where by $\mu = \text{Mean}$

Therefore,

$$H_0: \mu < 4$$

$$H_1: \mu \geq 4$$

In which it is given that,

$$p \leq \alpha$$

$$\alpha = 0.05 (5\%) \text{ or } 0.1 (1\%)$$

Where by $H_0 = \text{Null hypothesis}$

= No adequacy of information in the OPRAS process. This implies that in the OPRAS process there is inadequacy of information timely ones to assist in the performance management. Hence the OPRAS is ineffective in performance management, information wise in reference to the justice theory.

$H_1 = \text{Alternative hypothesis}$

= There is adequacy of information in the OPRAS process. This implies that in the OPRAS process there is adequacy of information timely ones to assist in the performance management. Hence the OPRAS is effective in performance

management, information wise in reference to the justice theory.

$p = p\text{-value}$

$\alpha = \text{significant level}$

Thus, since from the Table 4.10,

$p = 0,$ (single tail)

$\alpha = 0.05,$ (given)

And from $p \leq \alpha,$

It is affirmed, $0 \leq 0.05.$

Therefore, $H_0: \mu < 4$ is accepted and $H_1: \mu \geq 4$ is rejected.

Table 4.10 One- sample test on the adequacy of information in the OPRAS process

	Test Value = 4					
	T	Df	Sig. (2-tailed)	Mean Difference	95% Confidence Interval of the Difference	
					Lower	Upper
Adequacy of information in the OPRAS process/ Information justice	-8.585	31	0.000	-1.328	-1.64	-1.01

Source: Field survey (2015)

From this test, the null hypothesis is accepted and alternative hypothesis is consequently rejected. The conclusion is therefore that there is inadequacy of information and knowledge about in the OPRAS to assist in the performance management. Hence the OPRAS is ineffective in performance management, information wise with reference to the justice theory.

4.4.3.3 Data from documents reviewed and interviewees with respect to the third specific objective: to assess adequacy of information in the OPRAS process

Referring to the data in the first specific objective collected through review of documents, it has been brought to the researcher's attention that a large number of employees do not fill in the OPRAS forms annually. Review meetings between immediate supervisor and subordinates are rarely conducted.

As a result of this, filled in forms have no agreed performance score. An outcome of this, both employees and the LGA are deprived of performance feedback. On the other hand, data have shown no current trainings have been conducted to both new and existing staff. The last training (coaching and mentoring) about OPRAS was conducted by the Benjamin Mkapa AIDS Foundation (BMAF) from 26 September, 2011 to 29 September, 2011 to 8 staff, 5 of whom were Health department staff. So a large number of public servants of the LGA have remained without trainings about OPRAS for a very long time. Trainings are part of OPRAS information diffusion mechanism to both raters and ratees.

4.4.3.4 Discussion of findings from the third specific objective: to assess adequacy of information in the OPRAS process

These findings therefore show there is inadequacy of appraisal information and knowledge about OPRAS in the LGA. Most of interviewees have admitted an element of feedback carried by OPRAS has not carried equal weight as a promotion element. OPRAS has been misinterpreted to mean a tool for promotion only and its role of providing performance feedback to individuals and organisation is totally minimised. This is the same finding as that in mean calculation and T-test.

These findings are in line with findings of Songstad et al (2012) about the effectiveness of OPRAS in Public Health Sector in Tanzania. Concluding their study they said that they “did not see OPRAS as leading to financial gains nor did it provide feedback on performance”

Similarly, Hezekiah (2011) studying the institutionalisation of OPRAS in Arusha city council and Arusha district council found there was a “lack of committed bureaucrats in adapting and instituting PAS due to... lack of information/knowledge regarding PAS (Performance Appraisal System)”.

4.5 General discussion of findings about effectiveness of OPRAS in performance management in Local Government Authorities from all the three specific objectives presented, analysed and discussed above

Generally; statistically the mean score for effectiveness of OPRAS is 2.65, as in Table 4.11, derived from the three means of the specific objectives of the study which are 2.82 for OPRAS actors’ compliance with the laid down appraisal procedures as in Table 4.5b; then 2.46 for the effect of inputs of employees measured

through OPRAS on rewards (equity) as in Table 4.7; and 2.67 for assessment of the adequacy of information in the OPRAS process as in Table 4.9.

With reference to 5 point Likert scale as presented by Wilkinson and Birmingham (2003) used in the questionnaire (5-strongly agree, 4-Agree, 3-Halfway, 2-Disagree and 1-Strongly disagree); survey respondents therefore disagree the fact that OPRAS is effective in performance management in local government authorities.

Similarly; in terms of standard deviation (a measure of scatter) the lower SD of 0.598 for the general study derived from 0.649 for the first specific objective, 0.875 for the second specific objective, and 0.495 for the third specific objective shows an agreement between respondents about ineffectiveness of OPRAS.

Table 4.11 The General mean, Standard Deviation and Standard Error for the study about the effectiveness of OPRAS in performance management in LGAs.

Objectives	Specific objectives and general objective of the study	N	Mean	Std. Error	Std. Deviation
1 st Specific objective	OPRAS actors' compliance with the laid down appraisal procedures/ procedural justice	32	2.82	0.115	0.649
2 nd Specific objective	Equity in rewards/distributive justice	32	2.67	0.088	0.875
3 rd Specific objective	Adequacy of information in appraisal process/ information justice	32	2.46	0.115	0.495
General objective	Effectiveness of OPRAS in performance management in Local government authorities.	32	2.65	0.106	0.598

Source: Field survey (2015)

According to Posner (2000), the lower SD denotes similarity in ideas of raters about the subject matter. He says “you might think of it (SD) as a measure of ‘agreement’ between raters. If everyone gave the same score, then SD would be zero and agreement would be high or perfect” (ibid). On the other hand, Altman and Bland (2005) assert that “for data with a normal distribution about 95% of individuals will have values within 2 (in other literatures 1.96 like in McHugh, 2008 and Posner, 2000) standard deviations of the mean, the other 5% being equally scattered above and below the mean”.

The SD for this study and all those of specific objectives are remarkably vary very within the range of 2 standard deviations from the mean, in fact not even beyond 1.96. The researcher decided to use standard deviation to measure dispersion of his respondents because, as asserted by Kothari, “standard deviation is a most widely used measure of dispersion of a series (around the mean)” (Kothari, 2004).

Equally the standard error (SE), in fact the Standard Error of the Mean in this study, highly supports the study. In statistics a sample mean deviates from the actual mean of population and is referred as a standard error (SE). The SE is an inferential statistical term that measures the accuracy or precision within which a sample represents a population (McHugh, 2008). McHugh provides that SE statistics provides the estimates of the interval within which the population parameter may be found.

He maintains that to obtain a 95% confidence interval, Standard Error of the Mean is multiplied by 1.96 and the result is added to the sample mean to obtain the upper limit of the interval; and the sample mean is subtracted from that same result to get

the lower limit of the interval in which the population parameter will fall. The resulting interval will provide the range of values within which the population mean is likely to fall (Ibid).

So; from the Table 11

Since, Standard Error of the Mean = 0.106,

Sample mean = 2.65

Then, Upper limit = $(0.106 \times 1.96) + 2.65 = 2.858$

Lower limit = $(0.106 \times 1.96) - 2.65 = -2.442$

Thus the range within which the population mean is likely to fall is between -2.442 and 2.858. It is within this range that the sample mean of this study which is 2.65 falls. This suggests that the study was accurate and precise.

These statistical findings are strongly supported by qualitative findings from documents reviewed and interviews as presented, analysed and discussed previously in this chapter. The findings are equally supported by other researchers as it has been shown in the discussions of each specific objective above.

This general discussion is well summed up by an assertion from Hezekiah (2011) who having studied institutionalization of OPRAS in Arusha city council and Arusha district council, concluded that, Performance appraisals were introduced in 2004 to help in performance management but, “very little changes can be seen, judging the services delivered by the public service”. This fact has remained the same to date.

CHAPTER FIVE

CONCLUSIONS AND RECOMMENDATIONS

5.0 Chapter Overview

The chapter contains conclusion of the study, recommendation of the researcher and areas for further research.

5.1 Conclusions

The objective of the study was to assess the effectiveness of OPRAS in performance management in Local Government Authorities: a case of Ludewa Local Government Authority. The conclusions drawn from the study are firstly, the results to a large extent show there is no compliance with the laid down appraisals procedures by OPRAS actors. A large number of public servants in local government authorities do not fill in the OPRAS forms. Equally; a large number of supervisors do not conduct mid- and annual reviews and agree on performance score with their subordinates.

Similarly, trainings about OPRAS to a general staff of the LGA, new employees and even to weak performers as development measures after appraisal are not provided. Also currently there seems to be no considerable government commitment and follow ups on OPRAS as there had been during the introduction phase of the tool. Funds to facilitate the procedures for implementation of OPRAS like trainings, preparations of the document and enabling employees accomplish their targets are so limited. Likewise, one copy of OPRAS form after review is not returned to the ratee as a matter of procedure.

Secondly, the OPRAS does not guarantee equity between employees' inputs and rewards they receive. Pay for Performance (P4P) is not implemented. Again, since a large number of employees do not fill in the OPRAS and reviews are not conducted, then promotions are less likely to be based on OPRAS. Similarly there are no bonuses and recognition letters given to employees with high performance. Equally, there are no sanctions against poor performers like warning letters, demotions or dismissals are given basing on OPRAS scores.

On the other hand the OPRAS which would be legal evidence and a document for justification of such administrative decisions is less taken serious. Likewise, rewards are misinterpreted to mean promotions only. The LGA lacks other initiatives like writing recognition letters, time off job, taking best performers for tours and other related non financial rewards and make OPRAS meaningful in performance management in relation to rewards.

Also bonus schemes which are completely not used would have been used as a tool for rewarding public servants who have exhausted all promotion posts in their schemes of service. The current situation is that they wait for bigger appointment posts like Directors or head of institutions, a plan which cannot accommodate all such staffs.

Thirdly, OPRAS information is inadequately generated and shared to and from employees and the Local Government Authority. The findings show that an element of feedback carried by OPRAS has not carried equal weight as a promotion element. In the LGA, the OPRAS has been misinterpreted to mean a tool for promotion only and its role of providing performance feedback to individuals and organisation is

totally minimised. As a result, employees are not provided with performance feedback including getting a copy of OPRAS form after appraisal. Review meetings between immediate supervisor and subordinates are rarely conducted. As a result of this, filled in forms have no agreed performance score. An outcome of this, both employees and the LGA are deprived of performance feedback.

On the other hand trainings about OPRAS to the general staff, new employees and even to weak performers as part of development measures after appraisal are not provided. Trainings are part of OPRAS information diffusion mechanism to both raters and ratees. These would have helped a lot in informing employees about performance and evaluation standards and expected results from them.

Therefore from the three sub-conclusions above, the OPRAS can generally be said to be ineffective tool in performance management in local government authorities. It is still faced by many setbacks that caused the failure of its predecessor, the Closed Annual Confidential Report System (CACRS) like failure to give feedback to employees, failure to identify training needs, failure to hold individual employees responsible and accountable for their performance, favouritism in promotions and alike which were pointed out by Turner and Hulme (1997), Nigera (2004), Bana and Shitindi (2009) and Issa (2011).

5.2 Recommendations

Following the conclusions, a number of recommendations are made. In the first, instance there has to be a closer monitoring by responsible authorities to ensure that all public servants in local government authorities are appraised by filling in the OPRAS form. This will entail constant reminders and inspections to supervisors to

ensure that they conduct mid- and annual reviews and agree on performance scores with their subordinates.

Similarly, trainings about OPRAS to a general staff of the LGA, new employees and to weak performers after appraisal must be provided. Development of weak performers depends greatly on this. Trainings also are part of OPRAS information diffusion mechanism and survival for any organisation.

The President's Office-Public Service Management, Public Service Commission, Ministry for Regional Administration and Local Government Authorities and related offices should revive their commitments and follow ups on OPRAS in LGAs as they were doing during the introduction phase of the tool. Moreover, funds to facilitate the procedures for implementation of OPRAS like trainings, preparations of the document and for enabling employees accomplish their targets must be adequately budgeted and made available to the LGAs.

Likewise LGAs should observe the practice of returning one copy of an OPRAS form to the ratee as a matter of procedure after review. This is to provide performance feedback to the employee so as to enable him or her understand one's performance status as performance management through OPRAS is concerned.

Equally significant, the philosophy of Pay for Performance (P4P) should form the basis of rewarding system in LGAs. This will make promotions highly competitive and OPRAS meaningful. The introduction of bonuses and other incentives may be necessary. These can be used as a tool for rewarding public servants who have performed well but for example, have exhausted all promotion posts in their schemes

of service and cannot be further promoted. The current plan that this category of employees are to wait for bigger appointment posts like Directors or head of institutions cannot accommodate all such staffs.

The study also recommends that rewards should not be misinterpreted to mean promotions, bonuses and other material gains alone. Other initiatives like writing recognition letters, giving time off job, taking best performers for tours and other related non financial rewards can be introduced to reward best performers identified through OPRAS and make OPRAS meaningful in performance management in relation to rewards. Equally, employees with persistent bad performance in OPRAS forms despite development measures provided should be sanctioned by giving them warning letters, demotions and even dismissals.

Finally the element of performance feedback carried by OPRAS has to carry equal weight as a promotion element. OPRAS is emphatically misinterpreted to mean a tool for promotion only and its role of providing performance feedback to/from individuals and organisation is totally minimised.

5.3 Areas for Further Research

The researcher wishes to call upon further researches on the following areas:-

First is to determine relationship between the Open Performance Review and Appraisal System (OPRAS) and the Lawson system in promotions/reward management in Local Government Authorities. The main issue is that the government emphasises that only employees who have been evaluated through OPRAS and proven to deliver can be promoted. However, every new financial year

there are a lot of promotions of public servants while a large number of public servants do not fill in the OPRAS forms and supervisors and their subordinates do not sit for mid- and annual review meetings.

Secondly, research can be directed in assessing the impact of the Open Performance Review and Appraisal System (OPRAS) in motivation of employees in Local Government Authorities. Also a replica study can be conducted in another LGA using same or different methodology.

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APPENDICES

Appendix 1: Research tools

I. Researcher introduction:

Dear respondent,

I am a student of a master degree of Human Resource Management at the Open University of Tanzania. I am researching on the effectiveness of OPRAS in performance management in Local Government Authorities: A case of Ludewa Local Government Authority.

I kindly request you to assist me with your experience with the OPRAS. All the information you are providing will only be used for this academic purpose and will be treated with confidentiality.

Thanks in advance!

II. Questionnaire

Section A: Background information

Please tick in a box against a response that describes you best.

1. Gender?

A. Female	<input type="checkbox"/>	B. Male	<input type="checkbox"/>
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2. Age?

A. 18-25	<input type="checkbox"/>	B. 26-35	<input type="checkbox"/>	C. 36-45	<input type="checkbox"/>
D. 46-55	<input type="checkbox"/>	E. 56 and above	<input type="checkbox"/>		
3. Education level?

A. Certificate	<input type="checkbox"/>	B. Diploma	<input type="checkbox"/>	C. Advanced Diploma	<input type="checkbox"/>
D. 1 st Degree	<input type="checkbox"/>	E. Master Degree	<input type="checkbox"/>	F. PhD	<input type="checkbox"/>

4. When were you employed in the government?

A. Less than a year

B. More than a year ago

Please fill in the blanks with the relevant information about you

5. In which department are you?

6. What is your profession? (E.g. Engineer? Nurse? Teacher? HRO? Accountant? etc

Section B: Research questions

Please tick in the boxes below number **1= if strongly disagree** or **2= if disagree** or **3= if halfway** or **4= if agree** or **5= if strongly agree**, depending on what statement describes best your experience with the OPRAS.

S/ N	STATEMENT	1	2	3	4	5
7	I clearly understand what OPRAS is					
8	I have received trainings about OPRAS					
9	All evaluators are trained before they rate their subordinates					
10	All raters rate their subordinates only when they clearly know their works					
11	Every new employee receives trainings about OPRAS					
12	Those who are identified as weak performers through OPRAS are subjected to trainings for improvement					
13	All set goals are SMART(Specific, Measurable, Attainable, and Timely					
14	I know how to set individual goals					
15	I know the department/section goals clearly					
16	There is always agreement on evaluation with people who evaluate me					
17	There is consistent application of performance and evaluation standards to all					
18	The OPRAS is thorough and inclusive (i.e. all employees are involved in setting performance and evaluation standards and all are evaluated and it covers both strengths and weaknesses)					
19	I fill the OPRAS every year					
20	The OPRAS is characterised by objectivity					
21	I always know in advance and given enough time for filling in the OPRAS					
22	The OPRAS at my work place is never filled in by one person for all workers. Every one fills ones form.					
23	The OPRAS is ethical (privacy is respected)					
24	I have an opportunity to appeal when I feel unfairly evaluated with no fear of my supervisor					

25	I have ever appealed against the appraisal						
26	OPRAS was not a mere copy and paste from western. There are national commitment and follow ups on its implementation.						
27	The OPRAS is reliable (It is free of error).						
28	OPRAS document is not complex and difficult to fill in.						
29	There are always mid- and annual review meetings						
30	I receive performance feedback through OPRAS (including getting a copy of OPRAS form after reviews)						
31	I always get honest, sincere and logical explanations and justifications about my scores from my supervisor						
32	OPRAS is characterized by openness .There is no unnecessary secrecy. Everyone can know other peoples' scores.						
33	I am given enough and clear information on performance and evaluation standards						
34	I am informed in advance on when I am going to fill in the OPRAS						
35	My supervisor is highly knowledgeable on the OPRAS						
36	OPRAS has helped to inform me on what I am supposed to do at my job						
37	In review meetings, every employees' views are respected and taken for future improvements						
38	The appraisals I receive from OPPRAS reflect my performance						
39	Promotions and appointment posts are based on OPRAS						
40	OPRAS has boosted my job satisfaction						
41	OPRAS has enabled us improve team work						
42	I got a bonus pay for my high performance measured through the OPRAS						
43	I have ever received a recognition letter for well performance measured through the OPRAS						
44	OPRAS has increased my job security						
45	OPRAS has made employees work very hard						
46	I feel so bad when I miss an opportunity to fill in the OPRAS						
47	I have ever received a warning letter because of my poor performance measured through the OPRAS						
48	I have ever been demoted due to poor performance based on the OPRAS						
49	I know someone who was dismissed because of poor performance based on OPRAS						
50	I do not think of leaving my job because of lack of equity in the OPRAS						
51	There is no favouritism in OPRAS ratings from our supervisor						

That is it. Thank you so much for your precious time!

III. Interview guide to Heads of Departments and the District Executive Director

- 1) Do you know anything about the Closed Annual Confidential Report System (CACRS) and the Open Performance Review and Appraisal System (OPRAS) and how do they differ?
- 2) The OPRAS was introduced in 2004 to replace the CACRS because the CACRS had failed to provide feedback to employees, failed to identify training needs, was characterised by rigid bureaucracy, nepotism, favouritism and lack of accountability. Do you think OPRAS has managed to solve these problems? How?
- 3) What do you consider being the success or strengths of the OPRAS?
- 4) What do you consider being the weaknesses of the OPRAS?
- 5) What do you recommend to be done to improve the quality of this appraisal tool when we are entering into the second decade of its use?
- 6) Do you ensure that one copy of the OPRAS form after review is returned to your subordinate?
- 7) Do you agree with your subordinates on the marks you give them?
- 8) Do you conduct review meetings?
- 9) Did you attend any training on performance evaluation?

Appendix II: Model for recommended sizes of samples for various survey

universes

Iverse	Sample	Universe	Sample	Universe	Sample	Universe	Sample
10	10	100	80	1,250	294	6,000	361
15	14	200	132	1,500	306	7,500	366
20	19	300	169	2,000	322	10,000	370
30	28	400	196	2,500	333	15,000	375
40	36	500	217	3,000	341	20,000	377
50	40	600	234	3,500	346	30,000	379
60	44	700	248	4,000	351	40,000	380
70	59	800	260	4,500	354	50,000	381
80	66	900	269	5,000	357	75,000	382
90	73	1,000	278	5,500	359	1,000,000	384

Source: Payne and Payne (2004)

Appendix III: OPRAS form

TFN 832



UNITED REPUBLIC OF TANZANIA

OPEN PERFORMANCE REVIEW AND APPRAISAL FORM
 (To be filled in Triplicate)

From To June

This form replaces all other appraisal forms in the Public Service Institutions. It is intended to meet the requirement of the performance management system and development process.

NOTES ON HOW TO FILL THIS FORM:

1. This form must be filled by all employees in Public Service Institutions. For principal officers and above, at the end of the year once fully completed, the original should be sent to the Permanent Secretary (Establishments), duplicate to the respective Head of Organization and triplicate to the public servant concerned. All other employees (senior officers and below) original copy should be sent to Chief Executive Officer of the organization, duplicated to the parent ministry of the specific cadre and the triplicate to the public servant concerned.
2. Where appropriate, each box shall carry only one letter or figure. Letters to be capitals.
3. Personal / Agreed objectives are derived from the organization work plan (Strategic Plan, annual operating plans or Action plans) and are expected to be implemented in the current year.
4. Sections 2,3 and 4 of this form shall be filled by the Appraisee in consultation with the Supervisor and sections 5-6 in the presence of a third party if necessary.
5. Please note that appraisals that are rated as 1 are the best performers and appraisals rated as 5 are the worst performers. These should be brought to the attention of top management and usually to the attention of the Chief Executive Officer of their respective Organization.

SECTION 1: PERSONAL INFORMATION

Vote code:	<input type="text"/>	<input type="text"/>	Check Number	<input type="text"/>
	Vote description			
Sub vote:	<input type="text"/>	Present Station:	<input type="text"/>	<input type="text"/>
NAME FULL	<input type="text"/>	<input type="text"/>	<input type="text"/>	Gender: <input type="text"/>
	Surname	First name	Middlename	
Academic Qualification	<input type="text"/>			
Duty Post	<input type="text"/>	Substantive post	<input type="text"/>	
Date of first appointment	<input type="text"/>	Date of appointment to Present post	<input type="text"/>	
	DDMMYYYY		DDMMYYYY	
Salary Scale	<input type="text"/>	Period served under present Supervisor	<input type="text"/>	Date of Birth <input type="text"/>
Terms of Service	<input type="text"/>			

DD = Day MM = Month YYYY = Year F = Female M = Male

SECTION 2: PERFORMANCE AGREEMENT

To be filled by the Appraisee in Consultation with the Supervisor

2.1 S/N	2.2 Agreed Objectives	2.3 Agreed Performance Targets	2.4 Agreed Performance Criteria	2.5 Agreed Resources

2.6 Appraisee:

2.7 Supervisor

.....

.....

Name (in Capital letters) Signed

Name (in capital letters) Signed

Date.....

Date.....

SECTION 3: MID YEAR REVIEW**(To be filled by the Appraisee in Consultation with the Supervisor)**

3.1 S/N	3.2 Agreed Objectives (As per Section 2)	3.3 Progress towards Target	3.4 Factor Affecting Performance

SECTION 4: REVISED OBJECTIVES (If any)

S/N	Agreed Revised Objective (s)	Agreed Performance Targets	Agreed Performance Criteria	Agreed Resources

Appraisee:

Supervisor

.....

.....

Name (in Capital letters)

Signed

Name (in capital letters)

Signed

Date.....

Date.....

SECTION 5: ANNUAL PERFORMANCE REVIEW & APPRAISAL

(To be filled by the Appraisee in Consultation with the Supervisor)

S/N	Agreed Objective (s)	Progress Made	Rated Mark		
			Appraisee	Supervisor	Agreed Mark
Overall Performance Mark <i>This should reflect the overall performance and achievement of agreed objectives.</i>					
Rating:					
1 = over standing performance 2 = Performance above average 3 = Average performance					
4 = Poor performance 5 = Very poor performance.					

SECTION 6: ATTRIBUTES OF GOOD GOVERNANCE

(to be filled by the Appraisee and the Supervisor)

S/ N.	MAIN FACTORS	QUALITY ATTRIBUTE	Rate Mark		
			Appraisee	Supervisor	Agreed Marks
	WORKING RELATIONSHIPS	Ability to Work in Term			
		Ability to get on with other staff			
		Ability to gain respect from others			
	COMMUNICATION AND LISTENING	Ability to express in writing			
		Ability to express orally			
		Ability to listen and comprehend			
		Ability to train and develop subordinates			
	MANAGEMENT AND LEADERSHIP	Ability to plan and organize			
		Ability to lead motivate and resolve conflicts			
		Ability to initiate and innovate			
	PERFORMANCE IN TERMS OF QUALITY	Ability to deliver accurate and high quality output timely			
		Ability for resilience and persistence			
	PERFORMANCE IN TERMS OF QUANTITY	Ability to meet demand			
		Ability to handle extra work			
	RESPONSIBILITY AND JUDGEMENT	Ability to accept and fulfill responsibility			
		Ability to make right decisions			
	CUSTOMER FOCUS	Ability to respond well to the customer			
	LOYALTY	Ability to demonstrate follower ship skills			
		Ability to provide ongoing support to supervisor(s)			
		Ability to comply with lawful instructions of supervisors			
	INTEGRITY	Ability to devote working time exclusively to work related duties			
		Ability to provide quality services without need for an inducements			
		Ability to apply knowledge abilities to benefit Government and not for personal gains.			
Overall Performance Section 5.					
Rating: 1 = over standing performance 2 = Performance above average 3 = Average performance 4 = Poor performance 5 = Very poor performance.					

SECTION 7: OVERALL PERFORMANCE (AVERAGE OF SECTIONS 5 & 6)

COMMENTS BY APPRAISEE (If any)

Name of Appraisee	Signature	Date

COMMENTS BY OBSERVER (If any)

Name of Observer	Signature	Date

COMMENTS BY SUPERVISOR (if any)

Name of Supervisor	Signature	Date

SECTION 8: REWARDS/SANCTIONS

Supervisors and subordinates should agree on what the most appropriate reward or sanction should be. These should be as creative as possible especially considering all possible non-financial awards that fit the performance achieved.

Appendix IV: Research clearance letter

THE OPEN UNIVERSITY OF TANZANIA
 DIRECTORATE OF RESEARCH, PUBLICATIONS, AND POSTGRADUATE STUDIES

P.O. Box 23409 Fax: 255-22-2668759 Dar es
 Salaam, Tanzania,
<http://www.out.ac.tz>



Tel: 255-22-2666752/2668445 ext.2101
 Fax: 255-22-2668759,
 E-mail: drpc@out.ac.tz

District Executive Director
 P.O.Box 19
 Ludewa

28/11/2014

RE: RESEARCH CLEARANCE

The Open University of Tanzania was established by an act of Parliament no. 17 of 1992. The act became operational on the 1st March 1993 by public notes No. 55 in the official Gazette. Act number 7 of 1992 has now been replaced by the Open University of Tanzania charter which is in line the university act of 2005. The charter became operational on 1st January 2007. One of the mission objectives of the university is to generate and apply knowledge through research. For this reason staff and students undertake research activities from time to time.

To facilitate the research function, the vice chancellor of the Open University of Tanzania was empowered to issue a research clearance to both staff and students of the university on behalf of the government of Tanzania and the Tanzania Commission of Science and Technology.

The purpose of this letter is to introduce to you **Mr. FANUEL B.MWAKIBETE** with Reg.NO. **PG201404017** who is a Master student at The Open University of Tanzania pursuing Master of Human Resource Management. By this letter, **Mr. FANUEL B.MWAKIBETE** has been granted clearance to conduct research in the country. The title of his research is **"ASSESSMENT OF EFFECTIVENESS OF OPRAS IN PERFORMANCE MANAGEMENT IN LOCAL GOVERNMENT AUTHORITIES: A CASE OF LUDEWA LOCAL GOVERNMENT AUTHORITY"**. The research will be conducted in Ludewa District. The period which this permission has been granted is from 05/01/ 2015 to 05/03/2015.

In case you need any further information, please contact:

The Deputy Vice Chancellor (Academic); The Open University of Tanzania; P.O. Box 23409; Dar Es Salaam. Tel: 022-2-2668820

We thank you in advance for your cooperation and facilitation of this research activity.

Yours sincerely,

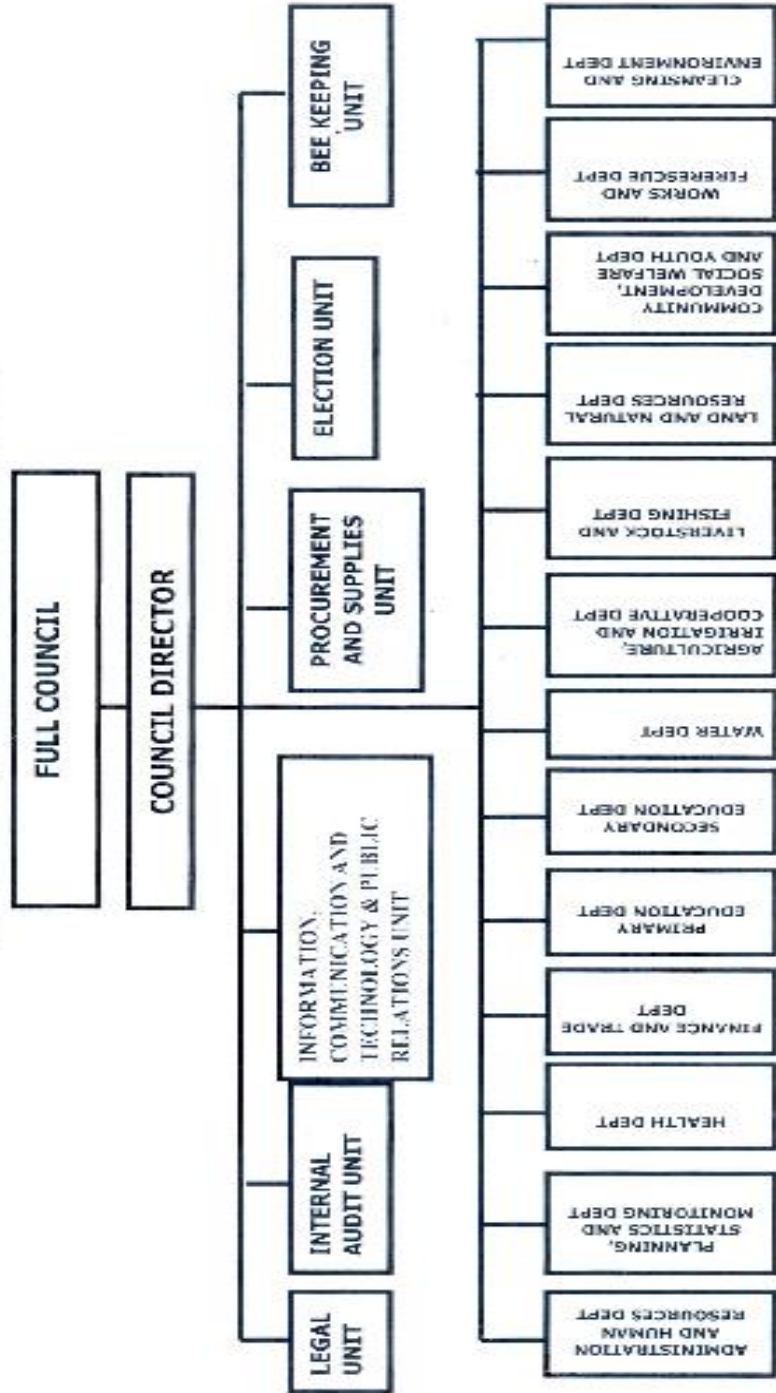
Yours sincerely,

Prof. S. A. Mbogo

DIRECTOR

RESEARCH, PUBLICATIONS, AND POSTGRADUATE STUDIES

Appendix v : Organisation structure of Ludewa LGA



Appendix VI: Open letter, Ref. No. LDC/S.20/35/34

HALMASHAURI YA WILAYA YA LUDEWA.

(34)

Ofisi ya Mkurugenzi Mtendaji (W),
S.L.P. 19,
LUDEWA.

Kumb. Na.LDC/S.20/35/34.

15/03/2012.

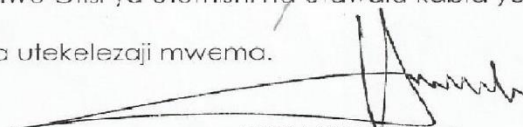
WAKUU WA IDARA,
WAKUU WA VITENGO,
S.L.P. 19,
LUDEWA.**YAH: UJAZAJI NA MAPITIO YA FOMU ZA OPRAS KWA MWAKA 2012/2013.**

Tafadhali husika na somo la hapo juu.

Natumia fursa hii kuwajulisha kuwa katika Ukaguzi ulifanywa na Ofisi ya Utumishi na Utawala juu ya ujazaji wa Fomu za OPRAS kwa Watumishi wa Halmashauri ya Ludewa imebaini kuwa Watumishi wengi hawajazi fomu za OPRAS hata wale wachache waliojaza hawajafanyiwa mapitio ya nusu mwaka ambavyo yalitakiwa kufanyika Mwezi Disemba, 2011 hii ni kinyume na Kanuni D 64 (b) ikisomwa sanjari na Kanuni D 67 (1) ya kanuni za kudumu za Utumishi wa Umma za mwaka 2009.

Kwa barua hii nimeagizwa niwajulishe kuwa mataka kufanya mapitio ya nusu mwaka kwa fomu za Watumishi waliojaza na kwa Watumishi wasiojaza fomu za OPRAS wajulishwe kujaza fomu hizo na taarifa ya utekelezaji wa suala hili iwasilishwe Ofisi ya Utumishi na Utawala kabla ya tarehe 23/03/2012.

Nawatakiwa utekelezaji mwema.


HORACE WILLIAM.
KNY: MKURUGENZI MTENDAJI (W).
LUDEWA.

Mkurugenzi Mtendaji
Halmashauri ya Wilaya
Ludewa

Nakala:Mkurugenzi Mtendaji (W), - Aina kwenye Jalada.
S.L.P. 19.
LUDEWA.

Appendix VII: Open letter, Ref. No. LDC/S.20/35/01

HALMASHAURI YA WILAYA YA LUDEWA

MKOA IRINGA

Ofisi ya Mkurugenzi Mtendaji (W),
S.L.B. 19,
LUDEWA.

Kumb. Na. LDC/S.20/35/01

13 Septemba, 2006

Wakuu wa Idara wote,
Halmashauri ya Wilaya,
S.L.B. 19,
LUDEWA.**YAH : FOMU ZA OPRAS KWA MWAKA 2006/2007**

Somo hilo hapo juu latusika na barua hii.

Mtakumbuka kwamba kila Mkuu wa Idara alitakiwa awe amefikia makubaliano ya utendaji kazi kati yake na Mkurugenzi Mtendaji (W) kabla ya Mwezi Julai, 2006. Vile vile kila Mtumishi alikuwa awe amewekeana Mkataba wa kazi kati yake na Msimamizi wake kabla ya Julai, 2006.

Zoezi hilo lilichelewa kutekelezwa kutokana na kuchelewa upatikanaji wa Fomu za kujaza. Halmashauri hii imekwishapokea Fomu hizo na zinatakiwa kujazwa na kukamilika kabla ya tarehe 20/09/2006.

Kila Mkuu wa Idara binafsi anatakiwa kuandaa malengo hasa yaliyopo katika mpango mkakali na kuyawasilisha kwa Mkurugenzi Mtendaji (W) kwa makubaliano ya utekelezaji. Imechelewa kwamba kila Mkuu wa Idara awe amefikia makubaliano hayo kabla ya tarehe 20/09/2006.

Fomu hizo zinatakiwa kujazwa nakala tatu na mgawanyo ni kama ifuatavyo:-

- (1) Kwa Wakuu wa Idara:- Moja itabakia kwake, ya pili kwa DED na ya tatu itapelelewa Ofisi ya Rais, Menejiment ya Utumishi wa Umma.
Fomu hizo zinapatikana kwa Ndugu S. Mpangala - Stores Officer. Mgawanyo wa Fomu hizo kwa kila Idara ni kama ifuatavyo:-

S/No. IDARA
(1) UtawalaIDADI YA FOMU
840

(2) Elimu	12,480
(3) Kilimo na Mifugo	234
(4) Fedha	28
(5) Mipango	12
(6) Maliasili	96
(7) Ardhi	36
(8) Ushirika	6
(9) Maendeleo ya Jamii	78
(10) Mkaguzi wa Ndani	6
(11) Maji	368
(12) Ujenzi	672
(13) Biashara	12
(14) Afya	

Kila mmoja wenu anatakiwa kufuata muda alioweka ili kuweza kupima matokeo ya kazi zinazotarajiwa. Kila Mkuu wa Idara anatakiwa kuchukua fomu za idara yake na kuwagawia wa umishi waliopo chini ya Idara zenu.

.....
B. A. Ngowi

Kny: MKURUGENZI MTENDAJI (W)
LUDEWA

Mkurugenzi Mtendaji
Halmashauri ya WDaya
Ludewa

Nakala:- Mkurugenzi Mtendaji (W),
S.L.B. 19,
LUDEWA.

:- Ndugu Samwel W. Mpangala,
Store Keeper,
LUDEWA.

Appendix VIII: Open letter, Ref. No. BD/46/352/01/13

JAMHURI YA MUUNGANO WA TANZANIA**OFISI YA RAIS**

Anwani ya Simu: "UTUMISHI", DSM.
 Simu Nambari: 118531-4
 E-Mail: permsec@estabs.go.tz
 Fax: 2131365, 2131849
<http://www.estabs.go.tz>



Menejimenti ya Utumishi wa Umma
 S.L.P. 2483
 Dar es Salaam
 TANZANIA.

Unapojibu tafadhali taja:

Kumbukumbu Na: BD/46/352/01/13

13 Novemba, 2008

Makatibu Wakuu wote,

Wakuu wa Idara Zinazojitegemea,

Makatibu Tawala wa Mikoa,

Wakurugenzi wa Halmashauri za

Majiji, Manispaa, Miji na Wilaya,

TANZANIA BARA.

30/12/08
 DADAPO
 Tupadiliane
 Mnu
 DE/D
 31/12/08

Yah: **UWASILISHAJI WA TAARIFA ZA TATHMINI YA
 UTENDAJI KAZI ZA WATUMISHI WA UMMA**

Kama mnavyofahamu Serikali inatekeleza Awamu ya Pili ya Mpango wa Mabadiliko katika Utumishi wa Umma (Public Service Reform Programme, Phase Two) ambao unalenga kutoa huduma bora na kuhakikisha uwajibikaji.

2. Kutokana na mabadiliko haya Serikali iliamua kubadilisha mfumo wa upimaji wa utendaji kazi kutoka utaratibu wa kupima utendaji kazi kwa siri kwa kutumia Fomu TFN.743 na EF.117 kwa walimu kuwa mfumo wa upimaji kazi kwa uwazi (Open Performance Review and Appraisal System – OPRAS).

3. Kufuatia uamuzi huu Serikali ilitoa Waraka wa Utumishi Na.2 wa mwaka 2004 ambao ulielekeza utaratibu utakaotumika katika utekelezaji wa utaratibu huu wa upimaji utendaji kazi kwa uwazi.

Waraka huo ulieleza kwamba utaratibu huu utawahusu waajiri na watumishi wote wa umma.

4. Tathmini kuhusu matumizi ya utaratibu wa upimaji utendaji kazi kwa uwazi inaonyesha kuwa bado kuna Taasisi za Umma ambazo hazijaanza kutumia utaratibu huu, na zinazoutumia hazitekelezi ipasavyo.

5. Ili kutilia mkazo uwajibikaji na ufanisi katika utekelezaji wa kazi, mfumo huu umepewa nguvu ya kisheria baada ya kupitishwa kwa Sheria ya Marekebisho ya Sheria ya Utumishi wa Umma (Public Service <Amendment> Act) Na.18 ya mwaka 2007. Kutokutekeleza utaratibu huu ipasavyo ni kukiuka Sheria za nchi. Hivyo, kila mwajiri anatakiwa kuhakikisha kwamba watumishi wake wote wanatekeleza utaratibu huu kwa kusaini mikataba ya utendaji kazi (Performance Contract) na wasimamizi wao wa kazi.

6. Kwa mujibu wa Waraka wa Utumishi Na.2 wa mwaka 2004 kila mtumishi anatakiwa kuandaa taarifa ya tathmini ya kazi kwa kila miezi sita na kwa kila mwaka na taarifa hizo kusambazwa kwa mamlaka husika baada ya taarifa hizo kujadiliwa na kuafikiwa na msimamizi wa kazi na mwajiriwa.

7. Kwa kuwa kipindi cha miezi sita kinakaribia kumalizika tangu mwaka wa fedha wa 2007/2008 umemalizika hapo tarehe 30 Juni, 2008, Waajiri wote wanatakiwa kuwasilisha katika Ofisi hii taarifa za tathmini ya utendaji kazi kwa mwaka uliomalizika kwa watumishi wote walioko katika ngazi ya Maafisa Wakuu Kimiundo ya utumishi na za viongozi wanaohusika kabla au ifikapo tarehe 15 Desemba, 2008. Aidha, mnatakiwa kuendelea kushughulikia taarifa za tathmini ya utendaji kazi kwa mwaka huu wa 2008/2009 ili ziweze kuwasilishwa katika Ofisi hii kabla au ifikapo tarehe 31 Agosti, 2009 zikiwa tayari zimekamilishwa kwa mwaka mtakaoishia tarehe 30 Juni, 2009.

8. Mwisho, ni matumaini yangu kuwa maelekezo haya yatazingatiwa ili kuhakikisha kwamba unakuwepo usimamizi na uwajibikaji katika ngazi zote na kuwa na utendaji kazi wenye malengo unaozingatia matokeo ya kazi aifanyayo kila mtumishi aliyeajiriwa katika Utumishi wa Umma.

Ninawashukuru kwa ushirikiano wenu mkubwa.



George D. Yambesi

KATIBU MKUU (UTUMISHI)

Nakala: Katibu Mkuu Kiongozi,
Ofisi ya Rais,
Ikulu,
S. L. P. 9120,
DAR ES SALAAM.

Appendix IX: Open letter, Ref. No.HB.151/215/01

THE UNITED REPUBLIC OF TANZANIA
PRESIDENT'S OFFICE

Telegrams "RALG" DODOMA
Tel: 026 - 2322848, 2323164, 2323174
Fax: 026 - 2322116, 2322146, 2321217

In reply please quote:

Ref. No. HB.151/215/01



Regional Administration & Local
Government,
P.O. Box 1923,
DODOMA

Date: 20/11/2008

District Executive Directors,
TANZANIA MAINLAND

Town/Municipal/City Directors,
TANZANIA MAINLAND

RE: CAPACITY BUILDING ON OPRAS

11/12/08
Mbonde

The Permanent Secretary Ministry of Health and Social Welfare requested our Ministry to allow a Team of Experts dealing with Capacity Building Project on OPRAS to visit your Councils and assess the utilization of OPRAS. The aim of this visit is to assess the current understanding of OPRAS in the Health care facilities. This work will be done between November 17th - December, 16th, 2008.

Please accord them necessary assistance and collaboration they will need.

F. E. Mbonde
For **PERMANENT SECRETARY**

Copy to: Permanent Secretary
President's Office Public Service Management,
P.O. Box 2483
DAR ES SALAAM

" Permanent Secretary,
Ministry of Health and Social Welfare,
P.O. Box 9083,
DAR ES SALAAM

Appendix X: Open letter, Ref. No.PSC/LGSD/EA.427/463/01/68

JAMHURI YA MUUNGANO WA TANZANIA
OFISI YA RAIS

Anwani ya simu "TUME"
Simu Na: 022-2460640
Fax: 022-2460641
General: 022 - 2460119/2460169
022 - 2460187



TUME YA UTUMISHI WA UMMA,
IDARA YA UTUMISHI SERIKALI ZA MITAA,
JENGO LA UBUNGO PLAZA,
S.L.P. 902,
DAR ES SALAAM.

Unapojibu tafadhali taja:

Kumb: Na. PSC/LGSD/ EA.427/463/01/68

28 Novemba, 2008

Wakurugenzi Watendaji,
Halmashauri za Wilaya, Miji, Manispaa na Majiji,
TANZANIA BARA.

MAL'ASHAURI YA WILAYA
T. 11/12/08
LUDEWA

**YAH: UWASILISHAJI WA TAARIFA YA UENDESHAJI WA
MAFUNZO YA OPRAS**

Tafadhali husikeni na somo hilo hapo juu.

2.0 Tume ya Utumishi wa Umma inahitaji kupata taarifa ya Mafunzo ya OPRAS mliyowafanyia watumishi wenu. Taarifa zenu zionyeshe yafuatayo:

- 2.1 Tarehe na mahali yalipofanyika mafunzo.
- 2.2 Taasisi/Wakufunzi waliotoa mafunzo hayo.
- 2.3 Makundi/Watumishi waliohusika.
- 2.4 Ikiwa siyo Makundi/Watumishi wote ielezwe mipango iliyopo kuhakikisha waliosalia wanapata mafunzo hayo.
- 2.5 Hali ya utekelezaji wa zoezi la OPRAS katika Halmashauri zenu.
- 2.6 Mafanikio yaliyokwishapatikana baada ya mafunzo au tangu zoezi la OPRAS lilipoanza kutekelezwa katika Halmashauri zenu.

3.0 Endapo kuna Halmashauri ambayo haijaendesha mafunzo hayo, Tume ielezwe hatua/mipango inayokucudiwa kuchukuliwa ili mafunzo hayo yaweze kutolewa katika mwaka huu wa fedha. Kwa Halmashauri ambayo haitaweza kuendesha mafunzo hayo kaula mwaka wa fedha

wa 2008/2009 ihakikishe kuwa maombi ya fedha za kuendesha mafunzo hayo zinawekwa katika makisio ya fedha ya mwaka ujao 2009/2010 bila kukosa ili kuwezesha mafunzo hayo kutolewa katika kipindi hicho.

4.0 Tupate taarifa zenu juu ya suala hili kabla ya tarehe 15 Disemba, 2008 bila kukosa.


R. Eliperda

Kny: KATIBU WA TUME

Nakala: Katibu wa Tume,
Tume ya Utumishi wa Umma,
DAR ES SALAAM.

Appendix XI: Open letter, Ref. No. LDC/C.10/4VOL.III/107

HALMASHAURI YA WILAYA YA LUDEWA.

MKURUGENZI MTENDAJI (W),
S.L.P. 19.
LUDEWA.

Kumb. Na. LDC/C.10/4VOL.III/107.

15/11/2012.

Wakuu wa Idara wote,
S.L.P. 19.
LUDEWA.

YAH: KUJAZA FOMU ZA OPRAS

Husika na kichwa cha barua hii.

Mnakumbushwa kusimamia utekelezaji na ujazaji wa fomu za OPRAS kwa Watumishi waliopo chini ya Idara zenu ili kuimarisha uwajibikaji wa Watumishi.

Ikumbukwe kuwa kwenye Kikao cha Wakuu wa Idara cha kawaida cha tarehe 12/10/2012 tulielekezana kuhusu fomu za OPRAS na Mtumishi ambaye hatajaza fomu hizo hatapandishwa cheo hii ni kulingana na maagizo yaliyotolewa na Menejimenti ya Utumishi wa Umma Ofisi ya Rais Dar es Salaam.

Aidha Wakuu wa Idara ambaye Watumishi wake watabainika kuwa hawajajaza fomu za OPRAS atapaswa kuchukuliwa hatua za kinidhamu kwa kushindwa kuwasimamia Watumishi waliopo chini yake.

Nawatakia utekelezaji mwema.



GLADNESS MWANGI,
KNY: MKURUGENZI MTENDAJI (W).
LUDEWA.

Mkurugenzi Mtendaji
Halmashauri ya Wilaya
Ludewa