EFFECTIVENESS OF ANNUAL PERFORMANCE APPRAISAL SYSTEM (APAS) IN PUBLIC SERVICE
(A CASE STUDY OF CHIPATA DISTRICT HEALTH OFFICE)
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ABSTRACT

In 1997, the Government of Zambia introduced the Annual Performance Appraisal System (APAS) which was an integral part of the Performance Management Package (PMP) with the principal objective of introducing a culture of work planning and target setting in Government Ministries and Other Spending Agencies. The objectives were to improve efficiency and effectiveness of the Public Service in the performance of its functions and put in place an effective personnel appraisal instrument in making vital personnel decision. The main concern of this study was that since the introduction of (APAS) Annual Performance Appraisal System replacing ACR annual confidential report there was no information on the APAS effectiveness in public service.

The aim of this study was to assess the effectiveness of the APAS in improving performance at Chipata District Health Office civil service of Eastern Province of Zambia. Both primary and secondary methods of data collection were used and the study involved the use of questionnaires, semi-structured interview guide and other relevant documents. A simple random sampling method was used to draw a sample of 60 respondents from Different Health Facilities of Chipata District Health office. Quantitative data was analyzed using the Statistical Package for Social Sciences (SPSS) and Microsoft Excel Computer Software Package. The study revealed that APAS was effectively used in appraising performance of civil servants. Individual Work plans and target setting were followed by concerned officers and appraisal was done accordingly. Furthermore, APAS was used for the purposes of rewarding the officers who deserved to be rewarded in Civil Service. The study also revealed that there monitoring of performance was mostly done annually during appraisal and feedback was there though it came on different intervals to officers. It was further revealed that the APAS was effectively used in making critical human resource decision such as identifying officers who should be promoted. Finally, it was revealed that the APAS had achieved almost all the objectives for which it was established.

Key words: Effectiveness, annual performance, appraisal system and public service.

1.1 Background

Measuring performance in service delivery of the public sector has continued to expand over the past years and has been the order of the day.

This is as a result of the focus on performance, not only has an impact on the typical functions of management components like Human Resource Management, finance, strategy and many more, but also make a difference in the nature of policy and management systems in the public sector (Bouckaert and Halligan, 2008).

In order to improve service delivery, the Zambian government embarked on a programme to reform its public service in 1993. The implementation of the reforms has been going on for the last thirteen years. It is therefore expected that the implementation of the public service reforms has resulted in enhanced efficiency, effectiveness and professionalism in the delivery of public services. Prior to the introduction of the Performance Management Package (PMP), assessment of individual performance was through the Annual Confidential Report (ACR). The Zambian government had been using the ACR passed on from the British Colonial Administration, as the only tool for assessing performance in the public service. The ACR was not objective as it was based on supervisor's personal observation and perception about an individual. This appraisal tool was not based on work planning and targets setting and therefore, it had no baseline for performance delivery. The ACR was later found to be one sided because the Appraisee did not have access and input in the whole process since the manager or supervisors had to do the whole process without the input and contribution of the one being appraised. And according to Cabinet Office (1997), the ACR field to give confidence to Public servants since it was a closed system and only the Managers or Supervising Officers had access to the whole process. The ACR never inspired the Appraisee because it was seen as way of settling old scores between the juniors between the juniors and supervisors. Very few Public Servants had confidence in the ACR because it never promoted career development, rewards and recognition but was strongly used for sanctions. In 1997, the government of Zambia introduced the Annual Performance Appraisal System which was an integral of the Performance Management Package (PMP) with the principal objective of introducing a culture of work planning and target setting in Government, Ministries and other Spending Agencies (World Bank 2005). The objectives were to improve efficiency and effectiveness of the Public Service in the performance of its functions and put in place an effective personal appraisal instrument in making vital personnel decision. At the launch of the APAS, the government of the Republic of Zambia through the Secretary to the Cabinet indicated that APAS Workshops would be conducted in all restructured Ministries and Provinces where APAS would be introduced.

These Workshops included a detailed Tutorial, using the user Guide. Participants would have the opportunity to experience a practical session simulating the appraisal process, (Cabinet Office 1997). From its inception, the APAS user guide manual made it clear that for the performance of every employee, and eventually the whole Public Service to improve, the basic responsibility falls on every supervisor. This was to ensure that the best possible use is being made of all the resources available at work.

Among these resources are the employees. From time to time they were supposed to know how well or not so well they are doing at work. This so applied to supervisors as well as the employing secretariat and PSMD itself, this meant that both the supervisor s and subordinates had a basic need to appraise performance. In this way, questions to be asked and decisions to be made are determined. Thereafter, action can be taken to improve

performance at the individual, team and organization levels, that is, in the Ministries and the rest of government departments (Cabinet Office, 1997). At individual level, some of the issues that were of concerned are such that the employee needed to have a clear understanding of his or her job; be aware of what was expected to be achieved; know his or her strengths or weaknesses; know the problems which were to be discussed with the supervisor; know his/her career prospects and also identify what kind of training had to be considered. Most importantly of all, the employee needed to ask himself/herself whether he or she performed all that can be reasonably expected of him/her to meet both needs of the employee and the Ministry. At the supervisory level, according to the APAS manual launched in 1997, in addition to what the employee or rather subordinates were expected of, the supervisor was expected to know his subordinates so well and if at all there are any problems, they should be addressed. He or she was also expected to do everything possible to improve the output of the people under his charge by making it clear to them what is required from their work and be aware of their training needs and how they are met. The manual also stipulates that the supervisor identified and developed a likely successor so that he/she may be considered for promotions. He was also expected to come up with actions to undertake in order to improve team work and overall performance. (ibid 2006). At the organization level, the Zambian Public Service as whole was expected to have a clear picture of and be satisfied about the best use of its human resources. By appraising the performance of all the employees, both managers and the managed at all levels from top downwards, the Public Service were expected to collect essential information on a number of issues which require decisions and control such as the number and mix of skills, qualifications and experience in the right levels; identification of gaps and overlaps; identification of who needs training and at what

time; know who would perform better if transferred to other posts.

The organization should also identify the problem areas in overall performance and what action must be taken to secure improvements.

It must also know how well supervisors manage the organization, (Cabinet Office, 2008) the APAS should, therefore, be a helpful tool for the Zambian government.

It has been designed in such a way that it is regularly reviewed because it tells both the public service and its workers how it is being managed and what requires to be done to solve any problem areas. It has also been designed in such a way that there will be no room for bias, (ibid). The APAS manual has clearly stipulated that the APAS applies to all civil servants. Its design implies that every employee requires to be appraised and is involved. The appraiser and the appraisee take part in the process. The APAS Form (see Appendix A) is designed in a simple way and all the various items in it have been explained in the appendix too. The system works in such a manner that the supervisor reviews the work plan and targets according to the job description and the appraisee should contribute to the process. The supervisor then appraises the current level of performance being achieved by the jobholder in meeting the agreed targets, (Cabinet Office, 1997). The whole idea is such that Human Resources and Administration Department should monitor the implementation of the process. There is also strong emphasis on performance because Performance Appraisal is placed in a wider performance management context. The APAS is expected to address issues of planning performance, coaching and monitoring, reviewing and evaluating performance, improving work processes, behaviors and attitudes and also improve the quality and delivery of the public service, (ibid 2006).

In order to achieve the aim of PRSP the initial component was to plan and implement

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management and human resources improvement which involved the introduction of performance management systems of accountability and developing skills which enable senior management to effectively manage the Civil Service. Component 2 of the PSRP calls for improved performance management systems, which provide for accountability and develop management skills. This is to be achieved by results-oriented work planning and reporting on results.

The APAS has been designed to achieve these objectives. (ibid 2006) And according to Bhaskar (2016) although issues surround the health workforce, mostly concerning increasing the numbers, lateral and equitable distribution have received increased attention in the last decade. However, to complement these improvements, it is also necessary to focus on health worker performance.

There are several ways of improving staff performance, one of which is performance appraisal (PA). Performance appraisal takes numerous forms, but in general and in a simple way, performance appraisal may be defined as the process through which the performance of employees is measured and improved. Since the focus of performance appraisal is not only on the assessment of performance but also on the improvement of performance, performance appraisal includes various practices like the recognition of employees' achievements and providing them feedback for personal and professional development. Literature on performance appraisal suggests that a good performance appraisal has mainly the following objectives and functions: administrative functions which are concerned with taking decisions regarding salary administration, promotion, and rewards formal assessment of performance in order to suggest improvements for employee productivity development of an employee's competencies and capabilities through training,

learning, and career planning and overall job analysis so that individual performance can be linked to the development needs of the job Literature from management suggests that performance appraisal is an important human resource management (HRM) function and is important for organizational effectiveness. Effective performance appraisal systems have been identified as important for the performance of organizations, and ineffective appraisal systems have been associated with reduced employee morale and decreased employee productivity. Therefore, it becomes important to assess the effectiveness of appraisal systems. Several criteria may be used to assess the effectiveness of a performance appraisal system such as the perceived accuracy of appraisals by employees, the employees' perception of fairness with the appraisal system, the appraisal source which suggests employee evaluation of performance through various sources involved in the appraisal process, the purpose of the appraisal system and the feedback richness in the appraisal

1.2 Statement of the Problem

In Zambia, the overall goal of the Public Service Reform programme was launched in November 1993 with the principal objective of improving the quality, efficiency and cost effectiveness of the public services to the people of Zambia. It was aimed at strengthening management capabilities and streaming government operations (Mulikita, 2002). In 1997 the government further introduced (APAS) Annual Performance Appraisal System with the objective of introducing a culture of work planning and target setting and also to ensure that the employee's performance was properly assessed.

The introduction of the APAS gave hope to management that employee performance would improve whereby poor performers would be identified and recommended for training, while

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good performers would be recommended for either Promotion or notch increment in the salary. (Ibid 2006)

The main concern of this study was that, though Annual Performance Appraisal System had been introduced in Government Ministries and other government institutions in Zambia (PSMDP 2004) there was little or no information regarding its effectiveness, the major achievements and challenges being faced. To be more specific since this new system of annual performance appraisal was introduced in civil service, to what extent had it improved organizational and individual performance, it was also not certain if performance appraisal is linked to the application of rewards and sanctions, trainings and skills development, it is for this reason that a research was done in this area

1.3 Research aims and Objectives
General Objective
To assess the effectiveness of Annual Performance Appraisal System in improving employee's performance at Chipata District Health Office

Specific Objectives
i. To determine implementation of performance planning and monitoring among civil servants at Chipata District Health
ii. To establish if APAS is effectively used in appraising civil servants at Chipata District Health Office
iii. To determine the extent of using APAS in rewarding (positive or negative) civil servants at Chipata District Health Office

1.4 Research Questions

i. How was the implementation of performance planning and monitoring among civil servants done at Chipata District Health Office?

ii. How effective was the APAS used in appraising performance improvement at Chipata District Health Office?
iii. How was APAS used in determining rewards of civil servants at Chipata District Health Office

1.5 Significance of the Study

This study was significant because it generated some knowledge and understanding about the effectiveness of APAS in making vital personnel decisions based on employee performance and also improving service delivery to public.

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

1.6. Limitations of Study

This study was conducted at Chipata District Health Office and some of the limitations that were faced are a serious financial constraint because the research was self-sponsored and hence funds were not enough due to other needs of the researcher. Furthermore, during data collection most Civil Servants felt that they had being answering questionnaires which never added values to the remuneration and because of the second reason above some questionnaires were delayed and others were submitted incomplete. Nevertheless, the researcher had to replace and selected extra respondents who were cooperative and willing especially for those questionnaires that were submitted blank or not answered at all. Furthermore, the senior officers in Division one (1) especially the Top Management claimed they had no time to answer the questionnaires and, in some cases, ended up passing them to their subordinates to answer on their behalf, this therefore could have compromised some responses that required

individual input at a certain level. The above limitations did not change the validity of the results in anyway because the researcher had to put in some remedial measures.

CHAPTER TWO: LITERATURE REVIEW

2.0 Introduction

Good performance by the public sector leads to effective service delivery to the public and it is motivation to the workers. Effective service delivery leads to sustainable development of every community services which are provided. Shelly (2009) describes performance appraisal as the process of obtaining, analyzing and recording information about the relative worth of the employee. The focus of performance appraisal is measuring and improving the actual performance of the employee and also the future potential of the employee. Its aim is to measure what an employee does. Shelley, again, considers performance appraisal as a systematic way of reviewing and assessing the performance of an employee during a given period of time and planning for his future. It is a powerful tool to calibrate, refine and reward the performance of the employee. By focusing the attention on performance, performance appraisal goes to the heart of HR management and reflects the management's interest in the progress of the employee.

Moats (1999) agree with Shelly (2009) position and further add that performance appraisal is processes by which organizations evaluate employees perform based on present standards. Moats describes the purpose of the appraisal as helping managers effectively staff companies and used human resource, and ultimately improving productivity. According to Moat when conducted properly, appraisals serve the purpose Shelly describes by: (1) showing their employees how to improve their performance, (2) setting goals for employees, and (3) helping managers to assess subordinates' effectiveness and take actions related to hiring, promotions, demotions, training, compensation, job design transfers and terminations. There are types of appraisals that can be used by institution and according to Ayomikun (2017) he describes them as the first one being the 360 degree performance appraisal as evident from existing literature is one of the appraisal system that has in the recent years gained significant popularity in both small and large-sized firms Lepsinger & Lucia, (2009). By description the 360-degree appraisal system involves an appraisal system that encompasses the views of different groups of reviewers who socialize with the organisation's employees. Such reviewers include the employee's superiors (managers and supervisors), co-workers/peers and customers. The process also includes the employee's opinion about him/herself and hence its recognition as a multi-source, multi-rater and full-circle appraisal system Grund & Przemeck, (2012). While on this context, Hong Hsu, Liu, Lin, & Tsai, (2011) through a study on employee competencies identifies four key assessments that should constitute a 360-degree appraisal system. They include self-assessment; immediate supervisor assessment; subordinate assessment and peer assessment. The underlying premise behind the use of 360-degree performance appraisal is that a significant amount of performance data about a given employee can be gathered when multi-sources are used Sahoo & Mishra, (2012). In other words, the 360-degree appraisal systems allow for gathering of information about an individual from different degree and angles. While supporting such views, Deb (2009) underscores that the use of multiple assessment sources helps ensure that an employee 's performance is double checked. Moreover, the 360-degree performance appraisal system is considered as one that helps in overcoming disadvantages such as prejudice, subjectivity and halo errors, which characterize traditional

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evaluation systems Hsu et al., (2005). Espinilla et al., (2013) for instance notes that the use of this evaluation method makes it unlikely that the employee is criticized solely by the manager. Sahoo and Mishra (2012) add that systems of 360-degree appraisal are perceived by employees as more accurate and more reflective of their performance. They are thus considered as quite effective in providing comprehensive information that can be used to determine the employee's training needs. Despite the effectiveness of 360-degree appraisal systems, several issues have been identified in literature that prevents the effectiveness of such systems. Espinilla et al., (2013) for instance notes that the use of a single type of expression domain such as numerical or linguistic in 360-degree systems limits the ability to gather the richness of information that reviewers provide. In addition, the correct interpretation of final results is hard as quantitative assessment do not always represent qualitative information accurately Hsu et al., (2005). According to Preston (2002) Performance appraisal began as an attempt to rationally correlate rewards and outcomes. That is, appraisal was used to decide whether or not the salary or wage of an individual employee was justified. The process was firmly linked to material outcomes. If an employee's performance was found to be less than ideal, a cut in pay would follow. On the other hand, if their performance was better than the supervisor expected, a pay rise was in order. Little consideration, if any, was given to the developmental possibilities of appraisal. If was felt that a cut in pay, or a rise, should provide the only required impetus for an employee to either improve or continue to perform well. Sometimes this basic system succeeded in getting the results that were intended; but more often than not, it failed. For example, early motivational researchers were aware that different people with roughly equal work abilities could be paid the same amount of money and yet have quite different levels of

motivation and performance. These observations were confirmed in empirical studies pay rates were important, yes; but they were not the only element that had an impact on employee performance. It was found that other issues, such as morale and self-esteem, could also have a major influence. As a result, the traditional emphasis on reward outcomes was progressively rejected. In the 1950s in the United States, the potential usefulness of appraisal as tool for motivation and development was gradually recognized. The general model of performance appraisal, as it is known today, began from that time. Performance appraisal may be defined as a structured formal interaction between a subordinate and supervisor, that usually takes the form of a periodic interview (annual or semi-annual), in which the work performance of the subordinate is examined and discussed, with a view to identifying weaknesses and strengths as well as opportunities for improvement and skills development. In many organizations - but not all - appraisal results are used, either directly or indirectly, to help determine reward outcomes. That is, the appraisal results are used to identify the better performing employees who should get the majority of available merit pay increases, bonuses, and promotions. By the same token, appraisal results are used to identify the poorer performers who may require some form of counselling, or in extreme cases, demotion, dismissal or decreases in pay. Organizations need to be aware of laws in their country that might restrict their capacity to dismiss employees or decrease pay Whether this is an appropriate use of performance appraisal - the assignment and justification of rewards and penalties - is a very uncertain and contentious matter. Numerous researchers have reported that many employees are not satisfied with their performance appraisal (PA) systems. Studies have shown that subjectivity as well as appraiser bias is often a problem perceived by as many as half of

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employees. Subjectivity has been associated with supervisor-subordinate conflict, psychological empowerment and subordinate performance. Appraiser bias, however, appears to be perceived as more of a problem in government and public sector organizations. Also, according to some studies, employees wished to see changes in the PA system by making "the system more objective, improving the feedback process, and increasing the frequency of review. In light of traditional PA operation defects, organizations are now increasingly incorporating practices that may improve the system. These changes are particularly concerned with areas such as elimination of subjectivity and bias, training of appraisers, improvement of the feedback process and the performance review discussion. According to a meta-analysis of 27 field studies, general employee participation in his/her own appraisal process was positively correlated with employee reactions to the PA system. More specifically, employee participation in the appraisal process was most strongly related to employee satisfaction with the PA system. Concerning the reliability of employee reaction measures, researchers have found employee reaction scales to be sound with few concerns through using a confirmatory factor analysis that is representative of employee reaction scales. Researchers suggest that the study of employees' reactions to PA is important because of two main reasons: employee reactions symbolize a criterion of interest to practitioners of PAs and employee reactions have been associated through theory to determinants of appraisal acceptance and success. Researchers translate these reasons into the context of the scientist-practitioner gap or the lack of alignment between research and practice. Schultz & Schultz notes that opposition to performance appraisals generally don't receive positive ratings from anyone involved. So, employees that will be directly affected by the Performance Appraisals are less than enthusiastic

about participating in them. When an employee knows that their work performance has been less than perfect it's nerve-racking to be evaluated. Employees tend to be hostile knowing they could be given bad news on their performance. Most managers prefer to begin with positive information and then add bad news or suggestions for improvement at the end. However, employees are most satisfied when bad news is addressed early in the interview and positive information is saved until the end, so that the meeting ends with a positive feeling. According to Flippo, one of the important personalities in the field of Human resources, performance appraisal is the systematic, periodic and an impartial rating of an employee's excellence in the matters pertaining to his present job and his potential for a better job. Based on this say, Performance appraisal can be defined as a systematic process that helps managers observing, analyzing and evaluating the performance of their employees or group of employees in term of quality quantity cost and time so work performance can be developed and organizational goals and objectives can be achieved effectively. In the same time, employees will recognize the gaps in performing their daily tasks, profit from the feedback received and have clear career guidance Lansbury, (2008). In addition, the appraisal system provides managers with the ability to take some decisions including employees' promotion, transfer, incentives, pay increase and even training needs (Anchit Gaurav). Performance appraisal is considered as an important bond in the process of change in the organizational culture and that due to many reasons; it focuses on setting goals throughout the organization, helps employees understand their roles and responsibilities and increases the organizational effectiveness by defining the main objectives and goals and the way implementing them. The majority of the organizations are implementing the appraisal process and that for various reasons. In reference to

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Yehuda Baruch (2005), Performance appraisal is conducted for two major purposes. First, it's considered as a developmental method Wendy Boswell and john W. Boudrea, (2000) and exists to serve diversity of management purposes such as decision-making including training needs, salaries management, demotion, promotion, termination and others. Second, the performance appraisal system is used as an evaluation system and improves the developmental practices of an employee Campbell, D. and Lee, (2000) focused more on the importance of the communication during the appraisal process so the employees will have the opportunity to know their current situation and what their managers are expecting from them to do. In brief, the purposes of conducting any appraisal system are concentrated at least in four reasons (Journal of Human Resource Education, Vol. 1, No. 1, summer (2007) Promoting organizational effectiveness and efficiency Enhancing individual Maintaining control of employees' behaviours and attitudes Making the administrative processing simple and ease. In general, the evaluation methods should be simple and easy so it can be understood by all the company's members. Choosing the appropriate methods is affected by many factors such as the nature of the job, the organization system and the employee type. These evaluation methods can be classified into various categories; an employee can be evaluated by comparing his/her current work to another so the employee capabilities and capacities in performing his/her tasks can be identified. Here we are talking about the Comparative appraisal. Another way can be used is assessing each employee's performance independently from the other employees based on the important job-related behaviours. The output-based appraisal is another approach that consists of concentrating more on the work products as a main purpose. The management by objectives (MBO) is the most used developed and applied method in this approach. Some

methods used in the employee evaluation are classified into traditional and modern methods. Modern performance appraisals are defined as a structure formal interaction between managers/supervisors and employees that usually have the form of interviews that may be annual or semi-annual. The job performance of employees is discussed and analyzed so the weaknesses and strengths and gaps in performance are identified so decisions for more improvement and skills can be taken and developed in addition to the decision that are related to pay increases, bonuses, promotions for good performance in addition to the demotion, dismissal and decrease in pay for poor performance. Modern methods include MBO, 360-degree feedback, Behavioural Appraisal, and others. On the other hand, the traditional methods are the methods that rely on the numerical or scalar rating process where supervisors are requested to rate the employees against a number of attitudes and specific objectives. The rating scale, essays, critical incidents, checklist can be considered as examples on the traditional methods. Employees are considered as the lifeblood of the company and they are the only vital factor in the success of any business. Therefore, employees' behaviours' and attitudes can significantly influence the direction and objectives of the company business plan. Therefore, employee performance evaluation is one of the various ways that was created to amplify employee morale, recover job performance and largely enhance productivity. These strategies include a conventional system of pay raise, coverage of significant benefits and the practice of open two-way communication. One of the most obvious of an appraisal system Is the swap of a face-to-face discussion in a one-on-one meeting with every worker in the company, an employee assessment session is an ultimate platform for measuring the situation and fact for both employees and managers and ensure that they are on the same line. Furthermore, this exchange provides the

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workers the opportunity to share the main issues and provides suggestions to increase efficiency, having good communication between the employees and their manager helps reducing obstacles and improving operations. A constructive attitude cannot be imposed to a worker but in fact a positive work environment and an appreciative contribution help creating employees' self-esteem and positive behaviour as they will understand the importance of their role they play in the growth of the company. Without appreciating the employees, there work effectiveness will decrease and they feel taken for granted. Moreover, employees who don't get any response on the practice of their daily tasks will lack confidence in their job, if they are doing well or if there is any other better method. Organizations should focus on its employee's satisfaction and motivation. Each individual has his/her specific needs and exceptions that can be defined as physiological needs, security needs, social needs, self-esteem needs for recognition and needs from more achievement. As per Maslow hierarchy of needs. (2001). Mumford (2004) stated other needs including an individual need for knowledge, for recognition, the need for meaningful work and a kind of autonomy in addition to moral needs. According to Herzberg, goods feelings about a job appear when employees are performing well their job and they are considered professional in their field. Providing a challenging work, recognition of achievement, increased job responsibilities and providing opportunity for growth and advancement are considered as motivators' elements that guide to bigger productivity, increase employee loyalty and commitment, reduce the absenteeism rate, improve quality of the team or group and guide to job satisfaction. In brief, employees' motivation is considered as "a force that energizes behaviours', gives direction to behaviour and underlines the tendency to persist"

CHAPTER THREE: METHODOLOGY

3.1 Research design
The study used quantitative methods. It provided an account of implementation planning and monitoring, effectiveness and performance-based rewards of APAS to 60 civil servants at Chipata District Health Office

3.3 Sample Selection
From the selected civil servants' questionnaires with open and closed ended questions were circulated which were inquiring about the appraisal implementation plan and monitoring among civil servants

3.4 Sample Size
The sample size comprised of civil servants from Chipata district Health office 60 respondents 30 Males and 30 Females who were selected from different departments

3.5 Target Population

Study population refers to the aggregate of cases that conform to the designated criteria.
It is a well-defined set that has certain specific properties (Burns and Groove, 2009).
The study

The case study focused on civil servants' respondents comprising of 29 females and 31 males who were selected in different departments

3.6 Study Site
The study was conducted at selected Health Facilities of Chipata and Chipata District Health Office of Eastern Province.

3.7 Inclusion and exclusion criteria
Departments with civil servants were selected with public service commission conditions of Zambia which were included. On exclusion factor civil

servants with other conditions of service which are not from public service commission of Zambia were excluded

3.8 Triangulation

Another method which was used to collect data for Validation was checking Human Resource records and registry departments at District Health Office

3.9 Sampling Method

The sample was obtained using the simple random sampling method of which each civil servant was selected randomly under Chipata District Health Office

3.10 Data Collection Tools

A structured pre tested questionnaire was administered to participants. The data collected was both quantitative and qualitative.

3.11 Data Analysis

Each day of data collection, the data were checked for completeness, consistency, legibility, correctness and accuracy. Questionnaires not completely filled were clarified by going back to the respondents to ask for clarifications

Data entry was done after data cleaning before analysis every day. Questions were coded for easy entry. Responses were assigned with numbers one to three and those with similar responses were grouped in the same categories. This enabled the researcher to report percentages of respondents giving answers that were similar in the same category.

Data was then entered and later on analyzed using software Statistical Package for Social Sciences (SPSS) version 20 computer packages. Data from open ended questions were categorized into similar responses. Codes were assigned to each category, entered and analyzed using a Statistical Package for

Social Sciences (SPSS) version 20 program. Coding is the process of transforming data into numerical symbols that can be entered easily into the computer. Logistic regression test was also done. Closed ended questions were assigned numerical codes for easy entry and were analyzed using the computer. Confidence interval was set at 95%. This meant that if the experiment were to be repeated several times and confidence limits were to be calculated from each sample, 95% of the time they would include the true mean. Confidence interval is the range in which the value of the population parameter is estimated to be Burns and Groove, (2009).

The main response variable was how effective is annual performance appraisal system to civil servants of Chipata District Health Office. Initially, descriptive statistics were generated for each of the variables under study.

3.12 Validity of the Data Collection Tools

To ensure validity of the research tool, the researcher conducted literature search in order to have adequate content coverage. The research instruments were reviewed by the research supervisors. Important variables of the study were included in the research instrument and the sequences of the questions in the questionnaire were the same for all respondents.

In this study external validity was maintained by ensuring that the sample size comprised Public workers with the same conditions of service. Internal validity is the extent to which conclusions can be drawn about the effects of one variable on another. Internal validity seeks to determine if the observed effect on the dependent variable is due to the action of the independent variable and not something else (Burns and Groove, 2005). To maintain internal validity, the same questions were asked and in the same sequence. These questions were simple, precise and brief.

3.13 Ethical Consideration

The Informed consent was sought from each participant prior to data collection. Ethical clearance was obtained from the University research ethics committee and permission from Chipata District Health Office.

CHAPTER 4

Figure 1: Distribution of respondents to determine if respondents had individual work
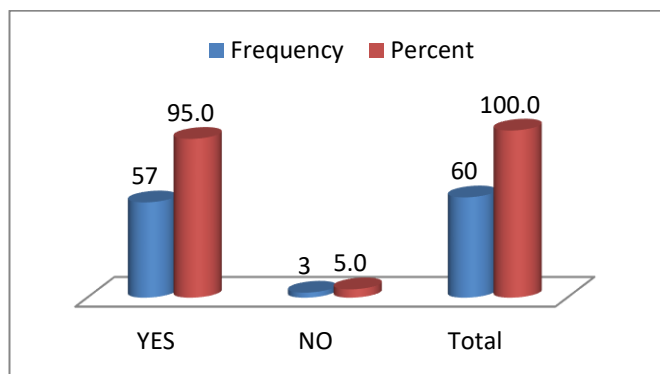
To establish if respondents were appraised according to their work plan, the respondents were asked if there appraisal was based on their work plan, out of 60 sampled respondents 57 (95%) said yes it was based on their individual work plans, only 3 (5%) said no they were not based on their work plans. From this study we can simply say workers are monitored and Annual Performance Appraisal System was effective

Figure 2: Distribution of respondents to determine period in which evaluation of their individual work plans was done
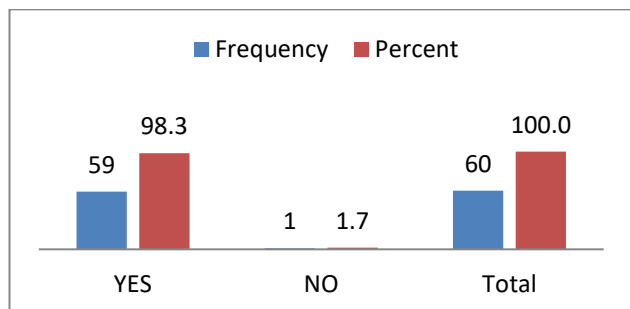
Figure 2; above shows the frequency and percentage distribution of respondents who indicated whether their individual work plans were evaluated or reviewed on a yearly basis. From the field data above, 59 respondents who accounted for 98.3% agreed that their work plans were reviewed annually, while 1 respondents accounting for 1.7% disagreed that their individual work plans were reviewed on the annual basis, evaluation helps individual respondents who are workers to check if their targets remain in line with departmental plans and are been achieved. Key Performance Indicators (KPI) that should be used to measure progress against agreed outcomes. The KPI will help in coming up with Departmental work plans from which the individual work plan is drawn.

Figure 3: Distribution of respondents to determine whether respondents met their targets
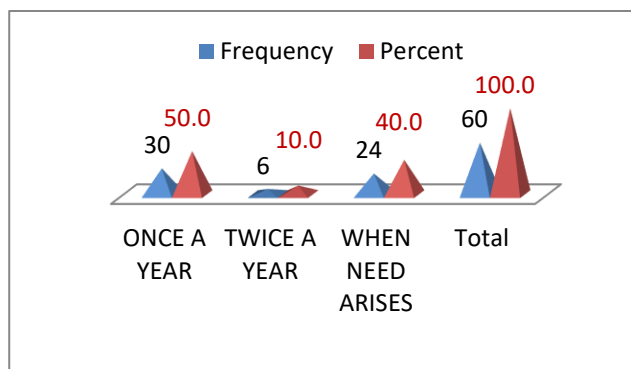

The respondents were further asked how often they were meeting targets in their work plan, this was done in order to know if the respondents were working according to their individual work plan and meeting targets, 30 (50%) said they were meeting once a year, 6 (10%) said twice a year and 24 (40%) said when need arises, this is an indication that respondents in this organisation are appraised differently and all them have individual work plans and are able to meet their targets and those who failed attributed the failure to lack of leadership will and direction

Figure 4: Distribution of respondents to determine whether APAS had benefits
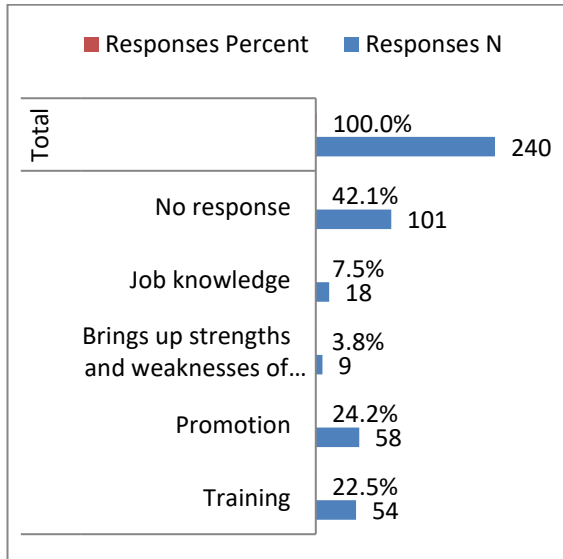

In order to establish what the respondents think about APAS benefits, the study had various responses from sampled workers, 58 (24.2%) said APAS has benefits of promotion, 54 (22.5%) said it had benefits of in service training, 18 (7.5%) said it brings up strenghs and weaknesses of individual capacities, 18 (7.5%) said it helps to increase job knowledge and 101 (42.1%) did not give responses

Figure 5 Distribution of respondents to determine whether APAS was used in deciding who should be rewarded
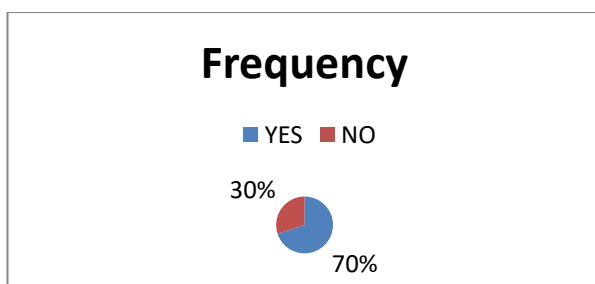
The study also wanted to know if APAS was used to decide on the rewards of workers, 30% said no it was not used to decide on rewardig someone,while 70% said APAS is used to decide on rewarding workers on their performance :

Figure 6: Distribution of respondents to determine whether APAS has been used on rewarding respondents
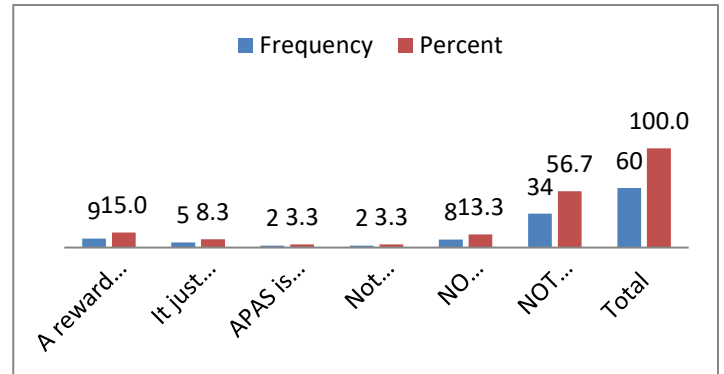

In order to determine the views of those respondents who said APAS is not used in decision making of rewarding workers in figure above, the study wanted to know the their views, out of 30% 9(15%) said a reward has never been given despite ones good performance, 5(8.3%) said APAS just brings strengths and weakness of workers and 8 (13.3%) said APAS was not effective: **FIGURE 7: Distribution of respondents to determine whether APAS is used to determine sanctions of respondents**
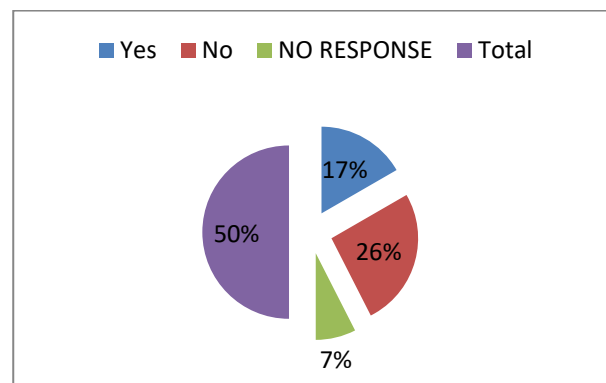

The study further looked at whether sanction were decided basing on Annual Performance Appraisal System (APAS) out of 60 (50%) sampled respondents 17% said yes (APAS) was used for sanctions, 26% said no it wasn't used and 7% did not give any response

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FIGURE 8: Distribution of respondents to determine whether APAS is used to identify Weaknesses of APAS
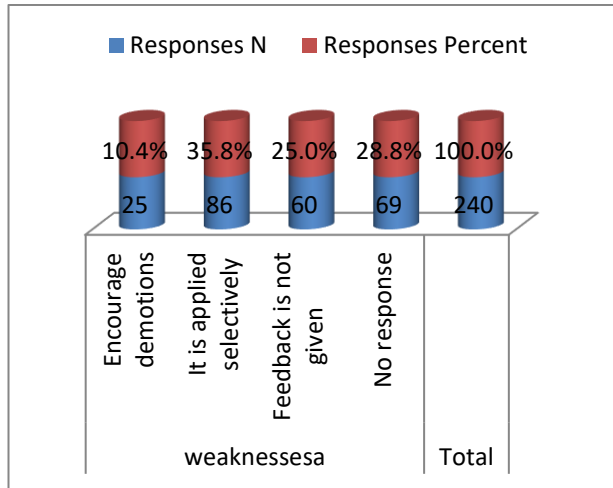

The study further asked the respondents on weaknesses of APAS, 25 (10.4%) responses said it encourages demotions, 86 (35.8%) said it is applied selectively, 60 (25%) said there is no feedback after appraisal 69 (28%) had not given responses, among the ones who said it encourages demotions they felt that it was a fault finding process because of the way it was designed and these were workers who failed to meet targets in their individual work plans and when they were scored less they felt their positions were threatened, for those who said feedback was not given their superiors did not get back to them when appraisal is done

Distribution 9: of respondents whether APAS is used to determine salary increment
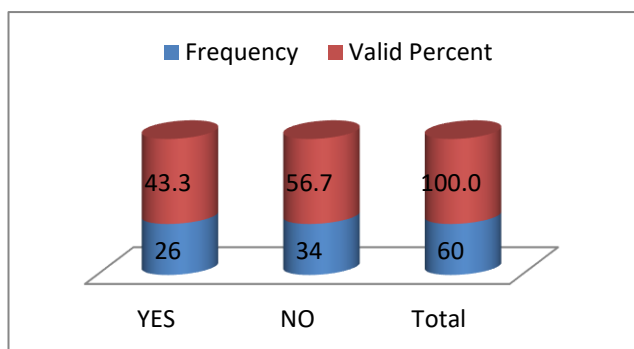
The above figure 9 shows the respondents who were asked if their salaries notches were increased attributed to performing well after appraiasal 26(43.3%) said their salary notches were increased after performing 34 (56%) did not agree they said despite one performing well in APAS their salaries were not increased, infact even those that said there are salaries notches increased when probed further said they only know that their salaries are supposed to be increased but they have never experienced that. According to instruction number 9 on APAS guide forms it states that an appropriate action should be taken on the outcome of appraisal, however according to 56.7% said there is no action taken

Figure 10 Distribution of respondents whether APAS is used to monitor their performance
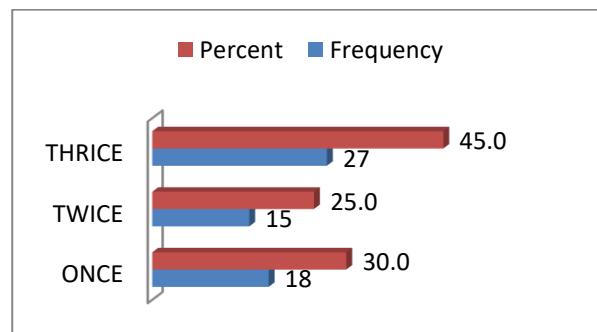
In order to determine how the respondents were monitored at place of work in interms of performance, the respondents were asked how many times they were appraised and out of 60 sampled 27 (45%) said they were thrice (3 times a year), while 25 (15%) said they were appraised twice a year and 30 (18%) said they were appraised once per year

CHAPTER 5:

5.1 Discussion of the Findings

Work planning/Target setting

According to the Public Service Performance Operational Manual (2009), a work plan is a written outline of what is to be achieved over a given period of time. It is a detailed calendar of activities that show the duties/tasks that should be performed on a daily, weekly, monthly or annual basis. It takes into account the organizational and work unit priorities and should be in such a manner that an individual employee can be assessed against proposed outcomes. Generally, people plan because they want to know exactly what they are supposed to do, hence, reducing uncertainty. People also plan in order to enhance rationality that is to introduce logic into decision-making and problem solving. Work planning also enhances accountability by opening the decision-making process to all the people who are involved. In the Zambia Civil Service, there are two (2) levels of work planning namely, Departmental work planning and Individual work planning. The Departmental work plan is what each Department in the organization must do in terms of the annual work plan. It has annual and long-term objectives; it has set targets and a list of activities. A Departmental work plan must have the personnel to be involved in achieving the set goals and a list of materials; it should also have the assumptions and a work plan chart. Developing the individual work plan involves describing what the employee is expected to accomplish and agreeing what will be the results of the employee's efforts. Overall, the process of defining individual work plan for the employee should involve the participation of both the supervisor and the subordinate.

The Zambian Civil Service has designed that individual work planning should be done on a quarterly basis to ensure that there is some meaningful continuation in work panning as well as to allow for adjustments resulting from changes in government priorities in its programming. (Public Service Performance Operating Manual, 2009)

Work planning should end up with finalizing the target setting and the Head of Department should ensure that the set targets are in conformity with the **SMART** (**S**pecific, **M**easurable, **A**chievable, **R**ealistic and **T**ime bound) attributes and are a description of the departmental objectives or targets. It is from this process that the Departmental Work Plans are expected to be drawn from the national documents such as the Vision 2030, the Sixth National Development Plan and the Ministerial Strategic Plan. The Departmental Work Plans are only expected to be drawn from the above documents and eventually the individual work plan drawn from the

Departmental work plan (ibid) from work planning there is need to do performance monitoring. Performance monitoring is an activity which involves a series of observations carried out to show the extent of progress towards attainment of set goals in a work plan. Specifically, monitoring should involve checking if deadlines are being met, if activities are adequately being supported by availability of resources, optimum utilization of resources and measuring progress towards achievements. While the planning process starts from the higher level ending with the lower individual level, monitoring of activity implementation and achievement of the results is a bottom up process starting at the individual level. (PSMD Concept paper, 2012) According to Zambia Public Service Performance Management Operational Manual (2009) Performance monitoring is an activity which involves a series of observations carried out to show the extent of progress towards attainment of set goals in work plans. It should be based on well-defined indicators, shown in the strategic plan, and targets as contained in departmental and individual work

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

The findings of the study showed that APAS was effective among civil servants who at Chipata District health office considering the responses and validation of the data through human resources office, all the 60 respondents files were checked if they had individual work plans, 85% of the respondents had individual work plans and their performance was monitored using APAS system, 95% respondents said they were appraised using individual work plans. They further indicated that supervisors did liaise with their subordinates to develop and agree on the individual work plans based on their job descriptions, this is in line with the first objective of the study which was to determine implementation of performance planning and monitoring. Individual work plans outline individual output-based targets which are derived from departmental targets.

Furthermore in order to establish if APAS was effectively used in appraising civil servants, 45% respondents indicated that they were appraised 3 times a year, an indication that monitoring of workers performance was very much enhanced at the office, the findings further showed that 50% respondents were meeting their targets once per year, this indication confirms that system of APAS was in place.

This study discovered that the APAS was effective in appraising performance among Civil Servants; the findings of this study however did not correlate with the findings of Mate (2007) who was evaluating the effectiveness of PMP in the Public Service. Mate revealed that the APAS was not consistently used in appraising performance.

According to the objective of determining the extent of using APAS in rewarding civil servants, the study further wanted to know if APAS system had benefits to workers, 24.2% said it had benefits of promotion, 22.5% said service training, 7.5% said it brings up strength and weaknesses of individual capabilities. For any programme to be effective, it has to produce successful results for which it was intended. The effectiveness of the APAS can be determined from the objectives for which it was set. The APAS was also designed to identify the performance gaps especially in those officers that were unable to meet their targets in their course of duty. From the findings of this study it shows that the APAS was being used by most of the supervisors to identify the gaps in the under performers and also to reward workers. The APAS form at 2.4 interrogates the Appraisee to state the targets that were not achieved in the appraisal period. At 3.2 it mandates the supervisor to recommend for a follow-up action. According to Cabinet Office (1997), the follow up action to be taken was a recommendation made by the supervisor taking into the rating on both the targets and performance competencies. This recommendation could either relate to skills development, rewards or sanctions. With all objectives of study been met, the main objective of the study was to assess if employees performance had improved performance as a result of introducing APAS, when conducting validation of the data for this study it was discovered that targets were achieved, and these targets were in form of deliverables meaning when these are achieved it meant even service delivery had improved, targets in individual work plan explains what one should achieve. For any programme to be effective, it has to produce successful results for which it was intended. The effectiveness of the APAS can be determined from the objectives for which it was set. Basically, APAS was introduced to improve the efficiency and effectiveness of the Public Service in order to improve performance and also having an effective personnel appraisal instruments in order to make vital personnel decisions.

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In his study, Kanyanta (2009) asserts that APAS was introduced in all restructured government Institutions.

Arising from the 60 respondents included in this study, it was found that the Annual Performance Appraisal system (APAS) was used to determine one's performance at Chipata District Health Office. Therefore, APAS be regarded as being effective because it has produced successful results for which it was intended.

According to the Terms and Conditions of Service for Public Service (2003), it was mandatory that officers on first appointments were inducted in the operations of the Civil Service. The effectiveness of the APAS in appraising performance of Civil Servants can be attributed to the management of Chipata District Health Office which was doing its job of ensuring that every worker was conversant with APAS by orienting them. The APAS was also designed to identify the performance gaps especially in those officers that were unable to meet their targets in their course of duty. The study revealed that the APAS was used by most of the supervisors to identify the gaps in the under performers as shown in analysis where respondents performance was monitored. The APAS form at 2.4 interrogates the Appraisee to state the targets that were not achieved in the appraisal period. At 3.2 it mandates the supervisor to recommend for a follow-up action. According to Cabinet Office (1997), the follow up action to be taken was a recommendation made by the supervisor taking into the rating on both the targets and performance competencies. This recommendation could either relate to skills development, rewards or sanctions.

5.2 Conclusion

Based on work plans, each individual member of staff was expected to be monitored to ensure that he/she performed activities according to the work plan. According to (figure 1) 95% indicated that they had individual work plans and that they were appraised using individual work plans

This goes to show that the APAS had been effective at Chipata District Health Office, this is further shown in (figure 2) were respondents admitted to that APAS was used to determine rewards of an individual 70% said yes that APAS was to determine rewards while 30% said no

One of the objectives of the study was also to determine the extent of using APAS in rewarding civil servants, from the analyzed data APAS is used to reward civil servants at Chipata District Health Office. From the study findings it can be concluded that APAS was effective at Chipata District Health Office and the performance had also improved. Based on work plans, each individual member of staff was expected to be monitored to ensure that he/she performed activities according to the work plan. According to (figure 4) 45% indicated that monitoring was done thrice annually and it was an ongoing process designed to keep employee performance on track and most importantly, to permit adjustments as required

This goes to show that APAS had been effective at Chipata District Health Office.

5.3 Recommendations

However, a few recommendations should be attended to make it more effective

- Government should ensure that all employees including the ones joining civil service should be trained in APAS and strengthening supervision
- Government should also ensure that the programme should be sustained in all departments that are doing fine in using APAS and bring on bored those that are not doing fine by facilitating trainings for them
- There should be 100% coverage for government workers using APAS

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ACKNOWLEDGEMENT

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