

**ACADEMIC STAFF PERFORMANCE APPRAISAL
SYSTEM FOR HIGHER EDUCATION IN LESOTHO**

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**THIS IS SUBMITTED IN FULFILMENT OF THE REQUIREMENTS FOR THE
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MAY 2004

DECLARATION

I declare that the thesis hereby submitted by me for the degree of Philosophiae Doctor at the University of the Free State is my own independent work and has not previously been submitted by me at another university/faculty. I furthermore cede copyright of the thesis in favour of the University of the Free State.

Signature

Date

DEDICATION

This thesis is dedicated to my mother, my grandmother, my grandfather, my husband and my children.

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ABSTRACT

The changing social, political, economic and technological environment exerts pressure on governments throughout the world to ensure that higher education institutions are efficient and effective in the delivery of services. The continuing environmental change and, in particular, the financial decline has caused governments to apply stringent financial control measures and to demand higher education institutions to address external and internal demands for efficiency (see 2.2; 3.2.1; and 4.3). Likewise, the Lesotho government ensures that higher education institutions provide efficient services to justify the funds invested in them (see 2.2.2).

In recognition of the significant role that a skilled workforce could perform in initiating change, governments - including the Lesotho government - shifted from a confidential to a developmental performance appraisal/management system as a performance control measure with the intention to improve efficiency (see 3.2.2; 4.3; and Table 4.1). This shift from the confidential performance appraisal system was based on the assumption that a holistic, integrated, democratic system would effect a change in staff performance compared to the autocratic system of assessing staff performance (see 3.2.2; Table 4.3; and 4.5.2).

The purpose of this study was to determine the type of performance management system used in Lesotho institutions of higher learning and to suggest improvements that would ensure efficient staff performance. The main research question was what system of performance management could bring about efficient academic staff performance in the Lesotho higher education

institutions, given the context within which higher education exists. In addressing the main question, this study set out to obtain responses from the Lerotholi Polytechnic (LP), the National Health Training College (NHTC) and the National University of Lesotho (NUL) concerning the following subsidiary questions: the meaning, purpose, principles and objectives of performance management; the existing policies and procedures of performance management; the relation between scholarship and performance management (see 4.2; 4.5.2; and 4.5.3). In addition it required suggestions for the improvement of the existing performance management system (see 8.6).

Both a theoretical and a field study were conducted. In the field study, a combination of methods was used, which included a survey descriptive research design adopting both qualitative and quantitative techniques. Quantitative data was collected by means of the self-administered questionnaire. Qualitative data was gathered by means of interviews and focus group discussions.

The findings from LP and NHTC with regard to the purpose of performance management revealed that performance management had been instituted to ensure efficiency and effectiveness. The intention was to make these institutions responsive to the demands of the internal and external stakeholders. The purpose of the system in both institutions seems to linger more towards judgement than towards scholarship development, which would result in staff efficiency. Similarly, findings from NUL seem to emphasise punishment and not scholarship development.

The findings from NUL with regard to the performance management policy showed that a clear performance management policy did not exist and that preparations were made to introduce an appraisal policy. The staff were evaluated annually based on the point system. The activities of teaching and learning, research and community service are allocated points according to their perceived importance by management. Research is allocated more points,

since it is considered to contribute to the improvement of subject content and the methodology of teaching. The findings also reflect that consultancy work contributes to the subject content. But it seemed that the respondents were dissatisfied with the value attached to research, since they had large teaching loads that made it difficult for them to conduct research. In addition, allocated funds were limited to conduct research. Also, the appraisal policy in the three institutions attached more value to research than teaching, yet the latter formed the core of the lecturers' activities. These findings reflect that for a performance management system to be sustainable, a performance management policy should have clear guidelines to ensure that all forms of scholarship are equally valued and assessed.

Based on the afore mentioned findings from the three institutions, it is recommended that the review of the existing performance management system should emphasise promotion of staff efficiency and effectiveness to enable the higher education institutions to respond to the internal and external demands for efficiency. The purpose of the appraisal should be to reflect staff skills and knowledge that need development and also factors that inhibit efficient performance.

In all the institutions the recommendation is that the purpose of the performance appraisal system should be to develop staff competencies to enable staff to address knowledge and skill requirements in their contexts. This recommendation is in line with the argument of this thesis namely that for a performance management system to be effective, its purpose must be to develop scholarship.

Various recommendations were made to ensure that a performance appraisal system, which supports scholarship development should be in place. The recommendations from both LP and NHTC were that the policy should be clear on the purpose and the procedure of the performance appraisal system. In

addition, a policy that emphasises staff development is recommended, since it is not threatening and such a system supports staff to be efficient.

With regard to the procedure the recommendation from LP and NHTC was that performance assessment should be based on agreed standards and indicators of performance; that job descriptions be aligned to the mission; the rating of staff should be consistent; and that the grievance procedure should be clear.

The recommendations from NUL on procedures of performance management were that the methods and instruments used for collecting evidence on performance should be clearly stipulated; feedback on performance appraisal results should be provided to appraisees; and that the rating of the research and the teaching staff should be consistent.

The recommendation from the respondents at LP, NHTC and NUL was that all forms of scholarship should be given equal recognition in appraisal. The institutions should also ensure that the necessary resources to conduct research are available.

The respondents from the institutions studied indicated that the success of a developmental, continuous and democratic system of performance appraisal depended on the dynamic leadership that is supportive to change.

Recommendations on future research are that research should be conducted on leadership and the management of staff performance in the three institutions studied. Such research is essential, since it will highlight whether the existing type of leadership is conducive for the success of a performance management system.

Future research can also be conducted on the interaction between appraiser and appraisee in decisions on the action plans. Interaction promotes involvement in decisions. Without staff involvement in plans and decisions on

appraisal, the appraisal system may not be sustainable. In addition, research on the process of appraisal is essential, since the processes determine the success and the continuity of appraisal.

KEY WORDS:

- Performance management system
- Performance appraisal system
- Staff efficiency and effectiveness
- Scholarship
- Teaching and learning, research and community service
- Improvements
- Internal and external stakeholders
- Qualitative and quantitative techniques
- Staff competencies
- Recommendations

OPSOMMING

Die veranderende sosiale, politieke, ekonomiese en tegnologiese omgewing oefen druk uit op regerings dwarsoor die wêreld om te verseker dat hoëronderwysinstellings bekwaam en effektief is wat betref dienslewering. Die voortdurende verandering van omgewing en die finansiële agteruitgang in die besonder het regerings genoop om streng finansiële kontrolemaatreëls toe te pas. Verder is daar van hoëronderwysinstellings verwag om interne en eksterne eise om bekwaamheid hanteer (kyk 2.2; 3.2.1; en 4.3). Op dieselfde wyse verseker die regering van Lesotho dat hoëronderwysinstellings bekwame dienste voorsien om die fondse wat in hulle belê word, te regverdig (kyk 2.2.2).

Ter erkenning van die beduidende rol wat 'n geskoolde werksmag kan verrig om verandering teweeg te bring, het regerings – insluitende die regering van Lesotho – die klem verskuif vanaf 'n vertroulike tot 'n ontwikkelende prestasie-evaluerings-/-bestuurstelsel met die oog daarop om bekwaamheid te verhoog (kyk 3.2.2; Tabel 4.3; en 4.5.2). Die verskuiwing vanaf die konfidensiële prestasie-evalueringsstelsel is gebaseer op die veronderstelling dat 'n holistiese, geïntegreerde, demokratiese stelsel 'n verandering in personeelprestasie sou

teweeg bring in teenstelling met die outokratiese stelsel van die evaluering van personeelprestasie (kyk 3.2.2; Tabel 4.3; en 4.5.2).

Die doel van hierdie studie was om te bepaal watter soort prestasiebestuurstelsel in Lesotho se hoërondewysinstellings gebruik word en om verbeteringe aan die hand te doen wat bekwame personeelprestasie sou bevorder. Die hoofnavorsingsvraag was watter soort prestasiebestuurstelsel bekwame akademiese personeelprestasie in Lesotho se hoërondewysinstellings teweeg kon bring as fokusgroepbesprekings die konteks waarin hoër onderwys bestaan, in aanmerking neem. Terwyl die hoofvraag aangespreek is, was die studie daarop gemik om response of antwoorde van die Leretholi Polytechnic (LP), die National Health Training College (NHTC), en die Nasionale Universiteit van Lesotho (NUL) op die volgende ondergeskikte vrae te verkry: die betekenis, doel, beginsels en oogmerke van prestasiebestuur; die bestaande beleide en prosedures van prestasiebestuur; die verhouding tussen vakkundigheid en prestasiebestuur (kyk 4.2; 4.5.2; en 4.5.3); en om voorstelle te verkry vir die verbetering van die bestaande prestasiebestuurstelsel (kyk 8.6).

Beide 'n teoretiese en 'n veldstudie is uitgevoer. 'n Kombinasie van metodes is in die veldstudie gebruik. Dit het 'n beskrywende navorsingsontwerp ingesluit met beide kwalitatiewe en kwantitatiewe tegnieke. Kwantitatiewe data is ingesamel deur middel van vraelyste wat self hanteer is. Kwalitatiewe data is ingesamel deur middel van onderhoude en fokusgroepbesprekings.

Die bevindinge van LP en NHTC met betrekking tot die doel van prestasiebestuur het getoon dat prestasiebestuur ingestel is om bekwaamheid en effektiwiteit te bevorder. Die bedoeling was om hierdie instellings bedag te maak op die eise van die interne en die eksterne belanghebbendes. Die doel van die stelsel in beide instellings blyk meer te neig in die rigting van beoordeling, eerder as in die rigting van die ontwikkeling van vakkundigheid, wat tot personeelontwikkeling sou lei. Op 'n soortgelyke wyse dui die

bevindinge van NUL daarop dat die klem op straf en nie op die ontwikkeling van vakkundigheid val nie.

Die bevindinge van NUL met betrekking tot die prestasiebestuursbeleid het getoon dat daar nie 'n duidelike prestasiebestuursbeleid bestaan nie en dat voorbereidings getref is om 'n evalueringsbeleid bekend te stel. Die personeel is jaarliks beoordeel gebaseer op die puntestelsel. Daar word punte toegeken aan die aktiwiteite van onderrig en leer, navorsing en samelewingsdiens volgens die belangrikheid daarvan uit die bestuursoogpunt gesien. Daar word meer punte aan navorsing toegeken, aangesien die siening is dat dit bydra tot die verbetering van die vakinhoud en die metodologie van onderrig. Dit het egter geblyk dat die respondente ontevrede was met die waarde wat aan navorsing toegeken is, aangesien hulle groot onderrigladings gehad het wat dit moeilik gemaak het vir hulle om navorsing te doen. Verder het die evalueringsbeleid in die drie instellings meer waarde geheg aan navorsing as aan onderrig, maar laasgenoemde het die kern van lektore se aktiwiteite gevorm. Hierdie bevindinge wys daarop dat – vir 'n prestasiebestuurstelsel om haalbaar te wees – dit duidelike riglyne behoort te hê om te verseker dat alle vorme van vakkundigheid op 'n gelyke wyse beoordeel word.

Gebaseer op bogenoemde bevindinge van die drie instellings, word dit aanbeveel dat die hersiening van die bestaande prestasiebestuurstelsel die bevordering van personeelbekwaamheid en doeltreffendheid moet bevorder om die hoëronderwysinstellings in staat te stel om op die interne en eksterne eise om bekwaamheid te reageer. Die doel van die evaluering behoort te wees om personeelvaardighede en kennis wat ontwikkel moet word, asook faktore wat bekwaame prestasie inhibeer, te reflekteer.

In al die instellings is die aanbeveling dat die doel van die prestasie-evalueringstelsel behoort te wees om personeelvaardighede te ontwikkel om personeel in staat te stel om kennis- en vaardigheidsvereistes in hul kontekste aan te spreek. Hierdie aanbeveling is in lyn met die argument van hierdie

proefskrif, naamlik dat – vir 'n prestasie-evalueringstelsel om suksesvol te wees – die doel daarvan moet wees om vakkundigheid te ontwikkel.

Verskeie aanbevelinge is gemaak om te verseker dat 'n prestasie-evalueringstelsel wat vakkundigheid ondersteun, in plek behoort te wees. Die aanbevelinge van beide LP en NHTC was dat die beleid duidelik behoort te wees wat betref die doel en prosedure van die prestasie-evalueringstelsel. Verder word 'n beleid wat personeelontwikkeling beklemtoon, aanbeveel, aangesien dit nie as 'n bedreiging gesien word nie en so 'n stelsel personeel steun in hul strewe om bekwaam te wees.

Wat die prosedure betref, was die aanbeveling van LP en NHTC dat prestasie-evaluering gebaseer behoort te wees op standarde soos ooreengekom en prestasie-aanduiders; dat posbeskrywings in lyn moet wees met die missie; die evaluering van personeel behoort konsekwent te wees; en dat die griewe-prosedure duidelik behoort te wees.

Die aanbevelinge van NUL wat betref die prosedures van prestasiebestuur was dat die metodes en instrumente wat gebruik word om getuie in te win en prestasie te bepaal, duidelik uiteengesit behoort te wees; dat terugvoering betreffende prestasie-evalueringsresultate aan geëvalueerdes voorsien behoort te word; en dat die evaluering van die navorsings- en die onderrigpersoneel konsekwent behoort te wees.

Die aanbeveling van die respondente van LP, NHTC en NUL was dat alle vorme van vakkundigheid gelyke erkenning behoort te geniet tydens evaluering. Die instellings behoort ook te verseker dat die nodige bronne en hulpmiddele om navorsing te doen, beskikbaar is.

Die respondente van al die instellings wat bestudeer is, het aangedui dat die sukses van 'n ontwikkelende, volgehoue en demokratiese stelsel van prestasie-evaluering van dinamiese leierskap wat verandering ondersteun, afhang.

Aanbevelinge rakende toekomstige navorsing is dat navorsing oor leierskap en die bestuur van personeelprestasie aan die drie instellings wat bestudeer is, gedoen behoort te word. Sodanige navorsing is essensieel, aangesien dit sal aandui of die bestaande soort leierskap bevorderlik vir die sukses van 'n prestasiebestuurstelsel is.

Toekomstige navorsing kan ook geskied rakende die interaksie tussen die evalueerder en die geëvalueerde ten opsigte van besluite oor aksieplanne. Interaksie bevorder betrokkenheid by besluite. Sonder personeelbetrokkenheid by planne en besluite oor die evalueringstelsel, is dit moontlik dat die evalueringstelsel nie volhoubaar mag wees nie. Verder is navorsing oor die evalueringproses noodsaaklik, aangesien die prosesse die sukses met die oog op die voortdurendheid van evaluering bepaal.

SLEUTELWOORDE:

- Prestasiebestuurstelsel
- Prestasie-evalueringstelsel
- Personeelbekwaamheid en –effektiwiteit
- Onderrig en leer, navorsing en samelewingsdiens
- Vakkundigheid
- Verbeteringe
- Interne en eksterne belanghebbendes
- Kwalitatiewe en kwantitatiewe tegnieke
- Personeelbekwaamhede

- Aanbevelings

LIST OF ACRONYMS

AIDS	Acquired Immune Deficiency Syndrome
BARS	Behaviourally Anchored rating Scales
CV	Curriculum Vitae
CIDR	Centre for Instructional Development and Research
CHE	Council on Higher Education

CHEMS	Commonwealth Higher Education Management Service
CHERI	Centre for Higher Education Research and Information
COSC	Cambridge Overseas School Certificate
CVCP	The Committee of Vice Chancellors and Principals
CVC	The Committee of Vice Chancellors
FHEI	Further and Higher Education Institutions
HEFCE	Higher Education Funding Council for England
HERDSA	Higher Education Research and Development Society of Australasia
HRM	Human Resource Management
IDCS	Institute of Distance and Continuing Studies
LIPAM	Lesotho Institute of Public Administration and Management
LP	Lerotholi Polytechnic
MBO	Management by Objectives
NHTC	National Health Training College
NUL	National University of Lesotho
PHC	Primary Health Care
PH.D'S	Philosophiae Doctor Degree
QUT	Queensland University of Technology
SMART	Simple, Measurable, Attainable, Realistic, Time-bound
SWOT	Strengths, Weaknessess, Opportunities and Threats
TQM	Total Quality Management
UCSD	University of California San Diego
UK	United Kingdom
UNESCO	United Nations Education Scientific and Cultural Organisation
UNS	Unified National System
USA	United States of America

CHAPTER 1

INTRODUCTION AND ORIENTATION TO THE STUDY

1.1 INTRODUCTION

This chapter is an overview of the main issues discussed in the thesis. It highlights the global discontent by governments about performance in higher education institutions and the introduction of a developmental performance management system to replace earlier autocratic systems. It provides highlights with regard to the literature that indicate the context within which higher learning institutions exist. The chapter also gives an overview of a performance management framework; linked to scholarship development and aimed to highlight institutional problems and academic skills required to solve them. In addition, the chapter highlights the methodology adopted to gather data on the type of performance management adopted in higher education institutions of Lesotho. The background to the study explains the rationale for the implementation of appraisal systems of higher education in other countries, including Lesotho.

1.2 BACKGROUND TO THE STUDY

Globally governments are concerned about the return on invested funds in higher learning institutions. This has been the concern of governments in the United States of America (USA), Britain, Europe, Asia, Australia and Africa (UNESCO 1998: 37, 62, 66, 74; Kyrillidou 2001: 1; Feldscher s.a.: 3). The government of Lesotho has similar concerns regarding the return on investment in higher education. The Lesotho Minister of Finance indicated that the government and the public are concerned about a large allocation of funds to education in comparison with the other government ministries (Kingdom of Lesotho 2003a: 7). The Chancellor of the National University of Lesotho (NUL) further expressed this concern in his graduation speech on 27 September 2003. He indicated that the 2002-2007 university's strategic plan,

built on a shrinking financial foundation, required management to account. Thus, in an attempt to make higher education account to the demands of the public, the governments in the Western world, including Australia, introduced a performance appraisal system adopted from industry (Parsons & Slabbert 2001: 76). Likewise, the Lesotho government introduced a performance appraisal system adopted from industry to ensure efficiency in higher education (Kingdom of Lesotho 2000a: 111).

The adopted, monolithic and bureaucratic system of appraisal applicable to the industry seemed inappropriate for the management of the academic staff in the universities of the Western countries and Australia (Taylor, Gough, Bundrock & Winter 1998: 8 of 14). The appraisers disliked acting as judges, while the appraisees considered the system biased and judgemental. This resulted in a shift to a democratic performance appraisal system, which adopted a holistic approach to performance management (Austin 1998: 4; Scholtes 1993: 1). The assumption was that the shift to a democratic performance management system would result in a change in staff performance. A change in staff performance might also be necessary to bring about efficiency in the Lesotho higher education institutions.

This study is intended to find out the type of a performance appraisal system that would influence a change in Lesotho higher education institutions. The questions, which the study wishes to address, are: What strategies should be adopted to make a performance appraisal system effective? What type of appraisal system exists in higher education institutions of Lesotho? What improvements should be made to the existing system? The responses to these questions would assist the Lesotho decision-makers to decide on a system of performance appraisal that can make higher education institutions to be efficient hence accountable to the stakeholders.

Governments are more interested in higher education institutions than ever before and steer these institutions to ensure proper use of taxpayers' money. Besides governments' demands for financial accountability, there are other external and internal forces that influence a change in higher education. The

examples of the influences of change are issues such as massification, globalisation and internationalisation, information technology, equity and redress, quality and dwindling higher education resources (Fielden 1998: 4-7; UNESCO 1998: 2-7). Higher learning institutions are furthermore also under pressure to make greater contributions to economic and social development and to be accountable to an increasingly skeptical and demanding public.

The external influences of change and demands discussed in the previous paragraph cause a continuous urgency to the analysis of quality in higher education. In this regard, the kind of staff in which higher education institutions are investing has a big influence on the quality of the output of the institution. It is in this light that staff appraisal forms a very important strategic focus area regarding quality on the operational area of the higher education institution, which could also be regarded as an important lever for change in order for institutions to adapt to the external environment.

To improve a performance appraisal management system, it is essential to relate it to an institution's quality management system, which brought the importance of an examination of the process required to achieve results regarding staff outputs to the forefront (Bacal 1997: 3). Human resources management, of which the staff performance appraisal system is a part, is identified by Kells (1995: 18) as one of the elements of a holistic quality management system. This relationship between a performance management appraisal system and a holistic quality management system will therefore form a crucial part of this study because of the assumption that the success of a management appraisal system mainly depends on a holistic quality management system. The urgency for staff performance appraisal systems in higher education and employment needs to be understood against the background of continued pressure for effective delivery from employers, government departments, and those responsible for the management and funding of higher education (Bennett, Dunne & Carré 2000: 781).

Although different institutions have different staff performance appraisal systems in place, it seems that staff members are dissatisfied with the existing

systems. Some staff members have critique against the kind of state-generated legislation systems, which demand the use of numerical systems to rate personnel performance as in the case of the Public Service Regulations of 1969, Part B of the Lesotho government and the NUL annual performance rating system (Kingdom of Lesotho 2000a: 111). Critics maintain that the current ratings of staff focus more on evaluation as the major purpose to be served rather than improving personnel behaviour (Ashcroft & Palacio 1996: 106). They also indicate that performance appraisals are often counter-productive if personnel are not involved in establishing performance appraisal standards.

The failure of performance appraisal systems does not only lie with the design or implementation, but also with the underlying assumptions. Coens and Jenkins (2000: 20) express the opinion that the foundations on which the systems of appraisal are based, cause them to fail. The authors propose that the purpose and principles of appraisal should be made more explicit so that they can be tested and evaluated for reliability and desirability.

A developmental approach to staff appraisal systems, whose emphasis is on scholarship development, is therefore necessary to ensure real improvement of the outputs, skills and efficiency of staff. This is the reason why the Lesotho government, for example, recently published a legal notice (Kingdom of Lesotho 2000a: 111) by which it repealed confidential reporting and replaced it with a more goal-oriented, open system with work plans forming the basis for staff appraisal.

A change in approach to performance appraisal is intended to change attitudes of staff towards performance management. Therefore a developmental appraisal system with a focus on scholarship development implies an integrated approach that considers the quality of inputs, guiding policies and processes. Though still bearing the two inherent purposes of performance evaluation, the developmental performance appraisal takes into account staff improvement and motivation (Fisher 1996: 11; Nickols 2000a: 1). If appraisal focuses on staff development, the assumption is that the

elements of threat inherent in its processes are reduced. Developed staff not only enable institutions to maintain their autonomy, but also ensure that institutions meet the demands of customers (Beinin 2002: 1).

A developmental system can enable higher education institutions to be accountable through its emphasis on scholarship development. Through the development of staff in teaching, research and community service, the institutions of higher education can achieve their missions. The improved skills can enable staff to solve problems confronting society. Through the application of different forms of scholarship, academic staff members are able to account by offering an expected service to the public and maintain their autonomy as a distinct group of intellectuals in society (Beinin 2002: 1).

The relevancy of the study could therefore be approached from two ends. One end is that staff performance appraisal systems generally do not seem to be successful, which necessitates the consideration of new and more efficient systems. A number of factors have been raised as the cause for ineffective implementation of a performance appraisal system. These factors, categorised as being internal and external, range from the formulation to the administration of performance management policies (Armstrong 1997: 234-238). Factors that influence inefficiency of appraisal system include the external demands of equity, relevance, internationalisation, and technology.

From the second end it seems that governments are responding in compiling new legislation and therefore contributing to the urgency of implementing effective staff performance appraisal systems. Legislation is necessary as a guide since appraisals are conducted in institutions and in situations that are neither fully rational nor straightforward (Cascio 1998: 60). The internal political and interpersonal barriers are likely to stifle the successful implementation of a performance appraisal system.

The barriers lead to the determination of the kind (if any) of staff appraisal system that exists at Lerotholi Polytechnic, the National Health Training College and at the National University Lesotho. The study sets out to find

responses to questions like how appraisal works, what these institutions actually appraise and how they organise and plan for appraisal (e.g. their principles, policies and procedures). After determining the kind of appraisal system in place, certain improvements such as exploring new ways in which the institution should prepare itself for the appraisal process, proposing ways in which each department might prepare itself, may be suggested. Suggestions would also include developing methods by which the appraisees might collect their own evidence about their performance and their future potential in the preparation of the appraisal exercise. Ways will also be explored regarding how to increase staff awareness of the importance of preparation for the effectiveness of any appraisal scheme (Armstrong 1997: 232). It is important to include why the origin, meaning and purpose of performance appraisal are discussed in this study.

1.2.1 Background information on academic staff performance

This section is intended to provide a background on performance management. It concerns the origin, explanation and the intention for introducing performance management. This background information is intended to find out whether higher learning institutions should implement performance management. The criticism on the origin of performance management is reason to doubt its relevance to higher education. Originated in the industrial sector, which has a different culture, its implementation in higher education is regarded with scepticism. The underlying reason is that appraisal of staff is considered to be context-specific. The information on its origin is intended to enlighten us concerning its strengths and weaknesses as perceived in industry and in the higher education sector of the countries of the west, Europe and Australia.

Knowledge regarding performance management assists to evaluate and determine its applicability and value in the assessment of academic staff performance in institutions of higher learning in Lesotho. While it is questionable whether performance management procedures are generic to industry and education in the parts of the world mentioned above, it is interesting to find if such doubts exist in institutions of Lesotho. Considering

the worldwide concern on higher education efficiency, this study attempts to find out staff perceptions on the purpose and principles of appraisal system adopted in Lesotho higher education institutions to improve staff performance. It is as a result of the lack of information about staff perceptions and attitudes towards performance management that this study was undertaken to fill this information gap in order to make performance management suitable to Lesotho.

1.2.2 Government efforts to improve efficiency in higher education

Various attempts have been made by the Western governments to ensure that higher education institutions account for the activities they perform. In acknowledgement of the point that human resource management is key to organisational success, performance management systems were adopted to motivate academic staff to perform (Cattell 1999: 137). However, the systems of performance management used had weaknesses that made them unsuitable. This was also the case with higher education institutions in Lesotho.

A historical view on the practice of performance management indicates that there has been a shift on who and on how staff performance should be controlled in Lesotho. The government of Lesotho adopted the confidential staff performance control measure when it was the British protectorate from the 1960s. According to this system, performance was based on set objectives (management by objectives – MBO).

The system of MBO, adopted in the 1960s, was characterised by bureaucratic control, central formulation of objectives and the “reward-punishment psychology” (Bratton & Gold 1999: 231). The problem with the system was lack of staff involvement in the setting of objectives. If staff are not involved, they may not feel committed in achieving the goals. The system was rejected for putting pressure on individuals to perform without making them have a choice in an objective setting (Bratton & Gold 1999: 32). The importance of agreed goals for the success of a performance management system will be discussed in Chapter five (see 5.3.2). The above discussion indicated that the

managerial system in which staff were less involved did not effect a change in performance.

Being aware that the confidential report system did not change staff performance the government introduced an open, developmental performance management system. In this study, institutions of higher education that are/were government departments and have been affected by the change in appraisal system, are Lerotholi Polytechnic and the National Health training College.

The National University of Lesotho, like LP and NHTC, which are departments of government ministries, adopted the appraisal system from the Congregation of Oblades of Mary Immaculate in the Catholic Church who established the university (NUL 1997: 1). The system adopted is annual and confidential. The university also uses the staff code of conduct to ensure efficiency. In its transformation process, NUL is preparing a democratic and developmental performance management system. This study sets out to find staff views on the purpose and procedures of the “annual review or the point system” adopted by the University (see 7.5). It will also find out if there are suggestions for the improvement of the existing system. From this discussion it is apparent that initiatives are undertaken to ensure that a performance management system effects a change in academic staff performance. It is an accepted part of management “orthodoxy” that there should be some means by which performance can be measured, monitored and controlled (Bratton & Gold 1999: 223; Cattell 1999: 147). But the idea of control is central to the problem of performance appraisal.

Control inhibits staff from being resourceful and limits academic freedom. If a performance management system emphasises control and judgement at the expense of development, it may lead to compliance, not commitment. The implication for compliance is that staff will not be devoted to the achievement of the mission and targets of higher learning institutions; hence these institutions may remain inefficient. To minimise control, subordinates should be actively involved in the setting of performance objectives (see 5.3.2). The

involvement of staff will be discussed in Chapter 4 (cf. Table 4.3) whereby staff have to participate in the formulation of the scholarship development plan. Involvement places the responsibility on the subordinate to establish performance goals and appraise progress towards them (Cattell 1999: 144). But bureaucratic control causes staff to be critical and not cooperative to the system of performance appraisal.

The conventional, bureaucratic, performance management systems have been tried in the United Kingdom (UK) (Bull 1990: 7-8; Hughes, Jones & Hardwick s.a.: 2 of 2) and in Australia (James 1995: 186). Lesotho followed the same route without much success in motivating staff to achieve institutional objectives (Kingdom of Lesotho 2000a: 111-112). The problems in the tried systems relate to the purpose and the principles that underlie implementation. The purpose for which data is collected must be explained and the use of such data has to be clarified. Without a clear purpose of appraisal, staff may not accept the system. If the system is not participatory and democratic to make staff members feel that they own it, they may reject it. Failure to adhere to these appraisal principles is a contributing factor to the inefficiency of performance appraisal (see 5.7.3).

Failure of the traditional system of appraisal can also be attributed to its emphasis on judgement and punishment than to development. The argument in this thesis is that, for appraisal system to succeed, it must have staff development as its purpose. The goal is to align individual performance with organisational goals. Emphasis on development reduces the threat of judgement inherent in the traditional system of appraisal. In the case of this thesis, academic staff evaluation must be related to the development of the four forms of scholarship discussed in Chapter four (see 4.3 and Table 4.1). There must also be clear standards of assessing performance. Clear standards reduce bias in the assessment of performance. The discussions in chapter four indicate that a performance management system can thrive if its purpose is the development of scholarship (see Table 4.3 and 4.5.3). It may also be added that, without supportive leadership and a conducive atmosphere, the system may be ineffective (see 5.5.1).

Another related problem is that the performance appraisal systems originate from the business world. Their suitability and relevance to a complex social activity like education with diverse aims, a variety of customers, and influencing factors, raise doubt about the system's adaptability to higher education (Ashcroft & Palacio 1996: 46). Since the performance appraisal system is here to stay (Parsons & Slabbert 2001: 77), management is faced with a problem of the type of adjustments needed to the system to change staff performance in Lesotho higher education.

1.3 PURPOSE OF THE STUDY

This study intends to find staff perceptions about the implementation of the appraisal system (Hughes *et al.* s.a.: 2 of 2). Suggestions for improvement will be made, based on the findings regarding the purpose, policies and procedures of performance appraisal, and whether the appraisal system based on scholarship development could enable higher education institutions to achieve their missions and national requirements (see 1.4.1; 7.5; 7.6; 7.9.3; 7.9.4; 7.9.5; 7.9.6; 7.11.2; 8.6). The section that follows shows international concern, including the concern by the Lesotho government with regard to the inefficiency in higher education institutions and the ineffectiveness of the existing system to motivate staff to perform.

1.4 THE RESEARCH PROBLEM

The concerns of governments in the world regarding accountability, relevance, efficiency and effectiveness in institutions of higher learning are also the concerns of the government of Lesotho. The government demand for accountability implies that there is an expected return on investment. It is expected that higher education institutions should achieve their missions of teaching, research and community service efficiently to justify the high investment. Higher education institutions, being labour intensive organisations, can achieve the mission through skilled and motivated academic staff (Fielden 1998: 3 of 19). The academic staff performance is crucial for the achievement of goals in higher learning institutions. This implies that academic staff performance has to be monitored to highlight factors that may lead to ineffectiveness (Hughes *et al.* s.a.: 2 of 2). But the bureaucratic

system of monitoring academic staff performance has not resulted in a change in staff performance and is not holistically accepted by staff.

The academic staff performance monitoring and appraisal systems are rejected, since the systems are considered to be managerial, authoritarian and non-participative in nature. An example of such a system is the confidential system that that was replaced by the performance appraisal system. Their purposes are considered to be punitive. The procedures followed in appraisals are secretive and threatening (Fisher *et al.* 2000: 11 of 23). The performance indicators are irrelevant and unrealistic to the activity of academics and have caused the appraisal systems to be unpopular.

The Lesotho government is concerned that higher education institutions are inefficient in spite of the large funds allocated to the educational sector in comparison to other government sectors. The traditional, bureaucratic performance management system adopted to bring about efficient staff performance in Lesotho higher learning institutions does not seem to enhance efficiency, because the bureaucratic system does not motivate academic staff to achieve goals of higher learning. The question is what are staff opinions with regard to the existing system of appraisal in these institutions.

The main question therefore is what type of academic staff performance appraisal system is suitable in higher education institutions of Lesotho that will enable academics to efficiently and effectively provide teaching and learning, research and community service to enhance the economic, political, international requirements of Lesotho. Also, of importance to this study and considering the government's call for efficiency, a question to be asked is how the University, its satellite [The Institute of Distance and Continuing Studies (IDCS)] and its affiliate [The National Health Training College (NHTC)] institutions, including Lerotholi Polytechnic address this call. In an attempt to respond to this question, this thesis focuses on the following questions to understand the implementation of the existing system and to make suggestions on the basis of the findings.

1.4.1 Research questions

1. What is the current purpose and underlying principles of appraisal systems in Lesotho higher learning institutions? (See 2.2; 3.2.2; 4.5.3; 5.4; and 7.5.)
2. What are the policies, plans and procedures in the implementation of appraisal? (See 2.2; 3.2.1; 4.5.1; 4.5.2; 7.5; 7.6; and 7.7.)
3. Can a performance appraisal system, based on scholarship development, enable higher learning institutions to achieve their mission and the national requirements? (See 4.4; 4.5.2; 4.5.3; 7.5; and Table 4.3.)
4. What recommendations can be made to the existing appraisal system used in higher education institutions of Lesotho to make the system a suitable mechanism for institutional efficiency? (See 8.6.)

1.5 AIMS AND OBJECTIVES OF THE STUDY

The aim of the study is to find out if the existing performance management system in the institutions of higher learning in Lesotho enables them to achieve their mission effectively and to make recommendations to the existing system. On the basis of this aim, the study set out to:

- identify the purpose and underlying principles of the performance management system used in institutions of higher learning in Lesotho (see 7.8; and 8.4.1);
- do research on the policies and procedures adopted in the implementation of a performance appraisal system (see 7.5);
- find the relationship between scholarship and performance management (see 4.4; 4.5.2; 4.5.3; 7.11; 7.12.1 and Table 4.3); and
- determine suggestions for the improvement of the existing appraisal system (see 7.9 and 8.6).

An overview of the methodology adopted to obtain responses to the above research questions is discussed below.

1.6 RESEARCH DESIGN

A combination of the quantitative and qualitative research methodologies was adopted for various reasons. These complementary methods were used to ensure cross-validation of data.

In comparison to qualitative data, quantitative data is different, since it uses experimental methods and quantitative measures to test hypothetical generalisations. The quantitative data indicates causal determination, prediction and generalisation of data, while qualitative data attempts to illuminate, understand and extrapolate to a similar situation (Hoepfl 1997: 2). The quantitative research was not able to address a full account of the many interactions like the interpersonal relations that took place in the social setting, while qualitative inquiry was adopted to have an in-depth study of staff interpretation of an efficient performance management system (Hoepfl 1997: 2; McDaniel & Gates 2001: 110).

The underlying epistemology for this inquiry is that reality about the implementation of performance management is best understood from the interpretations of those involved (Myers 1997: 3; Hoepfl 1997: 1). This study has to reflect how the interdependence of external and internal factors influences staff performance from the interpretations of academic staff concerned. Based on this epistemology, the qualitative method was selected due to its use of the natural approach that attempts to understand phenomenon in context-specific settings (Hoepfl 1997: 2; Waghid 2001: 81). The aim was to use qualitative data to supplement information gathered by means of the quantitative method.

1.7 RESEARCH METHODOLOGY

The methods of normative research whereby predetermined questions were used, were combined with the interpretive paradigm using in-depth interviews. The researcher used a positivist paradigm to explore the situation regarding the implementation of performance management by using a self-administered questionnaire. The researcher also engaged in the interpretation of the situation and adopted the interpretivist paradigm, using in-depth interviews

and focus group discussions. Both methods were intended to fill up the information gaps left by the quantitative research.

Valuable information was obtained on the implementation of appraisal through verbal interaction with respondents. Points that the respondents considered unclear on the questionnaire were clarified during the interactions. Some respondents at the National University were, for example, not familiar with performance appraisal, but were familiar with annual reviews. Through interactions, they realised that both processes were aimed at evaluating performance, though appraisals were supposed to be continuous and formative, annual reviews were summative. The purpose of the former process is to continuously improve performance, while the latter focuses on achievements.

The sample of the study was made up of 188 staff members out of a total population of 404 full-time academic staff drawn from three higher education institutions in Lesotho. The three institutions studied were Lerotholi Polytechnic (LP), the National Health Training College (NHTC), and the National University of Lesotho (NUL). The three institutions selected represent higher education institutions in Lesotho. Lerotholi Polytechnic represents vocational education and the National Health Training College represents the health training institutions. The university represents teacher training and institutions that focus on accounting courses. The total population was composed of 75 academics from LP, 30 from NHTC and 299 from NUL. Support staff was not included in all the institutions studied. However, 188 participants responded in the study. The response rate at LP was 64% (48 respondents) while at NHTC it was 56.6% (17 respondents). Thirty-five participants out of the sample of 83 academic staff from NUL responded and the response rate was 42.2%.

At LP all the 75 academic staff members participated in the research. The researcher is a member of staff at LP, which gave her the advantage to research all staff members. At the two other institutions (NHTC and NUL), a random sampling technique was used. Twenty academic staff members out of

30 comprised a sample at NHTC, while from NUL 20 staff members were randomly selected from each of the four faculties (Faculty of Humanities and Education; Faculty of Science, Applied Sciences and Engineering; Faculty of Law and Social Sciences and the Institute of Distance and Continuing Studies). The sample from NUL included three members of staff from the Institute of Research. In the process of the transformation at NUL, most of the staff members from the Institute of Research had been redeployed to other faculties. Through random sampling technique, academics in each institution had an equal chance of being selected to participate. The use of the random sampling technique was also to ensure that information gathered was objective and reliable.

Data was also collected through two focus groups and individual interviews. One focus group discussion conducted at LP was made up of representatives of the three schools as follows: three lecturers from the school of Technology; two from the school of Built and three from the school of Commerce. The other focus group was made up of staff from NUL – Institute of Distance and Continuing Studies.

The individual interviews at NHTC were conducted with four lecturers from the departments of Allied Health Sciences, the Department of Nursing, Applied Sciences, and Research. The reason for interviewing only four lecturers was that, it was not easy to make interview appointments with lecturers since their assignments caused them to move between the hospital (Queen Elizabeth II hospital) and their College. Though focus group discussions were not conducted with staff from other departments at NUL as planned, a number of individual interviews were held with members of staff who held various positions. Four Executive Deans, one Director, three Heads of Departments and 14 lecturers from different departments were interviewed. A total of 21 interviews were thus conducted at NUL.

The quantitative data were analysed through frequencies and percentages and presented in tables and graphs. The qualitative data was analysed through a descriptive interpretation of accounts and responses.

1.8 LAYOUT OF THE STUDY

Chapter one provides an overview of the literature, the methods adopted in the collection and analysis of data including the findings. In addition, it indicates the parameters within which the project was conducted.

Chapter two provides an overview of the external and internal influences of performance management as a lever of change in higher education while Chapter three focuses on staff performance management and how staff appraisal could successfully be implemented.

Since scholarship is considered to be a lever of change in performance management. Chapter four discusses the role of scholarship in performance management and how scholarship increases the efficiency of staff performance.

The focus of Chapter five is on views concerning the successful management of a performance management system while Chapter six explains the research design and methodology.

Chapter seven presents the statistical data as well as the results of the interview and focus group discussions. The last chapter - Chapter eight - provides recommendations for a suitable staff performance management system in Lesotho higher education institutions.

1.9 CLARIFICATION OF CONCEPTS

Throughout this thesis, the following concepts should be understood in the way in which they are defined in the following paragraphs.

1.9.1 Performance appraisal

“Performance appraisal” is a term used in organisations as an umbrella for a variety of activities that organisations carry out to assess employees and to develop their competencies, enhance performance and distribute rewards (Tyson & York 1997: 129).

1.9.2 Performance management

Performance management is the review of past performance with the intention to detect weaknesses and strengths in performance. The weak areas of staff performance are developed through an agreed development plan, while good performance is rewarded (Cattell 1999: 135). Performance management is a holistic process that considers both internal and external factors that influence staff performance.

1.9.3 Academic freedom

It can be defined as a process whereby academics are provided leeway to exercise authority in decisions, but with the expectation that they will show responsibility for processes and outcomes (Taylor *et al.* 1998: 7 of 14). “Academic freedom” implies that academics as experts should be respected and trusted to decide on programmes and methods of delivery. A high degree of autonomy may cause institutions not to be responsive to external demands.

1.9.4 Scholarship

According to Boyer (1990a), “scholarship” is considered as the four roles that academic staff members perform which are teaching, research, integration and application.

1.10 CONCLUSION

This chapter discussed the main issues covered in the thesis. The concept of the thesis and the motivation for the study were to indicate what prompted the researcher to undertake the research. The attention was not only on what was to be investigated, but also on how and why. The background of the research was discussed to introduce performance management. The problem that the institutions of higher learning do not perform as expected, due to external and internal factors, was expressed. The aims and objectives of the research were discussed to establish the purpose of the study. The research design and methodology were to show the procedure undertaken by the researcher to conduct the research. The meanings of concepts pertinent to the study were clarified. Finally, the chapter provided an outline of the study.

Chapter two will provide an overview of the external and internal influences impacting on performance management.

CHAPTER 2

EXTERNAL AND INTERNAL INFLUENCES AS DRIVING FORCES FOR STAFF PERFORMANCE MANAGEMENT

2.1 INTRODUCTION

Globally the performance of higher education institutions is under government and public scrutiny. The higher education institutions in Lesotho are also criticised for inefficiency. The concern with regard to institutional performance intensified as countries have been experiencing economic, political, social and technological changes, which call for more control of provision of public services, in particular, educational services (Brunyee 2001: 8; Bruyns 2001: 14; Pretorius 2001: 74). The discussions in this chapter indicate that the external forces have an influence on the delivery of education. Likewise, the demands for access, accountability, autonomy and technology impact on the effectiveness of academic staff. The discussions further indicate that a developmental performance management system can assist academic staff to meet the challenges of external and internal influences of change. The following discussions focus on the forces of change in the higher education sector.

2.2 FORCES OF CHANGE IN THE HIGHER EDUCATION SECTOR

The rate of change in higher education is widely perceived as accelerating and higher education institutions worldwide are facing more or less similar problems, as well as common purposes. The future of higher education becomes increasingly complex and uncertain. Some of the problems higher education institutions are facing are, for example, increasing demands such as increased enrolment without a corresponding increase in resources. In addition, higher education institutions are confronted with declining resources, public doubt about their social usefulness, as well as skepticism about the effectiveness and efficiency of their operations. Most importantly, higher learning institutions compete as far as teaching and learning are concerned with non-educational institutions, which are also becoming providers of

teaching programmes (Green & Hayward 1997: 5; Smith & Webster 1997: 100, 101; Vidovich & Currie 1998: 195). Similarly, the public and the government of Lesotho demand efficiency from higher education institutions, despite increased enrolments and limited funds to meet the requirements for materials and facilities. Higher education institutions need to change in order to address the demands for efficiency.

There are seven factors that drive change. These factors are access, funding, economic and social development, accountability, autonomy, technology, and internationalisation (Green & Hayward 1997: 6; Van der Westhuizen 2002: 69; Lou, Bosch & Venter 2002: 158; Mji 2002: 166) as explained in Chapter one (see 1.8). The factors exert pressure on the performance of academic staff. The implication for performance management is that staff working under adverse conditions may not perform to agreed standards, due to conflicting yet interdependent external and internal demands for change.

It is imperative to discuss the external and internal influences that exert pressure on the management of staff performance in this chapter, since higher education is shaped and influenced by this context. Lecturers' performance is evaluated according to the extent to which they cope with or respond to these factors. It is necessary therefore that, on the basis of the self-evaluation results, institutions prepare programmes that meet the demands of the external environment (Bitzer & Menkveld 2003: 200; Thomas, Schrader & Rishworth 2003: 183). Efforts are undertaken in Lesotho higher education institutions to address the external demands for efficiency as discussed in Chapter six under the background of the institutions (see 6.11).

The discussions in this chapter take cognisance of the interdependence of the external and the internal factors and their influence on lecturers' performance. The interdependence of the external and internal factors implies that, the design and implementation of a performance management system has to consider the context under which academics perform. External factors on the one hand exert pressure and deter expected excellence in staff performance (Radford, Raaheim, De Vries & Williams 1997: 11; Westerheijden in Strydom,

Lategan & Muller 1997: 275). On the other hand, critics consider the interdependence of external and internal influences on staff performance necessary. The reason is that, without external influences self-evaluation or internal efforts to improve performance would not be taken seriously (Westerheijden in Strydom *et al.* 1997: 275; Brennan in Strydom, Lategan & Muller 1996: 330). Both external review and internal self-evaluation should be regarded as essential components of a well-developed quality assurance system [UNESCO (United Nations Educational, Scientific and Cultural Organisation) 1998: 7]. Nevertheless, quality assessments have to be performed with care, since they involve judgement, academic values and cultural understanding (UNESCO 1998: 7). The discussions on external influences first consider access and its influence on academic staff performance.

2.2.1 Access

The Universal Declaration of Human Rights declared access to educational provision as a human right (Colclough & Lewin 1993: 3; Kajubi 1999: 26). Two motives drive education for all. The first motive is to assure the survival of courses, programmes and institutions. The second is to widen access to provide opportunity to the educationally disadvantaged and the socially deprived (UNESCO 1998: 8). The intention is to make education accessible to the most underrepresented groups who are ethnic minorities, women, girls, the disabled and adults. In congruence with this declaration, countries, including Lesotho, move towards an integrated approach to human development. This welcome paradigm shift from non-inclusion to total inclusion was promulgated at the World Conference on Higher Education (UNESCO 1998: 20) and the inclusive education advocated by the Salamanca Conference in 1994 (Kajubi 1999: 26; UNESCO 1998: 8). The Lesotho Constitution is in line with the Declaration of Human Rights in its endeavours to make higher education accessible to all according to merit (Kingdom of Lesotho 1993: 42).

Nevertheless, access in higher education remains one of the most divisive challenges, because the issues related to access are not only restricted to entry and admissions. Academic access includes student selection and admission, guidance and support, as well as retention and throughput. Student selection is in line with the Universal Declaration of Human Rights, which indicates that merit and the effort of the individual should determine access to higher education (UNESCO 1998: 3). The selection signifies a shift from the élite-based to a merit-based entry to higher education. The implication of this declaration is that higher education is accessible to those who qualify.

Other problematic issues in the current access debate relate to the cost of implementing student access, attempts at diversifying access to encourage participation of designated groups like women and providing financial support as an enabling factor towards increased participation (Maharasoia 2001: 2; Strydom 2000: 1, 2). Increasing access to higher education further causes a high dropout rate which is neither helpful to the students who find themselves with a few years of university training but no employable skills (Kingdom of Lesotho 2003a: 7). This is also not rewarding to the Lesotho government that has made "wasted" investments on students who are no better off from an economic point of view than when they started.

Increasing access also influences the work performance of staff. An imbalance in the ratio between student and staff results in staff work overload (Parsons & Slabbert 2001: 74). The student/lecturer ratios vary in the institutions of higher learning in Lesotho. The increased opportunities for access, mainly at the University, have resulted in high ratios. These ratios also vary in faculties and within departments. In addition, staff members are confronted with students with a poor high school foundation. First-generation students often come from deprived socio-economic circumstances and find it difficult to cope with the demands of higher education. This implies that staff have to play the role of counsellors and much time is spent on student support (Fourie & Alt 2000: 117).

Access seems to have also posed challenges to the process of teaching; on scholarship development, and on existing resources. With regard to teaching, academics are expected to teach more with existing resources. The Lesotho government cannot match the increase in student numbers with the limited financial resources (Ballantyne, Bain & Packer 1999: 1 of 21; Kingdom of Lesotho 2003a: 13). Research shows that effective teaching that ensures contact, contract, consultancy and coordination (Raaheim 1997: 104), does not occur when there is high student-lecturer ratio. To compound the question of loads, academic staff development has not been considered a priority in the government's budget. Often the training budget is either reduced or diverted to meet emergency needs like disaster relief. This influence implies a threat for performance management in the sense that essential training may not be offered. A lack of training could hamper the desired levels of performance.

The implication for appraisal is that performance must be related to fitness for purpose (Perry 1991: 91). However, mass education has been developed on the assumptions of the élite system (Loder 1990: 75). The criteria, standards and methods of appraisal for academic staff and students are not valid for mass education. Therefore suitable appraisal methods have to be adopted to assess lecturers operating under the policy of mass education (Loder 1990: 74; Parsons & Slabbert 2001: 76).

The increase in the demand for learning, coupled with government policies on equal access, has resulted in an influx of students seeking places in tertiary institutions (Noruwana in Strydom *et al.* 1997: 70). At the institutional level the motives for increased access vary. One reason for the increase could be maintenance of numbers to secure survival of courses, programmes and institutions. Another reason could be attributed to a proportionate increase in student numbers to ensure equal opportunities and financial interest in the numbers an institution can attract (McPherson in Schuller 1991: 35).

The interest in funding has caused higher education institutions to diversify programmes in order to attract a high number of students. Lerotholi Polytechnic has embarked on the review of syllabi with the aim of making

courses relevant to the demands of industry. NUL no longer rejects Cambridge Overseas School Certificate (COSC) students who do not hold second-class passes, but provides a bridging programme to prepare students for entry to various programmes. The Institute of Distance and Continuing Education formalised links with the University of California San Diego (UCSD) to provide a Master of Business Administration in October 2003. These institutional efforts respond to the increased demand for learning.

The necessity to increase access for different reasons cannot be argued. However, the question pertaining to the reduction of inequities is whether emphasis should be on increased access or wider access. McPherson in Schuller (1991: 40) argues for wider access to ensure equity and proposes establishment of targets that should be expressed in terms of outflows from groups, not only in terms of inflows to institutions. He goes further to indicate that setting targets is uncertain, but setting them on the basis of markets is questionable and unreliable. According to him, access should not only be confined to entry, but be extended to include sustained and successful participation. This implies an opportunity to staff performance management and it could be stated as follows: The impact of an appraisal system is determined by its ability to depict whether higher education institutions are accessible to the educationally deprived and socially disadvantaged groups (McPherson in Schuller 1991: 36) or are accessible to all who would benefit from them. An assumption based on this opportunity could be that a performance management system should be able to assess the presence of systems in institutions, deliberately intended to increase access.

Another threat to the effectiveness of performance appraisal is the existence of guiding principles for access. According to Van der Westhuizen (2002: 71), there are no guiding principles on demand for targets with regard to funding, regulation of standards and person power requirements. The absence of policy in higher education in Lesotho means that guidelines on targets and standards are not clear. Without given standards of performance against which to measure actual performance, it is impossible to establish impact on access. The impact of appraisal lies in its ability to reveal discrepancies

between performance and standards. Therefore the assumption based on this threat is that the establishment of goals and guidelines for access are a prerequisite for a performance management system. With regard to access, an effective performance management system must establish the existence of multiple entry routes (Nair 2002: 95); multiple modes of participation; and control measures on entry criteria to enable decision-makers to verify if the institutions conform to the policy of equal access.

The performance management system also needs to take into account that mass higher education implies diversity and that the achievement of goals in a heterogeneous group is more difficult than in a homogeneous élite group. A performance management system, which will highlight access to higher education for its own sake, is therefore not acceptable. Higher education should only be accessible to students who are motivated to work independently and who will benefit from it (UNESCO 1998: 2).

The discussions above indicate that access, declared internationally as a human right and promoted by governments, including the Lesotho government through legislation and educational practice, poses problems to academic staff in higher education. Therefore in the evaluation of staff performance the influence of access should be considered. The adverse effects of access on staff performance could be reduced through the introduction of a developmental performance appraisal system that emphasises the development of teaching skills. In this case emphasis on staff's pedagogic skills should be developed to enable them to manage students from diverse backgrounds. Goals for access should be clear, since staff performance is based on their achievement. It has to be noted that the increase in student enrolments results in pressure for public funding, which is the next external factor that will be discussed.

2.2.2 Funding

Over the world, countries are unable to maintain their previous levels of expenditure on higher education. In the UK, for example, substantial reduction of recurrent funds was announced in the 1980/81 Public Expenditure Survey

(Williams 1992: 3). The World Bank reported declines in average public expenditures per student in real terms in the 1980s in the developing regions: from \$6,300 to \$1,900 in the Middle East and North Africa. In former socialist countries of Europe, precipitous drops occurred in the 1990s; Hungary's per student allocation fell with more or less 20 percent (Green & Hayward 1997: 8). In the USA there has been a decline in federal funding of 9,4 percent per academic scientist from 1979 to 1994 (Jacob 2001: 12). Diversification of sources of funding seems to be the general answer to this problem worldwide (Halimi 1998: 16; Clark 2000: 5).

In the USA, higher education institutions experience an increase of industry funding. The European countries experience a similar trend as in the USA. Diversification includes entrepreneurial ventures, forming relationships with the private sector and soliciting gifts from individuals, foundations and corporations. Students and their families also have to share more of the financial burden. Unlike higher education institutions in Western countries, the source of funds in the institutions of higher learning in Lesotho is government subvention (Kingdom of Lesotho 2003b: 178, 193,195, 199) and students' fees. The Lesotho government has requested higher education institutions to generate funds.

Funding and access are central questions to the future of higher education. Choices with regard to these issues will affect higher education institutions in the future. If there is lifelong access to higher education, the implication is that professional jobs will be in demand. This means that there has to be a corresponding increase in the number of trained academic staff to cater for the high numbers of students. But, within the context of diminishing resources, the envisaged academic development may not be actualised (Strydom 2000: 1). The diminishing resources result in the shortage of well-trained staff – especially in science and technology. This shortage hampers economic development in developing countries. In his budget speech the Minister of Finance in Lesotho expressed concern that the skills in mathematics and science are lacking among the graduates of higher education despite a large allocation of the budget to this sector (Kingdom of Lesotho 2003a: 7).

According to him, Lesotho needs skilled personnel in these areas for its development.

In developed countries the shortage of staff in science and technology is already taking its toll. Whether higher education institutions will be innovative enough and produce some transformation are still open questions (Green & Hayward 1997: 11). How can the higher learning institutions use funding to promote the scholarship of application? Management in these institutions can encourage academic staff to be involved in projects that address community problems to generate funds. The NUL Faculty of Science discovered some medicinal herbs with properties that could cure hypertension. With the increasing AIDS pandemic and sugar diabetes, lecturers would engage in establishing herbal cures that the Basotho could afford. But the Faculty cannot address this community problem due to shortage of staff and lack of technical equipment. Through staff interaction with the community the financial constraints can be used to achieve the mission of higher learning (Austin 1998: 10).

Confronted with the period of financial stringency, governments increasingly demand that higher education institutions account for financial resources apportioned to them. Periods of financial scarcity raise challenges regarding purposes, the quality value for money and performance appraisal management (Kingdom of Lesotho 2003a: 6-7). Scarce funds, coupled with the policy on equal access, mean more students with fewer resources (Noruwana in Strydom *et al.* 1997: 70). This implies high student-teacher ratios, which make it difficult to achieve set standards without compromising student learning (Budd in Butorac 1996: 1-7). The Chancellor of NUL raised a similar concern on the effects of scarce funds on student learning during the September 2003 graduation ceremony. The government of Lesotho has to ensure that there is enough funding to support the policy of equal access. Through financial support access may be achieved without a compromise in quality.

Quality control measures are to be put in place to monitor if the quality of teaching justifies the funds invested through the use of performance indicators. The allocation of funds is relative to performance achieved (Halimi 1998: 16; Hoyt 1999: 4). Performance indicators are considered unreliable measures of academic performance, since they reflect the quantitative but not the qualitative aspects of teaching (Ashcroft & Palacio 1996: 47). A combination of quantitative and qualitative methods could be adopted to find if teaching justifies funds invested. In addition, the quality of teaching in Lesotho higher education has to be assessed to find out if it meets the standards set for good scholarship as discussed in chapter four under the criteria for scholarship (see 4.2).

Funds are essential to ensure that, through the scholarship of teaching, the socio-political demands for access are envisaged. In addition, scholarly teaching enables the transfer of employability skills essential for economic development (Bitzer & Menkveld 2003: 200). The impact of funding on performance management is that with less funding staff may not be efficient in their performance. The role of a performance management system should be to detect if required funding exists to support staff to carry out their activities.

Poor facilities for example, laboratories without equipment or with dilapidated equipment, these do not only make teaching difficult, but also demoralise staff. Increased access at NUL has resulted in less science laboratory equipment and fewer computers and reference materials in the libraries. Without the necessary tools, staff cannot be expected to be productive. A lack of funds defeats the purpose of performance management, since without material support staff cannot be efficient (Timperley & Robinson 1998: 163). Funds are needed to provide materials and to bring about a conducive atmosphere for academic staff performance. This is because the non-availability of funds can have a negative impact on skills transfer. The interdependence among funding, economic, and socio-political development leads to the next discussion on the influence of the economic and social development on academic staff performance management.

2.2.3 Economic and social development

Knowledge has become a productive force, and it is the task of higher education to supply managers and technicians of that knowledge (Barnett 1990: 72). Higher education institutions are therefore under pressure to contribute to economic and social development. Governments, the public and students are calling on higher education to make a greater contribution to development; economic growth, job training, competitiveness, and research that will help build and sustain economically productive activities (Halimi 1998: 7; Bruyns 2001: 14). This phenomenon has resulted in the producer-dominated, knowledge economy (Barnett 2000: 44).

Skilled and knowledgeable graduates will be contributors to society, rather than be dependent on it. The work of scholars has to contribute to social progress and economic growth. Higher education institutions are compelled to form partnerships with other sectors of society such as business, primary and secondary education, and government – partnerships that can contribute to their effectiveness (Nkopodi 2002: 74). These partnerships will provide opportunities for collaborative research and projects that meet community needs (Anderson & Maharasoia 2002: 15).

Higher education institutions also may reach out to new groups of students in formal study- or job-related training. Provision of opportunities for lifelong learning requires that institutions should develop more flexible means to deliver education and develop varied programme offerings in partnership with other groups. In this regard Jacob (2001: 13) indicates that transdisciplinary application-orientated research is being funded at the expense of discipline-based internalist-driven science.

Partnership among universities provides opportunities for staff development. The reason is that collaboration among institutions or between institutions and the private sector implies that staff members have to move beyond their comfort zones into new horizons of partnerships that will have a demand on improved staff performance. Through cooperation staff members learn from the expertise of their colleagues from other institutions (Strydom & Hay 2001:

83). It is assumed that through scholarship development staff will be accountable.

2.2.4 Accountability

Higher education institutions are under pressure from various groups to be more relevant to the needs of society. This pressure is an indication that higher education has to account through performance of its staff (Jacob 2001: 13; Alt 2002: 9). Accountability will therefore be discussed in relation to the academic profession, stakeholders, and in relation to other factors that influence academic staff performance.

2.2.4.1 Accountability and the academic profession

The discussions under this heading deal with the methods of collecting evidence needed to justify academic staff performance, including the relationship between accountability and scholarship development. Accountability is considered at the individual and the institutional levels. At the individual level academic staff accountability for the profession, through self-evaluation, is considered crucial yet, it is highly criticised. Staff members' proof of teaching effectiveness through the portfolio is less valued on the premise that it is subjective. In the same manner, student and peer evaluation data is criticised on its validity and reliability as an authentic measure for assessing staff performance, as discussed in Chapter five (see 5.6.2). Nevertheless, data from all three sources is considered to be complementary and, as such, it is regarded as justified proof of academic staff performance.

The doubt on self-evaluation data as evidence for staff effective performance lies in the qualitative methodology used in the collection of evidence for effective performance. Qualitative data is considered unscientific and subjective and hence unreliable as an indicator for staff performance compared to data collected through rigorous quantitative methods (see 6.3.4; Fisher *et al.* 2000: 11). According to Fisher *et al.* (2000: 11), evaluation on whether institutions of higher education are accountable in their performance cannot be based on self-evaluation data. Nevertheless, quantitative data is criticised for not being explicit; it has to be explained qualitatively through

interpretation. If transformation in values, expectations and accountability demand that higher learning institutions continuously evaluate their purposes to help societies meet their challenges (Schlotzer 2002: 2), what data collection methods should they use?

In the cases whereby some elements of performance in units cannot be translated into numbers, evidence of activities that cannot be quantified should be reported in narrative form (McGill University 1998: 4). Despite criticism made against qualitative methods, their proponents regard them as appropriate for the evaluation of teaching where interaction is essential for a situation to be understood and the context is described convincingly (Waghid & Le Grange 2003: 7; Ashcroft & Palacio 1996: 11). According to these authors, the teaching and learning situation requires interpretation by those involved. It therefore cannot be separated from subjectivity.

Besides the criticism on the data collection methods, the relation of methods to the purpose for which data is collected, is also important in performance evaluation. If the data is collected to develop scholarship of teaching, teachers' accounts of their experiences and their skills deficiencies have to be considered as valid proof, since they are involved in the act of teaching. But, in the case where information is collected to verify effective performance and for comparison and rating, quantification may be essential. The implication is that data collection methods should suit the purpose for which data is collected. While self-evaluation data is considered unsuitable evidence for rating staff for purposes of promotion, it is found relevant for scholarship development (Fisher *et al.* 2000: 11; McGill University 1998: 4). Nevertheless, a combination of methods (quantitative and qualitative) to increase reliability and validity is essential. A performance management system has to indicate and evaluate the purpose for which appraisal is conducted and the appropriate methods for gathering the type of data that will be used as evidence of staff accountability. Therefore, a performance management system has to indicate whether self-evaluation data is a reliable evidence for staff accountability to the profession and a valid and reliable measure of academic staff performance.

At the institutional level the evaluation of academic staff accountability is considered in relation to professional autonomy. On the one hand, management expects academic staff to provide quality service and to account for the resources invested in the delivery of educational services. This implies that staff can be effectively accountable if authorities provide an enabling culture for performance in terms of financial and material resources. On the other hand, staff are to account to the academic profession. In this case also, management has to provide conducive conditions for staff to practice effective methods (Schlotzer 2002: 1) including freedom and space for experimentation. According to McGuinn (s.a.: 2), the institutions must ensure that accountability and professionalism are possible by not interfering in professional autonomy. The implication of their concern is that while staff have to account to management, the latter likewise has to set up systems to enable staff to account. The role of a performance management system in this case is to reflect the extent to which management supports staff to be effectively accountable. In addition, the system has to indicate the degree of professional autonomy granted to staff to be innovative. The system should reflect scholarship deficiencies that may deter effective staff accountability.

The concept of accountability is also associated with autonomy. Increased institutional autonomy, however, implies greater accountability (Favish 2003: 24). The accountability/autonomy relationship also gives way to conflict. The growing level of control by governments over institutional decisions, in the name of accountability, is seen as a threat to institutional autonomy and academic freedom. The role of a performance management system will be to find out if financial and material resources are available to enable staff to be effective in order to meet accountability requirements.

The development of the scholarship of teaching for the effective delivery of content is crucial in discussions on the teaching profession. This need arises from an awareness that teaching in higher learning is not always effective, since lecturers are rich in content but not in theories of learning and strategies of teaching (Ballantyne *et al*, 1999: 1 of 21). According to these writers (1999: 1), poor teaching has resulted in the decrease of funding in Australian

universities, causing lecturers to teach more students, using scarce resources. Through the development of the scholarship of teaching, academic staff can be able to integrate into teaching and learning the required outcomes (Thomas *et al.* 2003: 183). Management within higher learning should provide opportunities for staff to develop teaching scholarship in order to relate content to reality, hence meeting the demands of society.

Accountability to the profession can also be ensured through self-evaluation. Self-evaluation can be undertaken for the purpose of scholarship development and accountability (University of Cambridge 2002: 2; UNESCO 1997: 8, 9). However, the tension exists between these two purposes. Self-evaluation includes making judgements about performance or behaviour and accountability entails using such judgements for the allocation of rewards or punishments or resources [Centre for Higher Education Research and Information (CHERI) 1998: 12]. While self-evaluation data can be used for purposes of accountability to stakeholders, a developmental performance appraisal system has to highlight the importance of such data for scholarship development. In addition, the system should indicate whether management has used such data effectively.

The opportunity that accountability provides for performance management lies in the relevance, validity and reliability of pertinent information to assist decision-makers to initiate change (Harvey 2001: 2). The first question to ask is whether decision-makers find data relevant for the assessment of accountability. A clear purpose for gathering data would rectify the problem of relevance. The second question is whether decision makers use data to its full potential in decision-making or leave it to gather dust on shelves (Harvey 2001: 1). If the effectiveness of performance management lies in the relevance of data and its full use, the envisaged change through performance management cannot be realised if data is irrelevant and is not put to its full use.

Self-evaluation data gathered from student, peer and individual evaluation is considered effective to ensure excellence in teaching and enhancing the status of teaching compared to research (Zufiaurre 1999: 163). The research findings support an assertion that teaching evaluation has an effect on subsequent teaching performance, in particular if augmented by consultation and if incorporated in personnel decisions (Johnson 1998: 1). Teaching evaluation provides a forum for democracy that caters for student participation in governance; provides feedback for improvement of teaching; and is a reliable means of presenting teaching performance for summative purposes (CIDR 2003: 1).

While the impact of self-evaluation is reflected by the improvement in instruction, the impact of institutional evaluation can be realised in the ability of an institution to set missions, policies, goals and systems, collectively agreed through involvement of the academic community in order to address the needs of those to whom the institution is accountable (Loder 1990: 17). The implication for the agreed mission and goals is that staff will cooperate with management to ensure that the strategic goals are achieved. For the institutional performance management to be considered effective, it has to furnish data on whether institutions achieve their missions (Schlotzer 2002: 1).

2.2.4.2 Accountability to stakeholders

Not only governments demand accountability, but also non-governmental groups such as students, faculty, staff, parents, donors, business and professional associations are concerned (Halimi 1998: 7; Alt 2002: 9). The critical question that the various stakeholders in Lesotho ask, is whether the return on education justifies the large allocations (Kingdom of Lesotho 2003a: 7). The Minister of Finance's critical question in his budget speech was whether it is worthwhile for the Lesotho government to allocate more money to higher education when output was small and quality unacceptable worldwide (Kingdom of Lesotho 2003a: 7). Each of the different groups has different expectations from higher education. These expectations cause problems for higher education to set objectives that cater for all demands. A clear mission statement and objectives for each institution can form a basis

for institutional evaluation. A performance management system is necessary in this case to indicate required standards of performance that fit the missions and objectives of the institution concerned. The system has to reflect factors that may cause ineffective performance of academic staff. However it seems academic staff consider performance management as an infringement to their professional autonomy and freedom, which underlie academic judgements concerning what to teach or research (Hort 2001: 5).

2.2.4.3 *The relationship among accountability, access and funding*

One important consequence of accountability is that higher education has to produce quality despite the high increase in student numbers. As indicated, the growth of higher education from an élite to mass paved the way for more accountability in the USA, the UK and Australian universities. Increasing numbers of graduates mean that government and society need to know whether academics have the skills and knowledge required to be effective (Woodhouse 2000: 21). The role of a performance management system is to indicate whether academics can produce quality in spite of the high student numbers and whether through scholarship development staff can be efficient.

The increasing social demand for higher education in Lesotho, which may be a cause for inefficiency, can be attributed to the existing employment prospects for graduates of these institutions. Most of the Basotho perceive a higher education qualification as a means of emancipation from poverty (Kingdom of Lesotho 2003a: 7). The Basotho consider it rewarding to invest in it. If higher education institutions do not perform according to expectations, they must provide substantial reasons. A system of performance management can assist higher education institutions in Lesotho to highlight factors that hamper efficient performance. In addition, through the use of the system, strategies can be developed to assist academics to cope with increasing demand.

Accountability can also be related to funding. As consumers of higher education, governments in particular, experience a decline in their economies; they exert stringent control measures on the utilisation of funds (Texas Higher

Education Coordinating Board 2003:1; Higher Learning Commission 2001: 1). Academic institutions, and hence academic staff operating within them, are to account to stakeholders for the services they provide to justify for the funds utilised. Accountability involves assessment of performance, rating against the established standards (HEFCE Publications 1999: 1-2) and taking action on performance rated below standards (McGuinn s.a.: 4). Committees set up by governments to assess quality in teaching have found performance inefficient. This has caused academics to feel threatened by this external assessment, since they consider themselves more accountable to their peers within their disciplines than to external assessors. The assumption based on this threat is that the inefficiency in performance will result in the reduction of funds.

If institutions of higher learning show responsibility in the delivery of services, the public can trust them to exercise professional autonomy. The discussion that follows indicates that accountability and autonomy are related concepts, yet emphasis on one while neglecting the other, is not advisable. Emphasis on accountability leads to compliance, while emphasis on autonomy causes staff not to take cognisance of the problems of their contexts. It is necessary that higher learning institutions should balance needs for accountability and autonomy for purposes of national development. Through scholarship development, as discussed in Chapter four (see 4.5.2), academic freedom can be promoted and hence autonomy, that forms the focus of the next discussions.

2.2.5 Autonomy

Autonomy as a contributing factor in performance management is an issue that raises debate. Arguments support that professional autonomy should be stimulated within higher education (UNESCO 1997: 11). But such arguments further indicate that autonomy be accompanied by responsibility and accountability. Autonomy correlates with accountability, but these two terms could sometimes be regarded as opposites that cause conflict. This conflict brings in other pivotal issues. For example, the declining public confidence in higher education implies that autonomy is viewed as a cover for self-interest, arrogance, indifference and inefficiency.

The demands for autonomy are designed to thwart change and protect the privileged élite. The argument for autonomy becomes a tool for both the advocates and the critics for change. On the one hand, institutional autonomy provided universities with absolute freedom, which might imply that institutions do not change in directions that are useful or productive in a larger national context. On the other hand, governments' decree might inhibit differences among institutions, which can be as unproductive as unregulated institutional autonomy. Institutional autonomy implies that the "conversations in which teachers, researchers, examiners and reviewers are engaged must be unconstrained, if those interventions and contributions are to bear the weight of personal ownership and accountability" (Barnett 1990: 79).

Accountability and autonomy are related concepts. Since the state intervenes in funding higher education institutions, it requires these institutions to account by being responsive to social demands. The state, however, requires effective management as reflected in the UK and the European universities (Hostmark-Tarrou 1999: 5 of 15). This relationship places higher education under authority and obligation to the state, which encourages evaluation of individual performance. The threat is that staff may consider the evaluation of individual performance as an infringement on their professional autonomy (Webb 1996: 15; Taylor *et al.* 1998: 7 of 14). They consider external evaluation as an intrusion upon their academic freedom and profession.

Authorities in higher education have to devise means by which to eliminate the threat posed by appraisal on staff performance. One way could be to ensure that professional development opportunities are included in the design of a staff performance management system. Staff will consider appraisal and development as complementary components of accountability and professionalism (Hannagan 1998: 219; Trinczek & West 1999: 348). But if performance is imposed through bureaucratic regulations, it is seen as a threat to professional autonomy. It is advisable therefore that management should find the means by which to reduce the threat of appraisal from staff (see 5.7).

In British and Australian universities, appraisal is rejected due to the general mistrust of methods and distrust of the reliability, validity and relevance of the findings to which they give rise (Partington & Brown 1997: 3; Taylor *et al.* 1998: 4 of 14). The fear for appraisal arises from an assumption that, as institutions strive to meet government demands for accountability, they may not concentrate on their diverse and contextual demands. However, despite the weaknesses expressed about appraisal processes as a hindrance to autonomy, appraisal is regarded as a legitimate process that enables management to cooperate with staff to achieve strategic goals (Fisher 1996: 21).

The state, supported by the right to ensure effective and efficient use of resources and, as a guardian of social interests in education, requires higher education institutions to account for services rendered (Loder 1990: 2). The government concern on prudential management of funds (Hannagan 1998: 333) and on deteriorating standards due to the expansion represents a shift from collegiality to accountability (Kogan, Moses & El-Khawas 1994: 24). However, for the maintenance of good performance, higher education has to ensure that good features of collegiality such as self-initiative and intellectual freedom are not discarded as other forms of governance take over (Kogan *et al.* 1994: 24). The demand of academics to exercise academic freedom causes them to be seen to reject regulation, since it leads to close control of behaviour.

An effective appraisal system has to indicate if there is congruency between acceptance of autonomy and rejection of accountability on the part of professionals. It must also reveal if there is an understanding among professionals of the co-existence of autonomy and accountability in issues of efficiency and effectiveness. The discussions turn to technology and its relationship with performance management.

2.2.6 Technology

The impact of technology on higher education institutions has a profound effect on the structure of higher education. Computer and information technology have enhanced the ability to carry out research. The potential of technology to deliver high quality, more cost-effective education to students has not been fully disclosed. The revolution of information technology provides the possibility of extending the classroom to any part of the world, which has great potential for increasing access to higher education. Distance learning, instruction by interactive video and computer networking, are among the many technological tools to revolutionise higher education in the sense that new patterns of communication and learning are emerging (Sporn 1999: 6; Webbstock 1999: 1).

Technology transfer is another area of importance. Institutions increasingly support activities that help to translate basic research findings into marketable products or services through development offices, spin-off companies and capital investments in start-up companies where faculty members are involved (Sporn 1999: 18; Barnett 2000: 23; Currie & Newson 1998: 278).

A shift to mass higher education demands a search for alternatives to teacher-centred learning for economic reasons (Kogan *et al.* 1994: 40). Mass education implies a diverse group of students with diverse needs that call for a variety of lecturer approaches to cater for their needs. This shift from a teacher-centred to student-centred approach to learning is supported by the use of information technology (Williams & Loder 1990: 74). Though it is not established whether the use of technology reduces education costs and

consumes time in material preparation, studies show that it can be beneficial to students for reinforcement of material to be learned. In addition, technology can also assist in preparation for assessment and reduce the student-teacher ratio (Kogan *et al.* 1994: 40).

The advance in information technology, though it cannot be a replacement for instruction, poses new challenges to academic activity, in particular teaching (UNESCO 1998: 26; Kogan *et al.* 1994: 41). Access to information technology introduces a shift in emphasis from a teacher as an expert and a repository of higher order knowledge to a participant in learning new modes of presentation and preparation of materials (Schuller 1991: 17; Kogan *et al.* 1994: 41).

Realising that information technology can have effects in curriculum and teacher presentation, how can academic staff performance appraisal influence a change in information technology? Schuller (1991: 93) proposes that teaching should be informed by appropriate, practical and applied research to make lecturers aware of the industrial, commercial and cultural excellence in practice, which exists in the external world. As expressed above, lecturers become participant learners.

Lecturers as participant learners continuously assess their performance to align it to the agreed performance levels. The self-evaluation with the intent to improve practice, is in congruence with a performance management system based on scholarship development as discussed in Chapter four. The continuous self-appraisal does not only enhance skill and knowledge transfer, but it is also a forward-looking process in developing skills and competencies of lecturers (Thomas *et al.* 2003: 177, 183; Ballantyne *et al.* 1999: 3 of 21). The scholarship of teaching is enhanced through self-evaluation. Criticisms is made regarding the validity of self-evaluation data as discussed early in this chapter under accountability for the academic profession and in Chapter four under evaluation of scholarship (see 4.5). In an attempt to avert criticism, peer and student evaluation, including 360-degree, can be used together with self-evaluation data to obtain a holistic view of lecturers' performance. A

performance management system has to ensure that data from various sources are used in the evaluation of academic staff performance.

Another assumption could be that the establishment of proper management information systems is a necessary prerequisite for an efficient academic staff performance management system. Loughridge (1996: 7) considers the management information services as critical factors for academics to achieve excellence in performance. The widespread use of information technology demands institutions to have advanced information technology. It is essential to have a support infrastructure in the form of guidelines and training for staff to use the technology (Leach 1997: 3). Training can enhance staff use of technology.

2.2.7 Internationalisation

The universities are expected to achieve local and international demands through the application of knowledge. These institutions are becoming active players in the epistemological openings in the wider world (Barnett 2000: 21). Knowledge is international in the contemporary world and is available to those who can communicate with the rest of the world. Communication and knowledge have significant implications for competitiveness, economic development, scientific discovery and the exploration of the limits of human knowledge. It holds the promise of discovery and suggests the implications of new ideas and approaches.

These developments herald a structural shift in the economies of industrialised countries to the post-industrial or knowledge-society phase of development. In this regard, knowledge becomes the prime motor of economic growth (Jacob 2001: 11). Through knowledge transfer and application institutions of higher learning assist societies to address their problems. The implication is that the most sought after knowledge producers are those with great capacity for transforming academic knowledge into application by resolving practitioners' problems and/or using practitioners' problems and knowledge as a basis for theorising (Adler, Hellstrom, Jacob & Norrgren 2000: 125). The new knowledge system implies collaborative

partnerships, which involves researcher(s) and practitioner(s) in an iterative dialogue around problem construction and solution implementation.

Nevertheless, the demands for higher education to respond to both national and international requirements place academics in a dilemma. The academics within universities are expected to preserve culture and to promote internationalisation in order to be competitive (Hall, Woodhouse & Jermyn in Strydom *et al.* 1997: 409). The problem is the extent to which they should be international while they maintain national relevance. There are arguments for and against internationalisation. Arguments in support of internationalisation indicate that it provides students with the best world practices (Currie 2003: 20). But it is criticised for making students to adjust to global culture and for not considering the diverse backgrounds to which they are to return for employment.

The second criticism is that it is based on business principles and its intention is to provide qualifications in exchange for money. Research confirms that higher education institutions use globalisation as a source of funds (Currie 2003: 22). A study of further education staff revealed that the staff perceived money as the motive for the internationalisation process in their institutions (Currie 2003: 20). Universities have to strive for a balance in coping with national and international demands.

Both national and internationalisation demands are a source of transformation in the institutions of higher learning. Transformation could happen from within, in an effort to respond to growing societal needs and limited resources. But it is more likely that new markets, new technologies and new competition will be the source for transformation in higher learning (Currie 2003: 20). In this regard, the institutions most at risk will be those that are constrained by tradition, culture or governance (Duderstadt 2002: 297). Considering this situation, how can a system of academic staff performance management assist universities to cope with both local and international demands on efficiency without running the risk of placing emphasis on one at the expense of the other?

A system of performance management that emphasises the formulation of clear goals that academic staff are to achieve could be a solution to the dilemma. The principles of performance management require that assessment of staff performance should be based on clear goals (Mullins 2002: 701; Bratton & Gold 1999: 231). This implies that academic staff have to know the international standards, which form a base for their evaluation.

While in industry goals and standards are clear and can be applied internationally, in higher education they are not. The standards in higher education are influenced by the context. For example, the level of the economy in a country affects funding of activities in its institutions of higher learning. The higher learning activities in developed and developing countries are funded differently, hence the institutions in these respective countries will differ in performance. This implies that the standards applicable in higher learning institutions of the developed countries cannot all apply to those of the developing countries. What are the international standards that the universities should achieve?

There are contradicting views with regard to the international standards that universities should aim to achieve. There are those who perceive international standards not only as a threat to national values but also as a concept derived from industry whose goals are different and hence unfit for universities (Currie 2003: 22). The argument is that the focus on international criteria may derail institutions of higher learning from their mission. Others contest that the demand that universities should contribute to economic development propels them to adopt managerial and entrepreneurial approaches (Castle & Osman 2003: 107). The conflict in ideas on the promotion of national values versus internationalisation poses a dilemma that causes us to turn to scholarship as a criterion for assessing teacher performance. The source of the dilemma is that universities are expected to meet local and international demands; demands which may be in conflict.

An important assumption based on the above-mentioned challenge is that staff performance management will play an important role to prepare

academic staff to meet the required criteria. Performance management whose purpose is scholarship development can transform higher education to respond to social needs (Austin 1998: 17). Through the development of the scholarship of application, academic staff can enable universities to cope with the changing environment and be efficient. The importance of scholarship development as a fulcrum for staff performance management will be discussed in Chapter four (see 4.5.2 and Table 4.3).

2.3 THE INFLUENCE OF STAFF APPRAISAL ON EXTERNAL AND INTERNAL CHALLENGES

When considering the above-mentioned forces of change, how can institutions cope with the ever-increasing, demanding external environment? Why should staff appraisal play an important part in addressing these internal/external influences? There is wide agreement that quality staff is the most important factor in the pursuit of excellence (Strydom & Van der Westhuizen 2001: 85; Hannagan 1998: 68). Staff appraisal could also be regarded as an important lever of change together with staff socialisation and development, leader socialisation and development, student development and involvement, support staff socialisation and development, and rewards and incentives. Given the challenges facing academic staff, a systems approach to institutional transformation conceptualises the socialisation and development of academic staff in a strategic way. It perceives it as an opportunity to help faculty members understand their role and place within the central mission and vision of the institution. This necessitates academic staff support in gaining skills and abilities required for achieving the change and transformation goals (Austin 1998: 12).

Higher education institutions, as organisations, can benefit from a successful appraisal scheme, because of improved performance throughout the organisation due to more effective communication of the organisation's objectives and values. Through performance appraisal, managers will be better equipped to use their leadership skills and to motivate and develop their staff. Other benefits are, for example: expectations and long-term views can be developed; training and development needs can be identified more clearly,

and a culture of continuous improvement and success can be created and maintained as will be discussed in Chapter five under planning for appraisal (see 5.4; 5.4.2; 5.4.3; and 5.9.3) including, (Fisher 1996: 16; Schofield 1996a: 5 of 7).

2.4 THE IMPLICATIONS OF THE EXTERNAL AND INTERNAL FACTORS ON PERFORMANCE MANAGEMENT SYSTEM

There are important issues that arise from the discussions on the relation between performance management system and the external factors. The assumptions drawn from the discussions are that, for a system of performance management to be sustainable, its underlying principles and purposes emerging from the institutional context should be known to staff. Secondly, the procedures for performance management have to be stipulated to gain support from staff. Thirdly, the system of performance management has to clarify criteria for evaluating staff performance.

2.5 CONCLUSION

This chapter has indicated that the external and internal factors affect academic staff performance. The emphasis is that, due to these factors, universities do not efficiently account to the demands of their contexts (Pretorious 2001: 74; Bruyns 2001: 14). The inefficiency necessitates a control mechanism to ensure efficiency and effectiveness (Kogan *et al.* 1994: 1). The performance management system as a control measure has proved unsuccessful to improve staff performance due to its dual nature (Malherbe & Berkhout 2001: 63; Coens & Jenkins 2000: 55). Aware of this limitation in performance management, it is suggested in Chapter four that scholarship development be linked with developmental appraisal to ensure that academic staff members are equipped with skills to achieve strategic goals of higher education institutions (see Table 4.3 and 4.5.3). The assumption is that emphasis on the development of staff skills and competences will result in efficiency of institutions of higher learning.

The next chapter deals with the management of a system of academic staff performance management. It suggests a holistic approach towards the

management of academic staff performance. The aim is to ensure that the individual and the institutional goals are aligned to enable the higher education institutions to respond to the internal and the external demands for efficiency and relevance.

CHAPTER 3

THE MANAGEMENT OF AN ACADEMIC STAFF PERFORMANCE APPRAISAL SYSTEM

3.1 INTRODUCTION

In view of the external and internal demands for efficiency and effectiveness in institutions of higher learning, the management of staff performance is imperative. It is desirable to find the type of performance appraisal system suitable to assess efficiency without demotivating staff. In recognition of the importance of a performance management system in influencing change in staff performance, the following points will be discussed: The origin and the underlying principles of staff performance appraisal system are considered as a crucial base for the decisions on the type of a system that is to be introduced. The discussions reflect that the culture of an institution has an influence on the success of an appraisal system. The concern is also whether an appraisal system can enhance staff development. Another concern is with regard to the influence of appraisal on self-evaluation. In addition, the chapter considers whether a performance management system can influence a change in staff performance. The origin and purpose of performance management will subsequently be discussed.

3.2 PERFORMANCE APPRAISAL AND PERFORMANCE MANAGEMENT

The origin and the purpose of performance appraisal are discussed to establish its roots and the reasons for its institutionalisation. Considering its origin, meaning and purpose, its relevance in higher education institutions is an issue under debate. On the one hand it is considered to be inapplicable while, on the other, it is regarded as an essential control measure to influence a change in staff performance.

3.2.1 The origin of academic staff performance appraisal

Staff performance appraisal, as used in the corporate world, was adopted in education and became established in universities (Warner & Crosthwaite

1995: 73; Quinn & McKellar 2002: 74). The intention of introducing performance management in the corporate world was to ensure a continuous and an integrated approach to management and to reward performance (Armstrong 1997: 234). In education the adoption of the values and practices found in the business world was exacerbated by the advent of accountability in institutions of higher learning. However, the use of performance management strategies applicable in business are highly criticised if applied to education (Warner & Crosthwaite 1995: 85).

There are underlying reasons for this criticism. One reason is that education has different cultures, traditions, structures and financing arrangements compared to industries (Parsons & Slabbert 2001: 75). In addition, the outcomes of education and industry differ greatly. While in industry the quality of inputs and outputs is controlled, in education the quality may not be predetermined due to contextual changes in policy on access and funding.

The other cause for criticism is the validity and reliability of instruments used in assessing performance. Castetter (1992: 161) questions the reliability of appraisal procedure to produce constant results while a similar approach is used. Parsons and Slabbert (2001: 78), writing on academic work loads, support Castetter's (1992: 161) opinion that any workload determination system must be so designed that it produces constant results. In summary, critics of appraisal consider it inappropriate in education, whose structure and aims are different from those of industry. It is also criticised for its underlying bureaucratic principles, which conflict with the democratic principles that emphasise competence (Chetty 2003: 14). Therefore, what are the prerequisites to consider in the introduction of performance appraisal to ensure its effectiveness?

There are precautions to consider in rating staff performance (Parsons & Slabbert 2001: 78; Castetter 1992: 161), some of which are first the validity of content of instruments used. If the validity of the instrument is questionable, so will the results of evaluation data collected through the use of such instruments (Ashcroft & Palacio 1996: 44). The second consideration is the

degree to which a selected measure of performance actually measures performance. This means that lecturers have to be evaluated on what they do. In this case their evaluation has to be based on scholarship, as will be discussed in Chapter four (see 4.2). In so doing criteria will correlate with job performance. Lastly, in rating performance, it is essential to consider the reliability of appraisal procedures to produce constant results.

If the purpose of evaluating the performance of academic staff is to be effectively achieved, it is essential to adhere to the principles (Parsons & Slabbert 2001: 78; Castetter 1992: 161). In the light of this assertion, an effective management of staff performance is dependent upon a clear criterion measurement, which must pass the test of reliability, sensitivity and practicality (Cascio 1998: 56). The implication for the emphasis on principles is that a performance appraisal system based on uniform and fair standards is considered acceptable in higher education.

Various other reasons caused higher education institutions to be involved in the appraisal of their services, in particular, the services of teaching and research. According to Johnes and Taylor (1990: 1) as well as Busher and Saran (1995: 39), higher education institutions in the United Kingdom (UK), for example, operated below expectation in the late 1980s. The expectations were that higher education should respond to the needs of the economy and be less dependent on public funds. In addition, higher education was expected to manage resources effectively and efficiently; be selective in the allocation of research funds; and keep pace with changes in technology.

However, due to the general public dissatisfaction about universities, measures were taken to establish the cause of the inefficiency. In the UK, for example, Jarrat was commissioned to investigate why universities did not produce essential skills and to identify a need for improvement (Bull 1990: 6). The investigations by Jarrat's committee revealed two concerns. The first was that the university placed less emphasis on the setting of priorities. Second, the annual review of staff was less regular, though it was intended to improve performance, enhance promotion and develop capabilities. Therefore, on the

basis of Jarrat's findings (Bull 1990: 5-11) and recommendations, including the agreement made in the 23rd Report of Committee A of 1987, formal academic staff performance appraisal was introduced in the UK with the intention to develop staff potential and improve staff performance. In addition, it was introduced to enhance career and promotion opportunities and also to improve the performance of the institution as a whole (Bull 1990: 7; Castetter 1992: 274).

The understanding drawn from the UK's intentions is that performance appraisal was regarded as an instrument to initiate change in staff performance, through identifying areas for improvement and rewarding good performance. The assumption was that the improvement of staff competences would result in the achievement of the institutional strategic goals (Bratton & Gold 1999: 32). Having discussed the origins of performance appraisal and performance management, the discussions that follow are intended to explain the reasons for a shift from performance appraisal to performance management.

3.2.2 Defining staff performance appraisal and academic staff performance management

A change in human resources management from the bureaucratic to the democratic approaches has resulted in a shift in the use of the concept of "performance appraisal" to "performance management". This is considered as a shift from the "hard" to the "soft" model of human resource management (HRM) (Bratton & Gold 1999: 32). The "hard" model refers to the increase in productivity while costs are minimised. This point correlates/corresponds with the demands by governments that universities should produce more with less, as discussed under the concept of access in Chapter two (see 2.2.1).

The "soft" model on the other hand is a recent approach to the management of human resources. To a large extent, it considers the success of organisations to be dependent on empowered and continuous learning staff (Bratton & Gold 1999: 32). This model can be associated with self-evaluation for purposes of scholarship development intended to achieve strategic

institutional goals. The assumption drawn from the soft model approach is that if the initiative to improve performance emanates from the individual and it is not imposed, learning may be sustained. A change from the “hard” to the “soft” management approach implies that there has been a change in practice. The question is whether a change in theory has resulted in a corresponding change in practice. Though survey evidence regarding human resource management (HRM) supports that HRM is strongly established in USA and UK organisations, there are doubts about methods applied in the evaluation of staff performance (Bratton & Gold 1999: 32). This implies that, in practice, the methods adopted in the management of staff performance have not changed to a democratic approach.

There has been no change to a democratic approach due to incompetent leadership. The success of performance management lies in the type of managerial framework and the competency of management to implement the system (Middlehurst & Elton 1992: 252; Arumugam 2001: 24). According to the authors, problems with management centre on knowledge, skills and motives of management. Managers do not distinguish between performance appraisal and performance management. In addition, they do not integrate performance issues into management decisions. As a remedy, a shared understanding of performance management among leaders and staff should be created through systematic outcomes-based performance management training programmes. It is also necessary to establish a communication strategy to influence a culture of high performance (Arumugam 2001: 24). The negative attitude, low self-esteem and the use of avoidance coping mechanisms result in failure to manage an appraisal system. If the system is not well managed, staff’s skill areas that need improvement may not be identified for development. Without development, staff may not cope with the demands and pressures of their environment. The institutions of higher education may also not meet public expectations. Through survey the researcher will find out the approach practised in Lesotho higher education institutions. The following discussions focus on the differences between performance appraisal and performance management.

3.2.2.1 *An explanation of performance appraisal*

In consideration of the above discussions, one would have a desire to understand what performance appraisal is. Castetter (1992: 253) and Mullins (2002: 700) define “performance appraisal” as a continuous managerial process of reaching judgements about staff’s previous and present performance based on the work situation and on its future potential for the organisation. It is a management tool used to measure, monitor and control staff performance as a proof to stakeholders that management is efficient (Bratton & Gold 1999: 214). Bratton and Gold (1999: 214) add that it is a process whereby information is processed for decisions on improving performance, identifying training needs, managing careers and setting levels of rewards.

Performance appraisal is also a process of reaching judgement about the worth and value of individual performance. The process can be conducted informally as well as formally (Stoner & Freeman 1989: 349; Mullins 2002: 701). Informal appraisal, carried out on a daily basis, provides spontaneous feedback on whether a task was carried out well or poorly. The importance of such feedback is that it quickly reinforces the desired behaviour, while the undesirable behaviour is corrected before it becomes implanted.

What then does formal performance appraisal embrace? Performance appraisal as a process is explained as a series of integrated activities intended to enhance and maintain effective academic staff performance. It is considered a wider and more comprehensive natural process of management (Armstrong 1997: 235). As a formal process, it involves a series of steps undertaken to determine individuals’ capabilities to carry out responsibilities within their environment of operation. This process also includes their future capability to improve for their benefit and the benefit of their organisation.

The formal performance appraisal is a five-step procedure. The first step concerns a shared institutional vision and mission with all employees. At this stage the employees are made aware of the vision of the institution. The display of the mission to the notice of employees can serve as a continuous

reminder. If staff know the mission, it is assumed that they will work towards its achievement.

The second step is the precision in the definition and measurement of performance in relation to organisational objectives. It is essential to indicate how performance will be measured. Due to differing expectations on academic staff performance, the criteria for evaluating their performance is a highly contested issue. Boyer (1990a: 8) argues that activities of academic staff, which are also the objectives of universities, should have equal chances in assessment. Besides an equal treatment in the assessment of academic roles, the purpose of assessment should be to have a regular review to identify a need for training.

The third step is to conduct a regular review of performance with the intention to identify training needs, career development and possible reward. The review helps to check bottlenecks that deter performance on time. The fourth issue is that content and measurement of performance should derive from internal and external outcomes. The fifth step is to ensure that performance management incorporates both the informal and the formal procedures of performance assessment. While performance assessment can be informal, staff should be formally appraised. Both informal and formal appraisals are important in the assessment of staff since they provide complementary information. The performance appraisal system should incorporate a formal process for investigating and correcting for the effects of situational constraints on performance (Hannagan 1998: 219).

This formal explanation of performance appraisal indicates that evaluation of performance is done with the intention to provide staff with the capability to perform. Armstrong (1997: 237-238) clarifies the meaning of performance management as he indicates elements to be considered in implementing performance management. According to him, it is imperative to have objectives and clear standards of performance; performance measures and indicators; staff competences and corporate core values or requirements. The

benefit of this transparency is that staff will know the standards by which their performance is evaluated.

Performance appraisal can also be explained as a system with dual intensions. According to the Department of Education: RSA DoE (1999: 9) performance appraisal implies making judgements and decisions on the quality or effectiveness of a programme, project or set of actions. There are two types of appraisals: the judgemental or summative, and the developmental or formative. Judgemental appraisal is criticised for its tendency to stress the negative rather than the positive aspects of performance and its regard of self-evaluation data as insignificant in decisions on staff performance. This lesser regard for self-evaluation data is based on the belief that people are "vulnerable to a measure of self-deception" (De Vries 1997a: 97) and as such they cannot critically assess themselves. On the contrary, developmental or formative appraisal focuses on both the good and the undesirable aspects of an individual's performance, with the intent to develop the weak areas (James 1995: 186). The success of the purpose of development relies on authorities to take action on appraisal data. Despite its desirability, appraisal is unpopular with appraisers and appraisees.

The purpose and underlying principles of appraisal make it unpopular. For example, appraisal is considered to be bureaucratic, to emphasise productivity without regard for a holistic view of the context in which the staff performs, and its use of performance indicators as unacceptable (Layzell 1998: 200-201). It is also criticised for the use of invalid data as a basis for staff assessment. These shortcomings of performance appraisal raised criticism and resulted in a shift to performance management (Coens & Jenkins 2000: 4).

3.2.2.2 Staff performance management

A holistic approach to performance management is suggested. It is considered as an integrated approach to managing and rewarding performance (Armstrong 1997: 234; Hannagan 1998: 219). It is based on a competency framework (Bratton & Gold 1999: 214). Its emphasis on

development rather than on judgement differentiates it from appraisal. It relates to total quality management, since it is a holistic approach. Since it is competency-based, it is an appropriate system to use for scholarship development.

There are varying views on the importance of performance appraisal as a management tool. According to Mello (2002: 298), staff performance management- also known as performance evaluation or performance appraisal- is a necessary performance control measure. Authors such as Coens and Jenkins (2000: 4) indicate their disappointment with performance appraisal and suggest that performance appraisal be abolished. But it seems performance appraisal is necessary for the improvement of performance.

In this era of globalisation when institutions strive towards a sustainable competitive advantage, a developmental performance management system is essential (Cattell 1999: 137; Bratton & Gold 1999: 214). Performance management measures are needed for three reasons (Mello 2002: 298). The first reason is that performance deficiencies are addressed in a timely manner through employee development programmes that meet the changing needs of the organisation and its market. This means that performance problems are quickly detected and action is taken to rectify faults.

The second role of performance management is that employee behaviours are channelled in the appropriate direction towards performance of specific objectives that are consistent with the work unit and organisation's strategy. This is made possible through involvement of staff in setting strategic objectives. It is questionable whether management involves staff in setting objectives. According to Bratton & Gold (1999: 214), with the exception of the UK, the human resource is not represented in the formulation of strategic plans in the European Union. The implication is that the theory of involvement has not set its foothold in practice.

The third role of performance management is that employees are provided with appropriate and specific feedback to assist with their career development. This implies that representative, sufficient and relevant information must be available for performance management decisions (Mullins 2002: 701). However, due to the challenge on appraisal methods and the fact that data is open to different interpretations, there is doubt on the use of information (Bratton & Gold 1999: 32).

Staff performance management is becoming more of a strategic issue in higher education institutions. The higher education institutions consider appraisal as a strategic performance control measure in order to ensure that they respond to the demands and challenges of their contexts. Through performance management these institutions can have a holistic picture on staff performance and avoid a one-sided bureaucratic approach.

3.2.3 The purpose of academic staff performance appraisal

It is essential that academic staff members should know the purpose for which appraisal is intended so that they should align their performance objectives to it. It is noted that most evaluations are a waste of time unless they clarify the purpose they are intended to serve, and this usually means clarifying whose purposes are being served (Thackwray 1997: 11; Mullins 2002: 700). Performance appraisal is seen to serve a dual purpose of judgement and development (James 1995: 187). The judgemental purpose of appraisal is intended as a control measure to ensure compliance to rules and regulations and as a support for accountability to institutional pressure groups (Ashcroft & Palacio 1996: 37).

Though the judgemental purpose is necessary for control, it must be used with caution, since it can be detrimental to staff performance if staff participation is ignored. Performance appraisal may also serve judgemental, administrative purposes of equitable distribution of employment advantages (Ashcroft & Palacio 1996: 105). According to Mullins (2002: 700), judgemental performance appraisal is characterised by the use of standardised data for comparison, as well as the use of numerical data in recording results.

The judgemental purpose makes academics to be resistant since they have to participate in formal appraisal interviews. The pressure exerted through appraisal procedures forces them to focus on short-term perspectives, isolates them from their colleagues and curtails their chance for a sustained reflective practice (Down, Hogan & Chadbourne 1999: 17). The judgemental purpose has to be implemented with caution so that it should not be detrimental to the efficiency required from academics.

Besides being judgemental, performance appraisal also serves to improve the individual and the team. Warner and Crosthwaite (1995: 73) agree that there is an interdependent relationship between performance appraisal and staff development. They add that the developmental purpose of appraisal is cooperative, since it serves the individual and the team. It also considers a number of variables that contribute to teacher performance like instructional resources, students and support by management. However, critics argue for the interdependence of the two purposes of evaluation, showing that external evaluation is essential to motivate internal efforts to improve performance (Westerheijden 1997: 275).

One of the purposes of performance appraisal is professional development. According to Partington and Brown (1997: 5), appraisal provides information through the use of portfolios for personal career development planning. The Committee of Vice Chancellors and Principals (CVCP) (Bull 1990: 37) is also in support of appraisal for development by indicating areas in which appraisal develops staff.

The first example is by identification of changes in the organisation or operation of the institution, which would enable individuals to improve their performances. In this case management should provide opportunity for staff by assigning responsibility for staff to apply scholarship. It is a leadership function to assign challenging tasks that are in line with the mission of the institutions so that staff can improve and show capability. The assigning of tasks to academics so that they achieve missions and demands of stakeholders is in conflict with professional autonomy (see 2.2.5), which considers academics as self-regulating and disciplined professionals responsible to assess their practice (Timperley & Robinson 1998: 162). Academics prefer to account to their peers and are afraid to lose autonomy to external bodies, which may not focus on their development that promotes efficiency.

The second purpose is to improve the efficiency with which the institution is managed. Efficient management implies proper utilisation of resources, including human resources. The management has to put in place staff with the necessary skills. This means that, from the recruitment stage, there has to be proper selection of staff. Management has to ensure that it develops staff to improve. Through the development of staff efficiency in an institution improves (Fielden 1998: 3-4).

3.3 STAFF PERFORMANCE APPRAISAL AND INSTITUTIONAL MANAGEMENT

The role of performance appraisal in influencing academic staff performance has been discussed. The importance of the contributions of staff towards the achievement of strategic goals was also discussed. Staff performance is a crucial factor in the achievement of the mission of an institution. The type of management in an institution affects staff performance.

What do we understand by good institutional management? Institutional management is first of all to direct a particular task or a total enterprise. To be more particular, institutional management is to direct individual(s) who work with and through people who administer facilities, funds, materials and other

resources to achieve institutional goals (Sanyal, Martin & D'Antoni 1996: 14). Institutional (strategic) management includes the following functions: planning, implementing (organising), evaluating and reviewing/improving (Strydom & Van der Westhuizen 2001: 28). Staff performance appraisal linked to institutional (strategic) management implies first of all a basic framework for staff performance appraisal planning and criteria that might start the preparation of the institution for the external pressures related to staff performance.

It is important to stress that performance management needs to be integrated with the organisation's strategic objectives. Goal alignment alone amounts to having a good map of the route, but not providing the drivers (staff) with any good reasons for embarking on the trip. Without performance management, it is impossible to determine whether staff are on track (Summers 1999: 3).

One concern is for whom appraisal is intended. This has to be reflected in management plans. In his findings, Bull (1990: 15) indicates that some staff members consider appraisal to be for others and not for themselves. He ascribes this understanding to the structure of universities whereby more people were appraisees (people who undergo appraisal), while few were appraisers (those who appraise). Due to this phenomenon, appraisal was conducted in two parts. The first part was for appraisees and the second part for senior members of staff. While some members at senior level were interviewed and found the interviews challenging, other appraisers believed that it was not for them. However, Castetter (1992: 275) argues against an assertion that appraisal should only be for junior staff. His contention is based on modern views in organisations that performance appraisal should be applied to all members of staff, including the top structures of an organisation/institution. According to this view, all positions in the organisation's structure are linked to results, which are considered essential for the stability and viability of the institution. That being the case, it is the responsibility of the organisation to enhance performance of staff through performance appraisal to bring about the desired viability and also to reduce

any behaviour that is uncoordinated and hence counterproductive (Castetter 1992: 266).

Research undertaken in eight UK universities shows that appraisal was not only conducted for individual members of staff. It was also suggested that teams and departments should be evaluated to detect their contributions to the university. The argument raised was that departmental reviews were also critical for the success of the institution (Bull 1990: 37). Another benefit of group work is that a lot of work is done in academic institutions in groups; therefore groups need to develop skills of working collectively on work-related problems. However, Brew (1995: 9-10) expresses the opinion that individual appraisal systems tend to focus staff development attention on individuals, yet team development at all levels can contribute to the development of a learning organisation.

Team development enhances the skills of all members of the team. Tann (in Warner and Crosthwaite 1995: 53) expresses the opinion: that further and higher education institutions (FHEIs) recognise that important decisions can be made by solving problems and through decision-making by staff from other categories who bring intelligence and different skills to the group. In addition, shared training has demonstrated the value of group membership being balanced by different skills and attributes.

There are critical issues related not only to groupwork, but also to staff appraisal in general. These are the follow-up on critical points during staff appraisal, provision of training, lack of funds and time, untrained appraisers, delayed feedback, and the frequency of appraisals. Follow-up action is a crucial test for the sustainability of any appraisal system. Bull (1990: 23) reveals that appraisees were eager to find out how critical points were followed up. Similarly, the research findings by Haslam, Bryman and Webb (1993: 216-217) in four UK universities reveal that the discontent in the appraisal system emanated mainly from lack of follow-up arrangements by appraisers on action points raised and agreed upon during appraisal.

Follow-up on training was raised as another concern by appraisees. This concern is justified in view of the purpose of appraisal, which is staff development. Haslam *et al.* (1993: 217) highlights the concern of staff on follow-up action with regard to training. They indicate that identified training requirements are normally not fulfilled adequately, though reported to Staff Training Departments for action. If no follow-up action is taken appraisal will lose credibility among staff. The lack of follow-up can be attributed to various causes, as reflected in the research findings by Bull (1990: 59). He asserts that provision of staff development as well as training and putting mechanisms in place are imperative contextual arrangements to ensure that action plans will be carried out. Follow-up on training is an essential management activity that ensures success in the implementation of appraisal. Besides follow-up, funds are also needed.

The availability of financial resources determines the success of the implementation of appraisal. Funds are needed to ensure that some of the recommendations made during appraisal are effected, in particular the investment in scholarship development (Fielden 1998: 3). Management has to budget for anticipated training that appraisal may identify to emphasise its importance for both the organisation and the individual. However, some members of staff may not request training for fear of being considered weak, or due to their lack of commitment (Bull 1990: 42).

A lack of time for appraisers to conduct the process of evaluation effectively has a negative impact on the implementation of performance management. Time is needed by appraisers to train, prepare and conduct interviews (Bull 1990: 95). More time is needed depending on the number of appraisees. Concerning appraisers, Kogan *et al.* (1994: 4) relate the time factor to multiple tasks of the academic staff. They argue that time poses problems. According to them, the government pressure to enrol more students at low cost results in high student/staff ratios and increases the academic workload. Therefore, appraisal becomes an added responsibility on their already stretched schedules. This implies that appraisers may not do efficient work if sufficient time to carry out their responsibility is not allocated.

Untrained appraisers are also a source for the discontent among appraisees. A lack of training results in the poor conduct of appraisal and promises that are not kept. It also results in the delay to produce a summary of the interview results. Prompt feedback is essential for staff to correct faults, since the intention is to improve performance. Training on the implementation of appraisal is considered important as discussed in Chapter 5 (see 5.9.5). If management does not ensure that there is proper conduct of appraisal, staff will not address appraisal with the seriousness it deserves.

Appraisees are also dissatisfied about the frequency of appraisal interviews. According to the findings of Haslam *et al.* (1993: 217), annual reviews were frequent, bureaucratic and involved much paper work. Such reviews were also not suitable for academic staff whose work required more than a year before the review. The findings in British universities confirm that the frequency of reviews is detrimental to the quality of research (Bull 1990: 19). According to Bull (1990: 19), staff is pressurised to maximise the number of publications at the expense of quality, in preparation for annual reviews. If staff has to release many articles to qualify for promotion, quality may be jeopardised. Therefore, in this case, the performance review that is based on quantitative indicators does not contribute to the development of the scholarship of research. The purpose of appraisal, as discussed next should be the development of staff competences.

3.4 THE STAFF PERFORMANCE APPRAISAL SYSTEM AND STAFF DEVELOPMENT

Academic staff performance management and staff development should be complementary to ensure that the strategic goals of universities are achieved. The concern in Australian and British universities is that appraisal schemes are mostly developmental and qualitative in nature (Bull 1990: 25). An example of this assurance is reflected in the names that suggest positive approaches to allay fears. Considering that the purpose of academic staff performance appraisal is developmental, its purpose and procedures must support the development of staff competences.

Research findings in Australian universities reveal differences in opinions among academic staff on the management of academic staff performance appraisal at institutional level, with the majority of the academic staff being dissatisfied with the concept and process of appraisal (James 1995: 187; Lonsdale 1993: 224). According to the findings, staff considered appraisal to be imposed. Findings at the Melbourne University revealed that management imposed appraisal and that it was an intrusion on staff's limited time, despite the declaration in policy statements that performance appraisal is developmental (James 1995: 188). Taylor *et al.* (1998: 1 of 14) also support the view that appraisal is imposed, in their research on the impact of the Unified National System (UNS) on three Australian universities. According to them, mandatory regulations, linked to extrinsic rewards and intended to enhance efficiency and effectiveness of universities, infringe upon academic freedom and limit freedom on research and teaching.

Management, according to the above discussion, inhibits academic freedom. Freedom is curtailed through external dictates on contract research and in course design. Ballantyne *et al.* (1999: 10 of 21) argue against a limit to academic freedom by management. They express the opinion that instructing lecturers on what to do, undermines the complex context in which they operate. In support of this argument, Brew (1995: 35) advocates for action research whereby a teacher will be free to reflect upon preconceived ideas about teaching and inform practice, hence improving teaching and learning. Without academic autonomy, staff cannot effectively develop the scholarship of teaching (see 4.3.2). This will impact on their ability to transfer employability skills.

3.4.1 Issues involved in academic staff development

Two important issues are involved which relate closely to academic staff development. They are monetary awards and promotion. While the academics are expected to achieve the missions of their institutions, in turn they expect reward based on their performance. However, a comparative analysis of salaries indicates that academics are paid less compared to their counterparts in the private sector. A comparative analysis in Australian public

and private sectors undertaken for over a period of 20 years shows a decline in academic salaries, and hence a decline in financial rewards (Lonsdale 1993: 223). The same trend could be identified in New Zealand and the UK. The decline in salaries occurs despite government pressure on universities to perform.

The dissatisfaction about low salaries was exacerbated by government pressure for effective performance of higher education institutions through the introduction of performance appraisal systems. Nevertheless, the review of the Volcker Commission in the USA revealed a weak link between appraisal and monetary rewards (Lonsdale 1993: 224). This weak relationship indicates that the appraisal system does not serve as an incentive to higher levels of performance.

Staff are not only dissatisfied with the link between appraisal and monetary rewards but also with the link between rewards and the work-loads. Academics argue that due to workloads they are unable to meet the criteria for promotion. Parsons & Slabbert (2001: 74) also made an observation on the link between academic staff performance appraisal and development. They argued that the demands on academic staff were not compatible with their workloads. This affects staff motivation. Therefore a performance appraisal system has to ensure that expected performance is aligned with rewards. The criteria for reward are another concern regarding staff performance.

The success of a performance management system relies on fair rewards of performance. Concerns on promotion in the UK and Australia indicate that the basis for rewards is unjust (Lonsdale 1993: 231). A reward may be considered justified if it is based on clear criteria, documented proof and the context. In relation to criteria, staff have to know the content to be evaluated that will form a base for their promotion. Lecturers may be confused and unsure due to a variety of demands made on their performance by different stakeholders (Ballantyne *et al.* 1999: 1 of 21; Jansen, Habib, Gibbon & Parekh 2001: 32). A standard for assessing lecturer performance on different types of scholarship

will be discussed in Chapter four (see 4.3). The standard is considered justified, while it is also a solution to the diverse demands on lecturer performance.

Documented proof of scholarship is also an issue in performance management. Promoting committees should be provided with the documentation on teaching, research and community service. There are debates on whether self-evaluation data, including teaching portfolios, should be regarded as adequate proof of lecturer performance. The concern is that this data is narrative and subjective (lecturers' stories), so it does not justify that effective teaching has been done. This data is considered to be less convincing compared to qualitative data that justifies scholarship of research. However, quantitative data has to be seen through qualitative eyes (Nickols 2000a: 17).

This ongoing debate on the value and standard of research, compared to teaching, can be solved through performance management that clarifies acceptable evidence of performance for all types of scholarship (Boyer 1990a: 11). Only one form of scholarship can be evaluated at a time, considering that a lecturer's diverse responsibilities are performed within a limited time.

The above discussions on promotion lead us to consider the effects of extrinsic versus intrinsic rewards on staff motivation to perform. Extrinsic rewards meet staff expectations that hard work will earn them promotion. While promotion is considered an incentive to motivate staff to perform, it is criticised for its inability to sustain good performance compared to the long-term intrinsic rewards derived within the social context (Bratton & Gold 1999: 267). Nevertheless, there seems to be interdependence between external and internal staff demands for motivation. The lack of expected external rewards, which deter the receipt of intrinsic satisfaction, can have negative effects on performance. The extrinsic and intrinsic forms of motivation can be compared to the external, bureaucratic and political demands for accountability and the internal, collegial, democratic demands for autonomy. The similarity lies in their interdependence. The significance of this

interdependence of the seemingly opposing forces in performance management is that they should be noticed and used for the development of scholarship (Lonsdale 1993: 233; Minty & Bennett 2001: 22).

According to the principles discussed above, the intrinsic rewards are necessary urges to motivate staff for outstanding performance, though not sufficient. Hence they are to be reinforced with publicly recognised signals such as promotions (Cronje, Jacobs & Murdoch 2002: 34). Though the existing trend is to place emphasis on extrinsic rewards, it is advisable that management should consider the importance of both extrinsic and intrinsic sources of motivation (Lonsdale 1993: 234; Minty & Bennett 2001: 22). However, to ensure organisational change and good performance through work of individuals, it may be necessary to emphasise intrinsic and social sources of motivation (Armstrong 1997: 299).

One of the purposes for introducing performance appraisal is to provide a basis for self-evaluation (Schofield 1996b: 1 of 7), which is the next performance management issue that will be discussed.

3.5 SELF-EVALUATION AND STAFF PERFORMANCE APPRAISAL

One purpose of appraisal is to reward good performance and to identify areas for improvement. Self-evaluation data is essential to provide evidence of performance. Strydom and Van der Westhuizen (2001: 84) and Armstrong (1997: 232) link quality assurance with self-evaluation. According to them, self-evaluation should be regarded as important in strategic planning, since it places the responsibility for formulating performance goals on the individual.

Self-assessment serves various purposes. The first is to give account on how resources are deployed and to provide the department with information on the quality of programmes (De Vries 1997a: 88). Though accepted by some as key to performance management, it is criticised by others on the grounds that it does not contribute to the teaching and learning function. It is also criticised for its increasing academic load and taking up limited research time and consultation. Despite these observations, departments are required to carry

out self-assessment, which the latter do for compliance, given these conditions.

Second, self-assessment is used by departments to further their interests to pressure administrators in their competition for scarce resources. Third, it is used for survival and reputation, as in the case of self-financing institutions whose intent is to retain public perceptions of their viability; hence self-assessments are not critical, but promotional. Though self-assessment is useful, it has limitations. This method is criticised for self-deception based on people's inability to be objective in self-assessment (De Vries 1997a: 96). Can self-evaluation as a performance management procedure bring about a change in staff performance? The discussions which follow focus on the relationship between staff appraisal and performance.

3.6 STAFF APPRAISAL AND STAFF PERFORMANCE

This section attempts to indicate whether academic staff appraisal can enhance staff performance. Schofield (1996b: 1 of 7) indicates that the performance of staff has been a controversial feature of management in companies as well as in higher education institutions in many countries. There are various reasons for this controversy. These reasons include poor designs of appraisal schemes, lack of attention to the organisational culture, conflicting purposes, lack of compatible personnel procedures, and an unwillingness in organisations to confront issues of poor performance (Haslam *et al.* 1993: 214, 220).

The types of schemes adopted have an effect on staff performance. Schemes that were adopted in higher education institutions consist of various different purposes, but it was indicated that not all purposes could be achieved within one scheme. In practice, it is possible to classify three general types of schemes, namely those that are related to personnel management needs; those that are primarily concerned with improving current and future performance; and those that focus on developing the individuals concerned (Hannagan 1998: 219; Quinn & McKellar 2002: 74; Armstrong 1997: 712-715).

The general types of schemes that could be drawn from this list of purposes are those that are related to personnel management needs; those that are primarily concerned with improving current and future performance; and those that focus on developing the individuals concerned. The first types of schemes concerned with the management of needs of personnel have the longest history in commercial companies. Examples of appraisal used in this way are relatively rare in higher education systems. The second types of schemes - which focus on current and future reform - aim to improve current performance, are popular and many universities are developing them.

The popularity of the second schemes stemmed from the three views. The first view is that they offered more objective yardsticks used to measure individual performance. The second assumption is that participative goal-setting motivates appraisees and engenders less defensiveness on their part. The last perception is that the process of performance management is job-related by nature and, as a result, it makes the review of the job and its priorities inevitable (Armstrong 1997: 237-238; Tyson & York 1997: 130).

Those schemes that emphasise the development of individuals concentrate on providing an opportunity to reflect upon professional practice in a structured way; identifying the training and development needs of individuals and groups; and seeking to provide opportunities for job and career discussions and counselling. These types of schemes are widely used in USA and UK universities and it seems that in many cases it has been easier for institutions to get staff acceptance for these types of schemes. The demands of the appraisers and appraisees in carrying out these activities successfully are exacting. The interviewing and interpersonal skills of both parties need to be developed to a high level. Institutions where this did not happen, have often produced disappointing results (Schofield 1996b: 4 of 7).

The general impression from staff and senior managers regarding the implementation of appraisal is that the process had not had gone smoothly and some staff had found the self-appraisal exercise personally beneficial. Nevertheless, the scheme had no major effects (Haslam *et al.* 1993: 220;

Mullins 2002: 704). Findings also indicate that appraisal clashed with the ethos and values of universities. In addition, it was realised that the management and the structure of universities are changing towards a market-oriented approach, which may provide a culture more suitable for appraisal. Haslam *et al.* (1993: 220) further indicate that the acceptability of an appraisal scheme depends on its "goodness of fit" with the organisational culture of the institution.

The mistrust of lecturers and the control measures exerted upon their work, inhibit their freedom of operation and hence their performance. The knowledge and competence of lecturers are publicly challenged. Managers have to create conditions that enable lecturers to perform. Support for lecturers can be through peer evaluation to ensure that their competences enhance student learning (Ohio State University 2002: 2 of 4). Parsons and Slabbert (2001: 77) in their discussions on the need for a management information system that can assess the academic workload, support the assertion that public anxieties and pressure result in role insecurity among lecturers who are considered responsible for many ills occurring in society. In addition, the criticisms coupled with difficulties with students and the teaching tasks, make it difficult to fulfil teaching responsibilities. Lecturer performance can be enhanced through scholarship development (cf. Table 4.3).

3.7 CONCLUSION

The origin and the underlying principles of staff performance appraisal system have been discussed as necessary foundations for the decisions on the type of a system that is to be implemented. The culture of an institution is considered to have an influence on the success of an appraisal system. The implication is that a performance management system has to be context specific if it is to be sustainable. The discussions also considered whether an appraisal system enhances staff development. Another consideration was the influence of appraisal on self-evaluation. Lastly, the discussions focused on whether a performance management system can influence a change in staff performance.

Chapter four will deal with the link between scholarship and performance management. The argument raised is that in order for institutions of higher learning to cope with the external factors influencing their performance, they have to equally value and appraise the activities of teaching, research and community service.

CHAPTER 4

THE LINK BETWEEN SCHOLARSHIP AND PERFORMANCE MANAGEMENT

4.1 INTRODUCTION

Chapters two and three covered the external and internal factors and their effects on academic staff performance. In this chapter the argument is that a developmental performance management system can promote scholarship development. It is indicated that through the four forms of scholarship, staff can achieve the strategic goals of higher education, hence enabling it to meet the needs of its stakeholders. The argument in this chapter is also that the four forms of scholarship should equally be valued and appraised with the intention to highlight areas that need development. The discussions further indicate that contextual factors may inhibit lecturers to excel in all forms of scholarship (see 2.2). It is essential at this point to explain scholarship and how the different scholarships relate to performance management.

4.2 SCHOLARSHIP DEFINED

The academic staff are expected to emulate a high degree of competent behaviour that leads to valued outcomes. The achievement of valued outcomes can be attained if academics express scholarship in what they do. The *Webster's Dictionary* (Webster 1986: 2031) explains scholarship in two ways. First, it considers it as the character, qualities or attainments of a scholar through scholastic achievements, attitudes and traditions characterising a scholar. Second, it explains it as a body of learning and especially of research available in a particular field (Webster 1986: 2031; Weiser 1996: 1 of 8). The first aspect of the definition relevant to the context of this chapter refers to the scholastic achievement. The continuous assessment of performance of academic staff is intended to detect if staff performs to required standards and if their behaviour leads to desired

outcomes of higher education. The desired outcomes in this context are teaching and research output, including community service.

“Academic staff scholarship” refers to efficiency in all aspects of academic work, which form criteria upon which assessment of staff performance should be based (Boyer 1990a: 2). Boyer (1990a: 2) considers scholarship as a variety of creative work carried out in a variety of places and whose integrity is measured by the ability to think, communicate and learn. The goal in broadening the concept of scholarship is to ensure that in the assessment of staff performance all aspects of the work of the academic staff are reflected. Boyer (1990a: 4) is in agreement with the Queensland University of Technology (QUT) (s.a.: 5) in that an individual’s performance should not be narrowly assessed. Instead a multidimensional criterion should be applied in such an assessment.

One aspect of the definition of scholarship reflects that the concept is grounded on theory and practice. Elton (1992: 255) expresses the opinion that scholarship includes the grounding of academic practice on theory and the reflection on practice. In his definition of scholarship he asserts that activities, whether academic or administrative, have to be addressed through scholarship. The implication is that scholarship is related to efficiency in performance, as discussed in Chapter two under accountability (see 2.2.4). Scholarship as an activity on its own has to conform to a particular set of criteria. Academic work has to be reflected in the four forms of scholarship, which are discovery, teaching, integration and application.

The four forms of scholarship are not highly recognised like disciplinary research. It is indicated that the extension of the concept of scholarship is intended to reduce the prestige enjoyed by some form of scholarship at the expense of rewards and resources to others (Elton 1992: 263). Elton argues that there is no reason why one form of scholarship should be considered superior, as all forms are important. Therefore, according to the author, there should be an institutional plan to allocate resources, recognition and rewards to all activities.

All activities of academic staff are to be equally developed to avoid an imbalance in the allocation of rewards. Through staff training and development the level and value of performance in any academic activity can be raised (Elton 1992: 264). It is essential to provide time for staff to promote scholarship (Elton 1992: 265). Time allocated to staff to carry out various activities should be accounted for at annual appraisals to curb misuse. It is noted that junior staff have large teaching loads compared to senior members. As a result they do not have time to concentrate on research and development. Their situation is compounded by the high student-staff ratios.

The explanations of scholarship indicate that the concept is not restrictive. It embraces all academic activities that academics become engaged in (Boyer 1990a: 16; Elton 1992: 260-263; Elton 1996: 301; Sutherland s.a.: 1). Scholarship represents a shift in the academic debate that relates to the recognition of academic excellence, from the focus on teaching versus research towards a paradigm that takes into account a range of scholarly activities (Sutherland s.a.: 1).

The definition of scholarship reveals that it embraces the achievements of an academic and a body of knowledge available in each field. The continuous academic staff performance appraisal is intended to detect if academics apply the scholarship to achieve desired educational outcomes and whether they are accountable (Elton & Partington 1993: 6; Fourie 2003: 32). This aspect of the definition of scholarship reveals the importance of achievement of scholarly attributes for an academic to meet both the internal departmental demands for excellence, as well as meeting external stakeholders' demands for skilled products. Through their achievement, academic staff members' account for funds allocated to higher education institutions (Temple 1987: 1; QUT s.a.: 6). According to the Council on Higher Education (CHE) (2003: 1), scholarship therefore contributes to efficiency, effectiveness and accountability demanded of higher education.

The assessment of a scholarly activity must be based on clear criteria and the indicators of performance have to be stipulated. Scholarship assessment should be based on clear goals, repertoire, feedback and motivation (Nickols 2000b: 1-3). These criteria conform to criteria for good performance in research and are also applicable to teaching excellence (Elton & Partington 1993: 6). Evidence of performance can be measured through the tangible, readily measured effects of academic actions or through actions that are not readily measured (Nickols 2000a: 3). In the latter case it is necessary for those affected by a performer's actions to share their views and the performer has to request such information.

4.3 THE FOUR FORMS OF SCHOLARSHIP

The discussions on the four forms of scholarship and their relationship with performance management follows. Academics can contribute towards the achievement of higher learning targets in many ways. The activities they perform are grouped into four forms of scholarship, which are discovery, teaching, integration, and application. Through development in the four forms of scholarship, academics can achieve the demands of higher education. The scholarship of discovery will first be discussed.

4.3.1 The scholarship of discovery

The discussions under the scholarship of discovery cover its definition and its relationship with performance management. The scholarship of discovery is considered to be the commitment to knowledge for its own sake; the freedom of inquiry; and to following in a disciplined fashion an investigation, wherever it may lead (Boyer 1990a: 17). It is considered to be close to research, but includes the creative work of academics in literary, visual and performing arts (Fogelberg s.a.: 3). According to Boyer (1990a: 18), the scholarship of discovery is core to the work of higher education, since it evaluates and provides content for the scholarship of teaching. Due to the value attached to it, research enjoys privileges over other forms of scholarship. Its importance is justified by the tangible contributions, not only to human knowledge, but also to the intellectual climate of a university.

The scholarship of discovery is further explained by considering its three major features of new knowledge, inquiry and the publication of results (Neumann 1993: 100). The first feature involves replicating what is known. The second component of the explanation considers research as prolonged, purposive and systematic academic activity that critically assesses knowledge and increases understanding. The third relates to publication of authentic knowledge that has an effect on society.

Research can also be distinguished from scholarship, though it is a difficult task. The distinction between research and scholarship becomes less clear, since both are involved in critical reflection (Elton 1992: 258; Research Policy Group 1999: 1). In research the concepts and theories of an area being studied are clarified and understood. The clarification and critical assessment of past knowledge constitutes the role of scholarship. So scholarship can be considered as the refinement of a research activity. It embraces processes of analysis, synthesis and critical reflection.

Scholarship is considered to be broader than research, since it is inherent in many roles of academic work. It describes a quality or mode of working. It involves acquisition of knowledge, writing and dissemination of knowledge to the wider community (Elton & Partington 1993: 6; Weiser 1996: 8; Nickols 2000a: 2). In addition, it connects with teaching through supervision of postgraduate students and the conveyance of academic values (Neumann 1993: 103). Having explained the scholarship of discovery, we now proceed to relate it to performance management.

The scholarship of discovery relates to performance management through self-evaluation at the individual level. The argument raised is that, through reflective practice, academics can develop skills to cope effectively with the teaching and learning processes and hence address pressures for efficiency in the transfer of knowledge. Self-evaluation enables transformation, since it is built on a model of reflective practice. This model considers that lecturers should be active in reconstructing knowledge (Waghid 2001: 77; Ashcroft & Palacio 1996: 3). The systematic reflection into practice is linked to

professional development and empowerment, since it causes one to perceive situations in a new light (Waghid 2001: 78; Ashcroft & Palacio 1996: 4). Reflective practice is significant in scholarship development, since it forms part of a staff member's internal initiatives to improve practice. It can be if it incorporates information from other parties and if carried out within an atmosphere of mutual trust and commitment by all participants (Hay & Strydom 1999: 388). Other conditions that make reflective information authentic are staff indication of responsibility in the collection of evidence on effectiveness; skills essential for reflection; and if reflection on practice is done with the aim to abandon ineffective beliefs and practices (Ashcroft & Palacio 1996: 5). Teaching is one of the major activities on which academics reflect. The reflection on teaching with the intent to improve practice contributes to the development of the scholarship of teaching, which is our next point of focus.

4.3.2 The scholarship of teaching

The scholarship of teaching can be explained as a multidimensional activity that seeks to promote quality learning through a student-centred interaction among the teacher, the student and the curriculum (Elton & Partington 1993: 6-7; Hutchings & Shulman 1999: 3). This implies that it does not involve only teacher practice, but also the character and depth of student learning that results from that practice (Hutchings & Shulman 1999: 3). Aware of the market demands for a number of variables from higher learning institutions, how can the scholarship of teaching be linked to performance management in order to make higher learning responsive?

The argument made here is that scholarship development should not only occur because of external threats of loss of funding or the internal threats of the denial of a promotion. The underlying principle for the improvement of teaching scholarship should be that the teaching activity works best if it relies on the lecturer's desire to improve performance and because of the need to enhance professionalism (Ashcroft & Palacio 1996: 106). Therefore, the appraisal of teaching scholarship should not be intended to expose

incompetence, but to study the factors that impede good lecturing or those which facilitate the teaching and learning processes.

The developmental performance management system suggested in literature (cf. Chapter five 5.4) can provide a conducive climate for the development of the scholarship of teaching (Fisher 1996: 186-187; Armstrong 1997: 313-315). Putting together a results-oriented appraisal with competency development is considered beneficial for the efficient management of organisations (Cattell 1999: 154). The reason is that it ensures the co-existence of achievement of performance targets and the development of the appraisee. This co-existence brings about a combination of the two most motivational elements of appraisal, being goal-setting and scholarship development (Cattell 1999: 154; Fisher 1996: 186). Their link can lead organisations to achieve performance targets. The combination provides academic staff to take full responsibility of and for their work and the development of their skills.

In this chapter the argument is that an appraisal system, linked to the development of the scholarship of teaching, will seek information with the intention to improve personal and team effectiveness, including professionalism. Such information will be used in a constructive way to meet the interests of students and stakeholders and to develop scholarship in teaching. The aim of linking the development of scholarship of teaching with developmental appraisal is based on the assumption that lecturers are responsible enough to link their personal developmental goals with the mission of higher learning institutions and in the interests of all stakeholders in education (Allchin 1998: 2; Huchings & Shulman 1999: 6). Chapter three discussed the importance of the link between the development of individual capabilities and the strategic goals of the institution for its effective management (see 3.2.2). It is imperative that an appraisal system intended to develop scholarship of teaching be built on trust and honesty, as suggested in Chapter five (see 5.7.1).

The establishment of mutual trust in any organisation is important in decisions on performance. A developmental system of performance management relies on an open, constructive, trusting relationship between academic staff members and their appraisers (Cattell 1999: 162; Ashcroft & Palacio 1996: 106). Academics are entrusted with the responsibility to collect and bring evidence of their performance. The use of information from a variety of sources is to ensure that decisions on staff performance are authentic.

An appraisal system intended to develop scholarship in teaching cannot operate efficiently in a context where financial or professional penalties are used to explore and expose performance problems of staff (Ashcroft & Palacio 1996: 107). A system of appraisal intended to expose inefficiency (a system that is political or bureaucratic), might be appropriate where performance has deteriorated.

The problem of publicising performance data for competitive political reasons is that staff may not expose information that covers their inefficiency (Ashcroft & Palacio 1996: 107). The argument raised here is that the evaluation of performance of academic staff should be based on a system whose emphasis is on the development of staff competences. The purpose of such an evaluation should be to empower staff for organisational improvement through their involvement and participation. The scholarship of teaching has to be related to other forms of scholarship to ensure efficient delivery of knowledge. This presupposes integration, which is our next point of discussion.

4.3.3 The scholarship of integration

Various points are made in the explanation of the scholarship of integration. Its explanation makes explicit its value as an academic activity, on the basis of which academic staff can be appraised and rewarded. Boyer (1990a: 18) considers it as a way to bring about connections across disciplines, to place specialties in larger context, and to illuminate data in a revealing way to educate non-specialists. The clarification and integration of concepts is regarded as an important academic activity. Boyer (1990a: 18) argues that

academics who become engaged in this activity deserve recognition and reward.

The scholarship of integration is further clarified in its comparison with the scholarship of discovery. The scholarship of integration relates to research. Through the interrelationship of issues by scholarship of integration, the importance of research is highlighted (Berberet 2002: 4-5). The distinction between the two scholarships is that discovery is concerned with what is yet to be discovered, while integration focuses on interpretation of findings (Berberet 2002: 5). The interpretation of findings calls for critical analysis and interpretation; processes required for an activity to qualify as scholarship (Hutchings & Shulman 1999: 3). Integration has an element of application of the concepts that one has understood (Boyer 1990a: 2). Next the scholarship of application will be discussed.

4.3.4 The scholarship of application

The scholarship of application takes the individual towards the implementation of knowledge. The scholar is concerned with how knowledge can effectively be applied to problems and its benefits to the individual and to the institutions. It also constitutes questions on whether social problems can dictate the direction of application (Boyer 1990a: 21). According to this scholarship, theory and practice should be seen to interact. The scholarship relates to performance management in that the stakeholders in education demand that knowledge gained in institutions of higher learning should be applied for technological advancement and to solve social problems (Fourie 2003: 36). These institutions should therefore provide students with skills of application of knowledge. However, the absence of coordinating structures to facilitate an integrated approach to the implementation of government policies makes it difficult to systematise higher education programmes with social development needs (Favish 2003: 24).

The discussions on different forms of scholarship above are intended to explain the activities in which academic staff members are involved. It is important that they are developed in these areas in order to be efficient and

accountable in addressing the challenges of communities within their contexts (NUL 2003a: 6-7). Scholarship development is central to higher education effectiveness (Fielden 1998: 3, Thomberry 2001: 1). In the midst of changing political, social and economic demands, the need for globalisation and the fast changing technology - discussed in Chapter two (see 2.2) - the concern for academic staff scholarship development cannot be underestimated. The development of scholarship must be seen as a continuous process for academia to remain in touch with subject content. The World Bank stresses the importance of high quality and motivated staff within a supportive professional culture (Fielden 1998: 3). This implies that academic staff performance has to be monitored to establish a need to develop skills. A performance management system intended to highlight strengths and skill deficiencies among academic staff and the existence of a supportive atmosphere have to be in place. A developmental appraisal to ensure that transfer of knowledge and skills takes place and both external and internal conditions are conducive for efficient transfer to future generations. Therefore scholarship development is essential for academic staff to perform efficiently. Hence higher learning institutions are enabled to cope with change and to meet the demands of their stakeholders. Research has to be linked with teaching to make teaching and learning relevant to external and internal demands.

4.4 THE NEXUS BETWEEN TEACHING AND RESEARCH

In Chapter two it was indicated that the higher education context is changing (see 2.2). The teaching and research nexus needs to be placed within a framework of different epistemological concepts with the emphasis on the intimate and interpretative aspects of knowing. In this regard, research involves processes and outcomes, which are not reducible to mere outputs. A focus on the experience of research, as well as on the discovery process in its full sense with its self-reflexive insights, meaning-making and skills development, brings out the fundamental identity of research with the learning that students experience, and thus with the scholarship of teaching (Zubrick, Reid & Rossiter 2001: 7; Patrick & Willis 1998: 3).

There are issues to consider when teaching is related to research. The first is to clarify the meanings of concepts such as quality, teaching, research, scholarship and student learning. The second issue is to decide whether teaching and research are independent or interdependent. The third is to find out if the roles and purposes of institutions influence the nexus. The fourth issue is to determine whether academics are to demonstrate productivity in all aspects of their job. The last point is about the extent to which promotion dossiers demand academics to demonstrate productivity (Zubrick *et al.* 2001: 12; Feldscher s.a.: 1 of 8).

With regard to the relationship between scholarship and learning, the quality of higher education depends on the quality of the conditions of learning, teaching and research it offers and the value it attaches to them (Wahlén 2001: 1 of 4). This means that performance of higher learning institutions is based on teaching and research output; therefore both activities are crucial.

There are two opposing views on this point. One view is that higher learning institutions need not engage in research to justify that they are higher learning institutions, since research is an integral part of higher learning (Neumann 1992: 160; Barnett 1992: 636; Fourie 2003: 31). The assumption is that research is used to improve pedagogy and to keep a course in touch with reality and congruent with developments (Favish 2003: 24). Favish (2003: 24) further indicates that, through research output, academics are considered professionals. This view supports that there is a strong relationship between teaching and research.

The relationship between teaching and research is considered to be strong within the British context. According to this view, reflective thinking - associated with research - contributes to good teaching in a university (Elton 1992: 258). It means that a higher education institution, in which research is not conducted, provides an inferior learning environment for students (Elton 1992: 258). This assumption is also based on a belief that there is no reflective thinking in teaching. The implication is that lecturers do not critically evaluate their teaching.

There is criticism on learning outcome as proof of good teaching. Learning outcomes are rejected, since they do not become apparent until long after students have left formal education (Elton & Partington 1993: 7). If learning outcomes are not considered as a criterion for good teaching, how should good teaching be assessed? According to Feldscher (s.a.: 8 of 8), both academics and administrators have failed to make teaching count. In order to make teaching account, two alternatives for developing criteria to evaluate it are proposed. The first alternative is to use criteria for evaluating research. The second alternative is to develop the criteria for evaluating teaching. The advantage of the first alternative is that research criteria have credibility and are familiar. The disadvantage is that these criteria are neither sufficiently appropriate nor practical. The advantage of the second alternative is that criteria will fit the purpose and be of benefit to the continuing professionalism. The disadvantage of the second alternative is that new criteria may take time to be familiar and to be respected or they may be considered as a second-class form of promotion (Elton & Partington 1993: 7). The authors propose that institutions should adapt the method, which they select to their conditions.

Effectiveness in teaching would demand lecturers to be reflective. Lecturers can reflect on their performance through self-evaluation, which will enable them to realise their weak areas and work upon them. Reflective thinking prevalent in research can enhance teaching.

The Research Policy Group (1999: 1) supports the view that reflective thinking prevalent in research promotes good teaching. According to the Group, the nexus is not automatic it must be created. It is a result of reflection on course planning, delivery and creative practice (Research Policy Group 1999: 1). According to the Group, it is possible for lecturers to apply research results in a teaching situation. In addition, the process and the interests of undertaking research provide scope for forging productive relationship between teaching and research. These authors show that there is a nexus between teaching and research and that it can be strengthened through reflective thinking as a criterion for scholarly work.

Besides a view that the nexus between teaching and research exists, there is a view that the link is minimal or non-existent. According to Centra (1988: 388), the connection between teaching and research is non-existent. The question to ask is whether lecturers should be researchers in their disciplines to motivate students to learn. If lecturers conduct research relevant to their disciplines and if research findings are incorporated in course planning and delivery, students can be motivated to learn. However, research indicates that the number of research publications does not relate to judgements of teaching effectiveness (Centra 1988: 386). Though some views indicate that the link between teaching and research does not exist, the roles and purposes of higher education influence the ways in which the nexus is realised.

The ways in which teaching and research are funded, reviewed and rewarded in higher education reflect the importance attached to each. For example, in the UK universities are funded on the basis of their ability to conduct research. Since research is of use to governments, it is highly valued and rewarded compared to teaching (Barnett 1992: 621,623). But the research conducted to solicit funds may not be relevant to disciplines of lecturers concerned. As a result, such research may not enhance teaching and learning.

Academics do not only conduct research to meet the purpose of funding organisations, but also to stand a better chance in bargaining for promotion (Barnett 1992: 622; Moses 1990: 352). Higher education institutions require lecturers to publish in order to qualify for promotion. The high pressure for publications results in quantity and not quality research. The research conducted may also not be relevant to lecturers' disciplines. The purposes of soliciting external funding and career advancement do not strengthen the nexus between teaching and research. Instead, they emphasise the value attached to research compared to teaching and widen the gap between them. Both the funding agencies and the institutions of higher learning contribute to distort the link between teaching and research. This is because the motives for conducting research are not curricular related, but emanate from competing demands for funds, academics' demand to develop careers; and from the public uses of research (Barnett 1992: 623; Hoyt 1999: 1-2).

Can academics be productive in all aspects of their work? Given the demand of each form of scholarship, academics are unlikely to excel in all forms. Since excellence in all is not possible, higher education institutions have to give equal value to all forms of scholarship and differentiate the functions of academic staff (Allchin 1998: 2; Elton 1986: 303; Weiser 1996: 1).

Proponents of the link between research and teaching do not only show the link, but also express the view that the two activities are inseparable (Ramsden & Moses 1992: 295). Does it imply that the value attached to research also applies to teaching? If the link exists between these activities, should similar standards apply when assessing staff? According to Neumann's findings, the link operates at three levels namely the tangible, intangible and global nexus (Neumann 1992: 161). According to the tangible nexus, a teaching researcher provides recent knowledge to students (Neumann 1992: 162).

Besides the tangible link between research and teaching, there is the indirect connection. Four intangible connections between teaching and research are approaches to knowledge; attitudes to knowledge; the broadening effect; and the youthful contact (Neumann 1992: 163-165). The first connection shows that through research, students are made aware that knowledge is complex and not static. The implication for the second connection is that academics with a critical approach to knowledge develop in students a positive attitude to knowledge and confidence in learning (Feldscher s.a.: 6 of 8). The third connection is that research provides depth and breadth of knowledge for academics. Lastly, the encounter with youth of varying levels of intelligence is said to stimulate academics to clarify issues and, as they do so, increase their own understanding.

The last interrelation between teaching and research, as stipulated by Neumann (1992: 162), is the global connection that describes the interaction between teaching and research at the departmental level. According to Neumann's (1992: 162) findings, the relation between research and teaching is that research enhances expertise in teaching and assists in the

restructuring of new courses. The students and the society benefit from skills gained in the new courses (Cleary 2001: 27).

Boyer (1990b: 11) considers both teaching and research as worthy of scholarship. Newmann (1992: 163) is of the opinion that research and teaching interact in the teaching process. Patrick and Willis (1998: 3) support Newmann (1992: 163) by expressing the opinion that research and teaching relate with learning. The implication is that the teaching professionals reflect upon their practice to improve, understand and deeply appreciate the values in their profession (Allchin 1998: 2 of 4). Research has to enrich course content and suggest improvements for the teaching practice. Lecturers can ensure that research contributes to teaching and learning through reflection on their practice and its underlying assumptions and values (Ballantyne *et al.* 1999: 1 of 15). The discussions above on the relationship between research, teaching and learning indicate that the link between these two forms of scholarship contributes to the transfer of skills.

The notion that all forms of scholarship deserve recognition has led to a change in promotional strategies; a change that all forms of scholarship be recognised in promotions, since they reflect competence in performance of tasks (Maconachie 2002: 11). However, staff may opt for one type of scholarship, e.g. teaching as a basis for promotion (Webbstock 1999: 10 of 16). Since staff members are assigned tasks, assessment and reward have to be based on both scholarship and how well they perform assigned tasks (Weiser 1996: 1). It is important therefore to set clear tasks as discussed in Chapter five (see 5.3.1; and 5.3.2).

The discussions below indicate ways in which teaching can be linked with research.

4.4.1 Strengthening the nexus between teaching and research

This thesis proposes the importance of combining criteria for teaching and research, but indicates that the nexus between teaching and research is complicated, multiple and indirect. The rationale for achieving a stronger nexus between teaching and research reflects diverse concerns and interests. The first link between research and teaching is intended to reassess and redefine the roles of teachers and students in the development of a culture of critical enquiry in higher education. As indicated in Chapters two and three, higher education is situated in an uncertain context (see 2.4; 3.2.1). Both teaching and research are expected to transform to meet the demanding context. Students must be able to experience the pace and challenge of open, critical enquiry (Barnett 1997: 110).

Furthermore, there has to be a non-adversarial relationship between liberal education and vocational education. This type of relationship between the two forms of education implies the prevention of the knowledge content from becoming rigidified. The result is a close interrelationship between teaching and research. The culture of critical inquiry is essential for review of existing knowledge, also in view of internationalisation (see 2.2.7). Through critique, imported ideas will be sieved before they are adopted.

The second rationale for the nexus is to retain status within an increasingly competitive and globalised higher education sector, although universities need to be less insular and introverted and more accountable for the ways in which their academic activities meet public expectations (see 2.2.4; 2.2.4.2). Despite the demands for accountability, academics are to recognise that the interest of both government agencies and stakeholders should not dictate the intrinsic intellectual quality of programmes. An academic discipline must demonstrate a capacity to be self-reflexive regarding its nature and its language and in this regard requires a foundation in scholarship. If scholarship development is embodied within a developmental performance appraisal system, staff can exercise autonomy in decisions on programmes (Ballantyne *et al.* 1999: 2 of 15; Allchin 1998: 3 of 4).

The third rationale for the nexus between teaching and research is to improve the quality of both university teaching and research. The strong integrationist view assumes a two-way relationship between teaching and research. Good teaching occurs when active researchers use their expertise to inform teaching, while research ideas and approaches are stimulated and sharpened through interactions with students (Patrick & Willis 1998: 12; Glassick 2002: 3). This assumption is based on the claim that a university with research-active staff has the ability to apply research to all levels of teaching, especially undergraduate teaching, thereby enhancing the students' experiences in the sense that students will learn what is involved in higher level learning and also by introducing them to the process of knowledge creation.

Lastly, the link is intended to strengthen collegial ties within institutions and to reduce the tension between disciplinary and institutional loyalties. The involvement in teaching, curriculum discussions and delivery to students has an integrating effect within departments and institutions. The integrity of the academic profession and the ability of individuals to fulfil their professional mission within an institution, depend upon a level of collegial solidarity. Collegial solidarity provides a basis for staff to engage with governance and decision-making (Middlehurst & Elton 1992: 252-253).

Staff members need to be encouraged to strengthen the collegial and institutional ties in order to prevent insulation and to narrow specialisation. Teaching keeps academics in touch with the broader context of their research specialisation, as well with as a new generation of critical scholars and students (Zubrick *et al.* 2001: 17).

The symbiotic relationship between research and teaching and their connection to quality learning implies three questions which bring the focus of the discussion on these relationships back to improving learning and research. In response to the first question on the aim of higher education, higher education is to contribute to knowledge through the provision of quality learning and the development of quality research. The implication of the aim of higher education is that both learning and research contribute to

knowledge. It also means that student learning should be enhanced through strengthening links among teaching, learning and research.

The second concern is on how the link can be strengthened. According to Patrick and Willis (1998: 5), research can be incorporated into teaching to enhance learning, through disseminating research findings in lectures and tutorials; in developing course materials; through engagement with content to gain an in-depth understanding of concepts; if students engage in research related to their professional and academic interests; and also if students and lecturers engage in collaborative research (Patrick & Willis 1998: 5).

There are also different ways in which the nexus between teaching and learning can be enhanced through research. This can be first done through reflective practice and the development of a teaching portfolio. Second, the nexus can be realised through action research. If research is conducted, it suggests that there are differences in teaching approaches between disciplines. Therefore it would be fruitful to research issues for teaching and learning in relation to disciplinary or professional areas. This can be done through engagement in action research focused on particular aspects of teaching practice or student learning. Another is through qualitative studies of the relationships between teachers' conceptions and teaching approaches. Last, through formative peer review of teaching, involving reflection on practice and peer feedback on programme planning, teaching practice and assessment of student learning, one can engage in research into teaching practice (Patrick & Willis 1998: 5).

4.4.2 Reward for teaching and research

In order for staff to gain appropriate reward in teaching and research, the current practice needs to be addressed. The central concerns relate to the assessment and reward for teaching in comparison with research (QUT s.a.: 5). The argument is that the majority of academics spend most of their time teaching, but the latter is less rewarding than research. It seems there is a lot to be done for university teaching to be recognised as a professional activity, on a par with research for purposes of promotion, recruitment and salary

increments (Wahlén 2001: 3 of 4). The challenge is to integrate teaching with research. Scholarship needs to support both teaching and research in order to give equal value to excellence in teaching (Elton 1992: 258).

Another related issue is whether the resources enable the activities of teaching and research to be carried out at a similar scale. Time and funding are some of the critical factors influencing efficiency in these activities. Considering these factors, the view that all forms of scholarship be equally assessed, raises fear among academics (Glassick 2002: 3). Some staff members find it a problem to meet the university's expectation, which is that they should demonstrate performance in all the four forms of Boyer's scholarships in promotion applications (Westbrooke 2002: 12). The problem is that each of the activities requires much time to be effectively performed. But, if academics focus on the scholarship of their interest, they are likely to achieve excellence in performance. The contention is that while all four forms of scholarship should be equally assessed, individual interest and focus should be considered. Such assessment of individual preferences should be aligned to institutional strategic objectives.

4.5 THE EVALUATION OF SCHOLARSHIP

The argument under the evaluation of scholarship is that all types of activities that lecturers perform should be equally valued in the evaluation of their performance. This new inclusive vision of scholarship goes beyond research. It proposes that the scholarship in teaching, integration and application be incorporated. However, the effort to broaden the meaning of scholarship cannot succeed until the academy has clear standards for evaluating the wide range of scholarly work. To give the four kinds of scholarly activities the weight that each deserves, all must be held to the same standards of scholarly performance (Wahlén 2001: 3 of 4). These forms of scholarship need to be evaluated by a set of standards that capture and acknowledge what they share as scholarly acts. The common features that enable scholars involved in different fields of study and different types of scholarly work to feel that they are engaged in a common task are discussed below (Glassick, Huber & Maeroff 1997: 1 of 4).

The key to these commonalities lies in the process of scholarship itself. The standards by which aspects of scholarly work can be evaluated are, for example, clear goals; adequate preparation; appropriate methods; significant results; effective presentation; and reflective critique (Elton 1992: 255; Nickols 2000b: 1; Glassick *et al.* 1997: 3 of 4). Reflective critique keeps evaluation flexible and open to improvement over time.

The effectiveness of higher education and research programmes, faculty morale, and public confidence is enhanced, as they refine and articulate their fundamental values and identify criteria for evaluating faculty achievements that are congruent with those values (Weiser 1996: 2). It therefore means that institutions have to state the criteria and set standards on which to make judgements. Indicators must be tied to and analysed in relation to what has to be achieved (QUT s.a.: 3; McGill University 1998: 3).

In order to seek ways to improve evaluation of faculty and promotion and tenure processes, the Oregon State University in the USA developed a collective understanding of what scholarship implies and to describe the nature of scholarship at a university. In Lesotho higher education institutions also, scholarship and criteria for evaluation have to be clarified to all staff. If the staff are clear on what is to be appraised and the criteria for appraisal, this knowledge might reduce suspicions that the appraisal system is intended to hunt for faults in their performance. Knowledge can reduce doubt about the system. The format used to describe scholarship at Oregon was in the form of a matrix. Table 4.1 indicates the different forms of scholarship, their nature, criteria for validation, as well as how they are documented.

4.5.1 The significance of the matrix in Table 4.1

Performance management is about the development of scholarship for staff to perform efficiently. Performance of academic staff is reflected through various forms of scholarship as expressed above. The matrix first provides a clear guide for appraiser and appraisee on what will be appraised, which is shown as activities carried out under that scholarship. Second, the matrix shows who the recipients of scholarship are. These audiences are important in the

assessment of quality of the service received. Data that they provide has to be valid in order that it should be useful for decisions on scholarship development. But there are methodological challenges and the significance of data is open to different interpretations (Bratton & Gold 1999: 32).

The principles and policies provide a basis for a sustainable performance management system (Sanyal *et al.* 1996: 25-26; Hay & Strydom 1999: 380). Their clarity is essential in the design of a system as discussed in Chapter five (see 5.5), since they determine whether a system emphasises developmental or a judgemental system. The Oregon matrix, based on principles and procedures provides guidelines on promotion and tenure.

There are similarities between the principles and procedures that underlie the evaluation of performance at Oregon University to the to procedures followed by some universities. The evaluation in both institutions focuses on what is to be assessed, the recipients of the scholarship, criteria for evaluation, validation and the kinds of documents that exist as a proof of performance. The similarities in the processes and procedures of performance management indicate that the content of the Oregon University matrix can be adapted to higher education institutions in Lesotho. In addition, the procedure for evaluating scholarship bears similarities with the procedure for appraisal as discussed in Chapter five (see 5.3). Both the developmental performance management plan and the scholarship development plan are based on the missions and strategic goals of higher education institutions. Their processes are also based on the agreed performance goals and both are participative and continuous processes.

Table 4.1: Different forms of scholarship

	Teaching and learning	Discovery	Artistic creativity	Integration	Application
Nature of the Scholarship	With learners, develops and communicates new understanding and insights; develops and refines new teaching content and methods; fosters lifelong learning behaviour.	Generates and communicates new knowledge and understanding; develops and refines methods.	Interprets the human spirit, creates and communicates new insights and beauty; develops and refines methods.	Synthesises and communicates new or different understandings of knowledge or technology and its relevance; develops and refine methods.	Develops and communicates new technologies, materials or uses; fosters inquiry and invention; develops and refines new methods.
Primary audiences for scholarship	Learners; educator peers	Peers; supporters of research; educators; students; publics.	Various publics; peers; patrons; students.	Users; educators; students; peers.	Users; customers; educators; peers.
Primary means of communicating scholarship	Teaching materials and methods; classes; curricula; publications and presentations to educator peers and broader publics.	Peer-reviewed publications and presentations; patents; public reports and presentations.	Shows, performances and distribution of products, reviews, news reports; copyrights; peer presentations and juries, publications.	Presentations, publications, demonstrations, and patents.	Demonstrations and presentations to audiences; patents; publications for users; periodicals and reports; peer presentations and publications.
Primary criteria for validating scholarship	Originality and significance of new contributions to learning; depth, duration and usefulness of what is learned; lifelong benefits to learners and	Originality, scope, and significance of new knowledge; applicability and benefits to society.	Beauty, originally, impact, and duration of public value; scope and persistence of influence and public appreciation.	Usefulness and originality of new or different understandings, applications, and insights.	Breadth, value, and persistence of use and impact.

	adoption by peers.				
How scholarship is documented	Teaching portfolio: summaries of primary new contributions, impacts on students and learning; acceptance and adoption by peers; evidence of leadership and team contributions.	Summaries of primary contributions, significance and impact in advancing knowledge, new methods, public benefits; communication and validation by peers; evidence of leadership and team contributions.	Summaries of primary contributions, public interest, and impact; communication to publics, peer recognition and adoption; evidence of leadership and team contributions.	Summaries of primary contributions, communication to users, scope of adoption and application, impact and benefits; acceptance and adoption by peers; evidence of leadership and team contribution.	Summaries of primary contributions, communication to users, significance and scope of use and benefits; commercial and social value; acceptance and adoption by peers; essence of leadership and team contributions.

Source: The value system of a university: Oregon State University's forms of scholarship (Weiser 1996: 3).

This matrix has been changed into a simpler definition and it emphasises similarities among various forms of scholarships (Weiser 1996: 5). It describes each type of scholarship according to five categories. Category one describes the purpose of scholarship. It clarifies what an academic is expected to do under that scholarship (expectations and clarifies role). If tasks and criteria for evaluating them are agreed between the appraiser and the appraisee, this reduces disagreements during evaluation (see 3.2.1; 5.3; 5.3.2). Expectations are a guide for an employee and a basis for planning decisions on scholarship development.

Category two of the matrix clarifies for an academic the direct customers of the service. Customers are the group whose impressions about the service have to be taken into consideration when self-assessment is made (see 2.2.4). There is criticism on the validity of data collected from these various audiences of scholarship (see 5.6). The question is on the objectivity of the information to be used as a base to rate and reward performance. Objectivity

implies a fair assessment of performance based on agreed performance indicators. Subjective assessment can have a negative effect on the development of scholarship (see 5.5; 5.9.7).

The third category of the matrix relates to indicators of scholarship. Indicators further clarify the means of verification. This is why they have to be specified and agreed when standards of performance are set (see 5.3.1; 5.3.2). Performance indicators become a point of reference for the appraiser and the appraisee to continuously reflect on whether a contract is contravened or not, as well as to establish causes and a remedy to problems during the course of the year.

The fourth category concerns the verification of scholarship - the means of validation. The implication of validation is that an activity must conform to agreed standards to qualify as scholarship. It means that clear standards have to be set and agreed between the appraiser and the appraisee (see 5.3.2).

The fifth category is about the documents that exist as a proof of achievement in different types of scholarship. Data on which assessment are based must be authentic to ensure that the development approach of the appraisal process is not undermined (Fisher *et al.* 2000: 17; Hughes *et al.* s.a.: 6). The analysis and use of assessment data to inform decisions is therefore crucial. The matrix further indicates that scholarship in academic staff performance is broadened to embrace not only research and teaching, but also all the activities that academics perform.

The implication of broadening the concept of scholarship is that standards of evaluation of performance have to be similar, that is, criteria for evaluating research are also to be applied to other forms of scholarship. In addition, institutional plans have to reflect equitable distribution of resources, in particular time and funds. Staff should be allocated time to undertake research. Through a developmental performance management system, heavy teaching loads are to be revealed so that proper allocation should be made to

allow staff the time to promote research and refine teaching (Parsons & Slabbert 2001: 74). Funds should be available to provide all staff equal chances to develop various types of scholarship. These different forms of scholarships are identified in Table 4.2.

Table 4.2: The analysis of the different forms of scholarship

Character of scholarship	Generates, synthesises, interprets and communicates new knowledge, methods, understandings, technologies, materials, uses, insights, beauty.
Audiences of scholarship	Peers, students, users, patrons, public.
Means of communicating scholarship	Publications, presentations, exhibits, performances, patents, copyrights, distributions of materials or programmes.
Criteria for validating scholarship	Accuracy, replicability, originality, scope, significance, breadth; depth and duration of influence, impact or public benefit.
Means of documenting scholarship	Present evidence that creative intellectual work was validated by peers; communicated to peers and broader audiences; recognised, accepted, cited, adopted or used by others; ...that it had made a difference.

Source: The value system of a university: Oregon State University's nature of scholarship (Weiser 1996: 7).

Oregon State University adopted the guidelines for promotion and tenure based on the above matrix. The matrix indicates that the characteristics of different forms of scholarship have to be clarified. It is essential to relate these guidelines with the missions of higher learning institutions to find if they are relevant to our situation. In addition, we find out how they relate to performance management system. The guidelines begin with the explanation of scholarship as a creative intellectual work, as discussed under the definition of scholarship (see 4.2).

The explanation also covers aspects of lecturers' roles that should be appraised, based on the mission of the university (Smith & Webster 1997: 191; Washington State University 2002: 2). For the academics to qualify for promotion or tenure, all the activities they engage in have to conform to standards that qualify for scholarly activities (Glassick et al. 1997: 4-7; Meade, Gray, Heath, Holloway, McMillan, Peart & Robertson 1998: 4-5). This guideline relates to guidelines of the performance management system discussed in Chapter five (see 5.9) and to a scholarship development plan (cf. Table 4.3 and 4.5.2) in relating staff activities with the mission of a higher learning institution. The reason for the relationship is to ensure that staff performance is congruent with organisational goals. Likewise, if the scholarship development plan relates to the mission, staff training will focus on the development of competencies relevant to the goals of their university (Weiser 1996: 1 of 8). The guidelines also indicate that evaluation for promotion should be based on the job description.

According to the guidelines, the evaluation of faculty members' performance should be based on position description and revised periodically. The job description derived from the mission has to be communicated at recruitment and modified to suit changing job circumstances (Cattell 1999: 151) and the context of higher education. Through the scholarship development plan, staff competences can be developed to suit change. The role of a developmental performance management system is to reveal if action is taken to develop the need for development. In Chapter five (see 5.9) it is indicated that performance has to be based on agreed standards. The implication is that the goals of higher education can be influenced by the changing context. Therefore, at the formal performance review meeting, the appraiser and appraisee can modify goals in view of changes in their context. This is why a performance management system has to be context-specific, as discussed in Chapter five (see 5.3.1).

A consideration of job descriptions as a base for evaluating academics applies not only to the University of Oregon, but also to institutions of higher learning. Another guideline for staff advancement is that accomplishments

should be communicated in ways that they are understood and have significance for the community. Peer validation was used to find out whether lecturers disseminate their achievements to the community to help it transform socially and technologically. The validation of peer work is problematic as expressed by staff from the Northeastern University. One social reason raised is that lecturers find it difficult to criticise the work of a colleague with whom they will be in contact on a regular basis. Staff also express the opinion that classrooms of staff without tenure are regularly assessed compared to tenured staff (Felder 2000: 4). The reality about performance of staff may not be revealed for the community to know the efficiency of delivery. The public may also not know about achievement of lecturers because of the low regard of educational research by policy-makers (Terenzini 1999: 45). Five reasons are provided next.

The reasons most relevant in these discussions are first that the research is not written for audiences who will act upon it. Owing to the reward system, lecturers publish in scholarly journals and find no incentive to write for publications that reach administrators and policy-makers. The language used in research reports is too technical for them to understand. The reports are also publicised in journals that policy-makers do not read. In addition, the research report is received too late to be useful, since a decision will have been made by then (Terenzini 1999: 45-46). Information that could be applied to solve problems in the community is either late or may not be interpreted by recipients. The community therefore considers the university as incapable of solving social problems. This problem that arises in the evaluation of the scholarship of application relates to American and British universities (Smith & Webster 1997: 191; Feldscher s.a.: 3; Washington State University 2002: 2). It is recommended that documentation of achievements focus (whenever possible) on what was accomplished rather than how it was accomplished. The implication is that evaluation should be based on outcomes and not processes (Feldscher s.a.: 4; Smith & Webster 1997: 191). The use of outcomes in staff assessment raises fear, since it means that lecturers will be evaluated on the basis of student learning. Evaluation based on student learning is dreaded due to the multiple influences (Fletcher 2001: 6). It should

also be based on substance rather than form and on accomplishments rather than activities. The teaching portfolio is one way of documenting the effectiveness of teaching for purpose of reflection and self-analysis (Allchin 1998: 2). In short, documentation should focus on describing what has changed or improved as a result of a faculty member's efforts (Weiser 1996: 6). The recorded incidences become helpful in the preparation of a scholarship development plan that is discussed next.

4.5.2 The scholarship development plan and developmental performance management system central to the effective running of higher learning institutions in Lesotho

A model of performance appraisal discussed in Chapter five suggests a framework of staff empowerment through involvement and participation (see 5.6.3; 5.7.3). This model is based on the notion of scholarship development related to the achievement of higher education goals in which staff members are involved in determining. The discussions that follow relate the developmental performance management system with a scholarship development plan adopted from the University of Otago. One major similarity between them is that they are based on the missions and goals of the institutions of higher education and they are continuous processes, in which staff are involved.

Table 4.3: A performance management system and a scholarship plan

A developmental performance management system	Scholarship development plan
<ul style="list-style-type: none"> Based on mission and goals of a higher learning institution 	<ul style="list-style-type: none"> Based on mission and goals of a higher learning institution
<ul style="list-style-type: none"> Underlying purpose, policies and principles are developmental 	<ul style="list-style-type: none"> Curriculum vitae is a base for assessment and development
<ul style="list-style-type: none"> Agreed work plan based on mission 	<ul style="list-style-type: none"> Agreed work plan based on mission
<ul style="list-style-type: none"> 360-degree appraisal and self-appraisal 	<ul style="list-style-type: none"> Reflection on four forms of scholarship
<ul style="list-style-type: none"> Appraisal information is given to the supervisor before the review 	<ul style="list-style-type: none"> Curriculum vitae and completed reflection are given to facilitator
<ul style="list-style-type: none"> Formal review meeting to discuss appraisal data, as well as to prepare future plan 	<ul style="list-style-type: none"> Discussions based on curriculum vitae and completed reflection
<ul style="list-style-type: none"> A senior officer confirms future plan 	<ul style="list-style-type: none"> Vice-Chancellor approves plans for future development
<ul style="list-style-type: none"> A work plan is put into action 	<ul style="list-style-type: none"> An approved plan for development is put into effect

Source: The scholarship development plan was adopted from the University of Otago scholarship development process (Meade *et al.* 1998: 7-10).

The developmental performance management system was adapted from the views of various authors on the developmental performance management system (Armstrong 1997; Fisher 1996; Parsons & Slabbert 2001).

4.5.3 The relationship between a scholarship development plan and a performance management system

Early in this chapter it was argued that a link between a scholarship development plan and a developmental performance appraisal system will result in the efficient management of academic staff performance. This proposition is based on three assumptions. The first assumption is that, through the development of a scholarship plan, higher education should be able to provide independent knowledge; develop research; and provide

community service (Patrick & Willis 1998: 4; Meade *et. al.* 1998: 2). The three activities performed by the universities are also criteria on which academic staff performance is based. If the criteria for evaluating academic staff performance are also the core mission of higher education, the implication is that the efficiency of academic staff is linked to the efficiency of higher education in which they work. Therefore, development of academic staff competences and capabilities can have an effect on the way higher education performs.

The assumption is that there will be efficient organisations if a developmental performance management system based on the Investors in the People Model, derived from industry, is implemented (Scholtes 1993: 356; Ashcroft & Palacio 1996: 110; Thackwray 1997: 65). According to this model, the development of people leads to efficient organisations. This model is different from Total Quality Management (TQM), which focuses on a holistic approach to improve performance in an organisation (Ashcroft & Palacio 1996: 110; Thackwray 1997: 65). Unlike TQM, the Investors in People Model emphasises the development of skills and competences of people. The Model ensures staff development through a planned approach of setting, communicating organisational goals and developing staff to meet these objectives. The Model is cyclical and, as a result, it brings about a continuous improvement.

This Model is, however, criticised for neglecting the moral dimension prevalent in education and the long - and short-term consequences of action required by reflective practice (Ashcroft & Palacio 1996: 113). Another criticism against the Model is that the effects of the scholarship development may be difficult to assess. In higher education it may not be easy to prove that a development action caused benefits claimed (Fletcher 2001: 6). The difficulty arises due to the interplay of a variety of variables prevalent in education (Thackwray 1997: 37). However, it is important to link scholarship development actions to the individual departments and the community, though the process of creating such a link is ambiguous and interpretative, especially in complex organisations like higher education institutions (Thackwray 1997: 37).

It is crucial to collect evidence that indicates a causal relationship between an activity taken to develop scholarship and the results of scholarship development to avert ambiguity. To collect evidence that scholarship has been developed, an evaluation strategy - which recognises that training and development are shaped by many qualitative factors - has to be used. Such an evaluation strategy should be both qualitative and quantitative, both summative and formative. An evaluation strategy of this nature recognises that perceptions on scholarship development are shaped by both qualitative and quantitative factors (Thackwray 1997: 37).

The evaluation of the development of scholarship is more difficult and less tangible than the evaluation of training, since results are realised after a long time and cannot be attributed to one single factor. However, to counteract the difficulty in evaluation, development activities can be clustered into development projects. A scholarship development plan can be an appropriate vehicle for evaluating the effectiveness of a development activity (Thackwray 1997: 75; Bratton & Gold 1999: 216). In this case, there has to be agreement on a scholarship development plan on which performance will be based and assessed.

Emphasis on the development of scholarship in appraisal systems is crucial, despite the difficulty and criticism of methods of evaluating scholarship development. Thackwray (1997: 65) expresses the importance of developing skills and competences. Globalisation and competition require organisations to develop and retain employees with skills (Cattell 1999: 137). Within the context of this thesis, the Investment in People approach of evaluating efficiency in higher education is relevant for three reasons. The first reason is that, the criteria for evaluating academic scholarship and the mission of higher education are the same.

The second rationale for linking scholarship development with academic staff performance appraisal is that, in the promotion of scholarship, individual objectives are aligned with organisational objectives. The scholarship development process focuses individuals' effort on the aims of their respective

disciplines and simultaneously on the overall aims of the university (Fogelberg s.a.: 4). This practice ensures that the individual department and university goals are congruent. Scholarship development is central to the future success of a university, since it harnesses scholarship development efforts towards achievement of overall goals.

The purpose of an academic staff performance appraisal system, as discussed in Chapter three (see 3.2.2), is to ensure that staff emulate scholarship in activities they perform. A scholarship development process is a continuous reflection on whether academic staff perform activities scholarly. Likewise, a performance management system is a continuous reflective assessment of performance for the purpose of improvement (Thackwray 1997: 68). Both the academic scholarship development process and the academic staff performance appraisal are cyclical processes that focus on similar activities of promotion of intellectual development; research development; and the provision of service to the community (Fogelberg s.a.: 4; Thackwray 1997: 68). The fact that activities performed by academics are similar to university goals makes the link of the two processes possible.

The third rationale for the link between scholarship development with academic staff performance management is that such a link would reduce the connotations of judgement inherent in the system of performance management. The aspect of judgement within the performance appraisal process caused staff in Australian universities to consider the system of appraisal as threatening (James 1995: 188). However, in his research in British universities, Bull (1990: 13) realised that a change in the name "appraisal" caused staff to have positive perceptions about appraisal. Similarly, a change in name and a change from academic staff performance appraisal to scholarship development are likely to minimise the threat of appraisal.

The system of appraisal has to maintain the underlying principle of scholarship development throughout all its processes to allay fears about appraisal. This is possible, since the scholarship development process

requires an academic to be an active participant in the planning and review of scholarship development (Bratton & Gold 1999: 216). Basing performance appraisal on scholarship development combines the two most motivational elements of appraisal, which are the results-oriented and the competency-based approaches (Cattell 1999: 154; Bratton & Gold 1999: 216).

The aim of emphasising the development of scholarship along a performance management system is to reduce faults and to put in place a performance control mechanism that motivates staff to perform. The interrelation of scholarship with an academic staff performance management system is intended to bring about a change in staff perceptions about performance management. The rationale for a merger of a scholarship development plan with a developmental performance management system is that a performance management system that emphasises the development of scholarship will not threaten staff. The system will intrinsically reward staff through job satisfaction and through the opportunity to develop individual abilities (Cattell 1999: 148).

4.6 CONCLUSION

The thesis statement for this chapter has been that the development of academic staff scholarship should be the core purpose of academic staff performance evaluation, the reason being that the focus on scholarship is not only beneficial to the lecturers, but it also promotes the achievement of the missions of institutions of higher learning. The assumption derived from this contention is that a performance management system whose emphasis is on scholarship development, results in efficiently managed higher learning institutions that are accountable to the demands of their environment. The discussions indicate that scholarship development and academic staff performance management should be considered not only as complementary, but also as inseparable processes that lead staff performance to the achievement of the mission of higher education.

The discussions also showed that the activities that academic staff are expected to perform and upon which their assessment is based, relate to the mission of the institutions of higher learning. The argument is that higher

learning activities are multifaceted and as such their assessment should be multi-dimensional. This means that evaluation of staff performance has to be broadened to cover all aspects of scholarship. Likewise, similar criteria for evaluation, recognition and reward of scholarship should be adopted for all types of scholarship in the evaluation of performance. According to the argument of this chapter, the development of scholarship, which is central to the effective running of higher learning institutions in Lesotho, can thrive if it is embodied within a developmental performance management system.

Chapter five suggests a system of academic staff performance management based on the perspectives in literature that are conducive for the development of scholarship.

CHAPTER 5

THEORETICAL PERSPECTIVES ON A FRAMEWORK FOR ACADEMIC STAFF MANAGEMENT IN HIGHER EDUCATION INSTITUTIONS

5.1 INTRODUCTION

The academic staff operate within a changing social, political, economic, and technological context which influences the managerial decisions on the purpose and processes of performance management in higher education. Most organisations, whether they are business or public, are not been satisfied with the system of appraisal. It is essential to establish a performance management framework to assist staff to meet the changing demands of their contexts. This chapter highlights some main issues to be included in the design of a performance management framework, based on the perspectives of various writers (Fisher 1996: 9-39; Schofield 1996b: 1-5; Kajubi 1999: 28-29; Fransman 2001: 5-7). It proposes procedures necessary for a sustainable developmental performance management system that not only promotes the attainment of strategic goals, but also promotes the nexus between teaching and research. In addition, it responds to the question whether this system works in higher education (Parsons & Slabbert 2001: 76; Quinn & McKellar 2002: 80; Chetty 2003: 14). The changes in performance management systems signify major shifts in the management of staff.

5.2 CHANGES IN THE MANAGEMENT OF HUMAN RESOURCES

The implementation of performance management reflects major shifts in perspective with regard to the management of human resources. These shifts are an indication of changes in the development of approaches to the management of human resources. Some significant shifts include a change from bureaucratic management, whereby central decisions were imposed on staff, to emphasis on participative management that ensures ownership and commitment in the achievement of organisational goals by all staff. The

confidential reporting system adopted in Lesotho is an example of the authoritative management of staff performance (Kingdom of Lesotho 2000a: 111). First, according to the Legal Notice No.21 of the Kingdom of Lesotho (2000a: 111), the authoritative management has shifted to a democratic system. Second, the introduction of performance management signifies a shift in emphasis on the purpose of performance management. The purpose has shifted in emphasis from judgement and control to emphasis in development of staff, though the two purposes still co-exist. The third change concerns the sources of data used in the assessment of staff performance. The supervisor is no longer the only source of information; the 360-degree approach is adopted to provide a multi-dimensional source of information to avoid a one-sided autocratic approach. Last, the focus on what has to be appraised has shifted. The significance of these shifts to the framework of performance management is that the management of staff has legions of weaknesses which need continuous improvement for effective management.

Performance management focuses on improving individual and organisational effectiveness. In recognition of the central role performance management plays in integrating organisational activities and objectives towards the achievement of strategic goals and values of organisations, it is imperative to have a structure or framework indicating how it should be conducted. Nickols (2000b: 1) expresses the importance of an individual performance in the work place as he discusses the five factors of goal clarity, repertoire, feedback, motivation, and environment. The discussions that follow look into some of the important considerations to be made when a framework is designed.

5.3 INSTITUTIONAL PERFORMANCE MANAGEMENT POLICIES, PRINCIPLES AND PROCEDURES

At the institutional level the guiding policies, principles and procedures of performance management should be made clear to staff. Policies have to clarify what is to be appraised and the measurement to be used. They must also indicate whether the emphasis of appraisal is on staff development or is it mainly to judge staff performance. In addition, the policies have to stipulate the procedure that appraisal will follow. The assumption made is that the

involvement of staff in the processes will result in ownership and support for the processes. It is also assumed that the performance management system will achieve the developmental purpose if it is guided by clear policies, principles and plans as discussed under principles of appraisal (see 5.10.2).

5.3.1 Institutional policies and plans

The first step in the performance management framework is to have clear policies and plans. The policy sets guidelines and criteria for making performance-related decisions. It must stipulate the laws under which appraisal is governed. A performance effectiveness policy could include an indication of commitment by management to support staff. This could be done through providing an infrastructure that supports scholarship development for the achievement of strategic aims (Castetter 1992: 329).

Another issue to consider under policy is the availability of a conducive legal atmosphere for performance management. The current changes in government steering policies influence institutional management processes and impact upon institutional management. In South Africa, for instance, policy documents such as the *Employment Equity Act* and the *Skills Development Act* will have an impact on institutional performance management. These legal documents are critical from the perspective of skills development, equity, access, redress, quality and staff (Hay & Strydom 1999: 377).

In a similar manner, Lesotho provides a legal base for performance management through amendment Acts. The Public Service (Amendment) Regulation 2000 (Kingdom of Lesotho 2000a: 111), which replaces the system of confidential reports with performance appraisal, is an attempt to influence a change in performance of staff. This system is intended to be a base for staff salary increments and promotion. The Labour Code Order of 1992 (Kingdom of Lesotho 1992: 1220-1223), which guards against unfair labour practices, is another document that provides legal guidance on employment contracts, termination and dismissal.

In some Western countries the need for policies on how to manage the human resources also exists. Such an example is Scotland. The Scottish Higher Education Funding Council (2002: 10) shows the importance of staff equal opportunities policies and to have them monitored to assess their impact. The equal opportunities policies cover issues that may lead to unfair treatment of staff or applicants (Scottish Higher Education Funding Council 2002: 10). In addition, the institutions are to observe the Race Relations Amendment Act. In the management of staff, institutions are to ensure that their actions comply with the set legal requirements within their contexts. Non-compliance may lead to legal action against the institution.

The policies on performance management may vary in countries to suit differing contexts. Nevertheless, the intention is to establish a firm legal foundation that supports the purpose of performance management. Other important elements in the formulation of policy are the purpose and goals of performance management (Strydom & Van der Westhuizen 2001: 84) as discussed in Chapter three (see 3.2.3) under the management of performance appraisal. This thesis argues that a performance management policy framework has to emphasise that the purpose of appraisal is scholarship development.

The discussions on the legal context within which institutions operate, reflect that existing laws in the external environment govern the conduct of industrial relations between institutions and their employees (Mullins 2002: 710; Bennett 1997: 37). The implication is that management has to understand the legal environment in order to take appropriate action, which - in turn - may motivate staff and improve the effectiveness of an organisation. It is important in Lesotho to have a legal base for the management of staff performance to safeguard employees from unfair treatment. The laws also guide employers on proper practices.

The policy has to indicate the strategies to be adopted in order to promote scholarship and the nexus between teaching and research. Policies have to provide guidance on skill and knowledge required from staff to achieve

desired goals. They must also indicate how the skills will be assessed and developed to optimise the human contribution for the achievement of organisational goals (Hannagan 1998: 4-5; Sanyal *et al.* 1996: 4). Policy therefore has to indicate the importance of skilled staff to achieve strategic goals; how scholarship will be developed; and criteria for the assessment of performance.

How can a performance management system strengthen the nexus between teaching and research at the policy level? Though teaching is regarded as the core activity in higher learning, literature indicates that research is a valued component of higher learning due to the critical reflection inherent in it (Elton 1992: 258). In an attempt to raise the status of teaching, it must be indicated at the policy level that critical reflection should be a component part of teaching to enhance content and pedagogy (Elton 1992: 258) as discussed in Chapter four under the nexus between teaching and research (see 4.4).

The nexus should also be reflected in tasks assigned to staff through job descriptions (Hannagan 1998: 5). Emphasis of the nexus in policy statement will clarify what is to be evaluated. Similarly, the policy framework must indicate the value that the institution attaches to teaching and research. The inclusion in policy will result in an effective performance management system, since what has to be evaluated, will have been clarified. While at the institutional level the framework has to stipulate that policies should be clear, it must also indicate that at the individual level plans have to be clarified and agreed upon.

5.3.2 Performance agreement plans at the individual level

The tasks of staff members are significant components of a performance management framework, following the policies, strategic plans and objectives of an institution. Drawn from the strategic plans, the job description is a foundation upon which the evaluation of staff performance is based. The job description links individual tasks and objectives to those of the team, the department and the mission of an institution (Fisher 1996: 38; Armstrong 1996: 439). A performance management framework has to stipulate that it is

important for the appraiser and the appraisee to agree on plans and indicators of performance. Its design forms a base for decisions on standards of performance that the jobholder is expected to achieve. If a performance management framework does not provide guidance on the matters discussed above, it may be impossible to determine whether staff perform according to expectations (Summers 1999: 3).

How should management ensure that the staff achieve institutional goals? Skills required are indicated during job design and at the time of recruitment. But, due to technological advances, the skills that staff possessed at time of recruitment may be irrelevant during their period of employment (Edis 1995: 21). The performance management framework has to emphasise the need for a correlation between tasks and competencies required and continuous scholarship development to align staff competences to the required performance levels. Information on performance needs to be gathered on a continuous basis. Frequent communication can clarify performance expectations and ensure that changes are effected on time (Nickols 2000a: 2 of 8).

The dynamic work environment demands that individual work objectives be reviewed. The frequency of a review will depend on the circumstances of the job and the individual. A performance management framework has to indicate the frequency of performance review and this has to be communicated to staff. Care must be taken in the formulation of individual work objectives. Literature advises on setting smart objectives to ensure easy evaluation of individual contributions (Armstrong 1996: 457; Hannagan 1998: 129). Difficulties in agreeing on objectives such as problems in defining performance indicators, refusal of staff to accept standards and underestimation of capability of staff to achieve objectives, may be averted through initial training, continuous guidance and coaching. A performance management framework has to ensure that work objectives are reviewed, as well as that performance standards and indicators are agreed. In higher learning institutions of Lesotho, for a system of appraisal to be effective and

sustainable, work objectives have to be reviewed, and standards and indicators of performance should be agreed.

5.3.3 Principles of performance management

A successful performance management scheme is founded on principles (Metcalf 1994: 95; Fisher 1996: 13-14), which provide boundaries within which decisions should be operated. Decisions based on principles are considered as justified. According to Schofield (1996a: 6 of 7) these principles include:

1. Obtaining the support of senior management and maintaining it.
2. Careful planning to ensure a favourable reception of the new scheme.
3. Effective implementation and feedback.
4. Continuous monitoring and updating to secure progressive improvement of the system.
5. Ensuring that the system is simple.
6. Extending the levels of skill to those likely to be involved through training and other processes.
7. A follow up of the results of the procedure through the departmental reviews.

Like the policies, strategic goals and objectives, the principles are to be incorporated into the performance management framework, with the intention to provide guidance and to improve performance management. It is also essential to ensure that performance management is conducted at a time most useful to the individual concerned (University of Durham 1994: 2). The frequency of appraisal will therefore depend on the type of activities performed and on the context within which staff operate. The framework should also indicate the purpose of the management of performance.

5.4 THE PURPOSES OF PERFORMANCE MANAGEMENT

There are conflicting views on whether the purpose of performance appraisal should be developmental or administrative, as discussed in Chapter three (see 3.2.2). Some writers emphasise that the purpose of appraisal should be to develop staff competences (Fisher 1996: 11; Schofield 1996b: 3 of 5).

Others consider appraisal judgemental with negative effects on staff performance (Coens & Jenkins 2000: 33). In view of the differing views on the purpose of performance management, what purposes should performance management serve in higher education?

Performance management is introduced to serve various purposes. Some of these purposes are to provide feedback for either formative or summative personnel decisions; to provide a basis for self-evaluation; for equitable staff treatment; to facilitate succession planning; and to ensure that the organisation meets legal and political needs (Schofield 1996b: 2 of 5). An institution of higher learning cannot achieve all purposes at the same time, but it can select a system from three general types (Schofield 1996b: 2 of 5; Tyson & York 1997: 128; Quinn & McKellar 2002: 74). The three personnel management types are those related to personnel management needs; those intended to improve current and future performance; and those that focus on individual development. These systems are discussed with the intention to find if they are suitable in higher education.

5.4.1 A performance management system related to personnel management

The personnel management system is introduced to provide data on staff for systematic and equitable distribution of awards. According to this system, supervisors have the ability and the authority to judge and do not need training. The data on staff performance is confidential, no discussions are held with appraisees and no attention is given to the developmental needs of staff members (Schofield 1996b: 2 of 5; Tyson & York 1997: 129-130). This system is criticised for being authoritarian. It gives little insight into how individual performance should be improved.

The underlying philosophy of the personnel management system makes it unsuitable for use in the higher education system. As an annual scheme, it does not provide continuous feedback required to indicate staff competencies to be improved. The one-sided information given by the supervisor is not sufficient to give a holistic picture of factors that inhibit good performance.

Through this system, the goals of the institution may not be achieved, since it does indicate crucial skill areas that need improvement.

5.4.2 Systems intended to improve current performance

These systems are intended to improve the current staff performance. Unlike the authoritarian systems, the current performance systems provide for the involvement of staff and appraisers in the performance management process. These activities include the review of previous performance; identification of opportunities and needs for improved performance in addition to identifying constraints and obstacles in implementing tasks (Schofield 1996b: 3 of 5; Tyson & York 1997: 129-130). Based on management by objectives, the systems are an improvement on the rating schemes. The strength of the system lies in the joined setting of objectives against which individual performance is measured. Since the system is job-related, it makes the job and its priorities inevitable.

The systems are criticised for using quantitative indicators, since they leave out the valuable qualitative aspects of the job, which cannot easily be specified quantitatively. If the system is linked to performance-related pay, it is considered to be counter-productive, since it focuses on the individual and not the job (Parsons & Slabbert 2001: 77). Aspects like time needed to perform an activity is not considered important, since the focus is on the output of activity. The argument is that the time taken for an activity should be considered in the assessment of performance. The implication is that substantial time is required to produce quality output. The systems that focus on quantifiable output are therefore not suitable for the development of scholarship. Higher education institutions require performance management systems which reflect conditions that contribute to or impede performance and also pick up activities of value to the institution which can and cannot be quantified. Through self-evaluation, for example, lecturers can narrate their experiences, including external and internal factors that affect their performance.

5.4.3 Systems of performance management, which emphasise individual development

The aim of this system is to develop the individual to perform the job effectively. They provide an opportunity for professional reflection in a structured way; identify individual and group training and development needs; as well as an opportunity for career discussions and counselling (Schofield 1996b: 4 of 5). The systems assess the present skills against the job requirement and determine additional capabilities to meet required outcomes. The appraisal process results in an agreed plan for training and development that could take place on or off the job, including coaching and counselling. The intention is to develop the potential of individuals for their benefit and that of the institution as discussed in Chapter four under the scholarship plan (see 4.5.2).

In comparison with the managerial systems discussed above, the systems that focus on individual development are acceptable to staff. But their success depends on the developed interviewing and interpersonal skills of the appraisers and the appraisees. Though the developmental system is well received by the academic staff, in times of financial stringency, promotion and additional resources may not be envisaged in most countries. This would require that staff members be reduced to maintain consistency in the development of their competencies.

This thesis emphasises that performance management should be implemented to develop staff competences in order to improve organisational performance. The developmental purpose of appraisal has to be incorporated into strategic plans. If research is linked to teaching through scholarship, as discussed in Chapter four under the nexus between teaching and research (see 4.4), and if a developmental performance management system promotes scholarship, such a system will therefore strengthen the nexus between teaching and research. The purpose of a developmental performance management system should be to develop scholarship, which in turn, brings about a link between teaching and research.

5.4.3.1 *Scholarship development*

Scholarship is one of the core purposes of introducing performance management in institutions of higher learning. It is considered to embrace four elements, namely those of research, integration, application, and teaching (Meade, Gray, Heath, Holloway, McMillan, Peart & Robertson 1998: 5). But it should also be considered as a task on its own - different from teaching and research (Elton 1992: 301; Weiser 1996: 1). Academic staff development has to be seen in the light of this broad frame. Though staff are expected to take initiative for their career development, the institution has to provide an enabling environment for this to occur. The performance management framework must therefore highlight scholarship development as the major purpose for the appraisal of academic staff.

Despite the varying opinions on the purpose of performance management, there is consensus on its crucial role in higher education. The external environment within which higher education exists exerts pressure for change (NUL 2003b: 1), as discussed in Chapter two (see 2.2). Appraisal, as a performance management tool, can ensure that change is introduced in a way that encourages innovation. There is need therefore for the authorities in higher education to set missions and goals which guide the implementation of performance management (Schofield 1996b: 4 of 5; Shava 2000: 1).

Performance management is also needed to highlight skills requirements for the achievement of institutional priorities. Staff training, which has been ignored or restricted to the acquisition of postgraduate qualifications in higher education systems, will have to be linked to institutional priorities (Schofield 1996b: 4 of 5). Staff have to perform efficiently and effectively, regardless of whether the resources are scarce. The system of performance management highlights such a need.

The findings of Quinn and McKellar (2002: 77) reveal that participants found the performance appraisal structure helpful in the setting of goals and writing of portfolios. In addition, the participants expressed that the process

encouraged reflection, which led them to write reflective documents and reflect on their job.

Institutions of higher learning have to develop proper management information systems to provide data on staff activities and performance (Schofield 1996b: 5 of 5). A performance management system can provide data on staff performance and the conditions under which staff operate. The developmental performance management system can reveal academic workloads that are likely to deter efficient performance and areas that require qualitative analysis of performance, which were not considered in the past (Parsons & Slabbert 2001: 80).

Management has to ensure that staff are offered training in areas identified for development through a performance management system. Failure to provide training jeopardises any efforts on successive performance management reviews. Lack of funds may be a cause of failure to provide desired training, as discussed in Chapter two (see 2.2.2). In this case lack of funds for development has a negative effect on scholarship development needed to change performance in higher learning. What performance management procedure is recommended in literature?

5.5 THE PROCEDURE FOLLOWED IN THE IMPLEMENTATION OF PERFORMANCE MANAGEMENT

The procedure of performance management covers issues on the structure of management, leadership, the content, and the methods of appraisal. The process focuses on the analysis, measurement, and monitoring of performance, as well as on coaching to improve performance (Armstrong 1996: 440; Fisher 1996: 165-169). The process is intended to improve performance of individuals through the review of their performance. Proper structures that indicate the lines of command are also a prerequisite for a performance management system.

5.5.1 Management structures and leadership in appraisal

The management structures of higher education can have a positive or a negative impact on the conduct and outcomes of the performance appraisal of academic staff. The structure is important for the division of work; defining authority and responsibility; and in indicating how activities are coordinated to achieve organisational objectives and goals. For structures to be a framework for management processes, the tasks and responsibilities, work relationships, and channels of communication need be clarified at all levels of the structure (Mullins 2002: 530).

It is also important to ensure that management exercises good leadership to support staff as discussed under the management of appraisal system in Chapter three (see 3.2.2). Leadership skills and styles can affect performance management. Leadership is about encouraging individuals and teams to achieve desired results and ensuring that employees have competences needed to perform tasks. It is also about giving assurance to staff that their performance is subject to improvement (Fisher 1996: 19; Armstrong 1996: 491). Leaders must possess skills to set clear, measurable and achievable objectives jointly with staff.

Leadership is a catalyst that transforms potential into reality, since it injects enthusiasm and provides resources for the achievement of objectives (Armstrong 1996: 493). The assumption is that leadership skills are essential as a basis for performance management. Lack of these leadership skills on the part of management may result in confusion about the manner in which tasks are conducted. It may also result in resentment and reluctance of staff to participate in performance management. Management and staff need to maintain concerted efforts for the efficient management of their institutions. The importance of the quality of leadership has to be highlighted in the performance management framework.

The values and interests of both the leaders and the staff must be integrated for the performance appraisal to be successful. Edis (1995: 24), however, cautions that professional staff and management may not agree on their

definition of ideal performance. The differences in their perceptions on what constitutes indicators of good performance can negatively impact on an integrated approach towards performance appraisal. The success of appraisal depends, among other things, on agreement on methods to be used and the indicators of efficient performance (Layzell 1998: 200).

5.5.2 Content of appraisal

The content of appraisal has to comprise what is to be appraised and the methods of appraisal. There are differing opinions on what should be appraised. Opinions vary on whether appraisal should focus on inputs, processes and outputs. The focus of appraisal in this thesis, as indicated in Chapter four (see 4.5), is on the outputs of/or the indicators of scholarship. The argument is that both the measurable and non-measurable aspects of lecturers' performance should be considered as important in appraisal.

5.5.3 Methods used in appraisal

There is concern with regard to the validity and reliability of methods used in the assessment of performance (Hannagan 1998: 22; Fisher 1996: 26). The argument is that data that results from qualitative methods is not reliable enough to be used for promotional purposes. As a result, managers value upward feedback for developmental purposes, but do not consider it appropriate for promotion decisions (Fletcher 2001: 5). Performance management also has content.

Various methods have been proposed for the management of performance in an attempt to make the process free from bias and more objective. According to Cascio (1998: 66) and Mullins (2002: 706), the measurement of performance may be a combination of objective or quantitative measures and subjective or qualitative measures. Both types of measurement have strengths and shortcomings. Oberg (s.a.: 3) proposes that some performance management techniques be matched with performance appraisal objectives to achieve effective performance and to avoid pitfalls. The following discussions focus on the strengths and weaknesses of the methods of the performance

management system. None of the methods are able to achieve all the purposes for which institutions introduce performance management.

5.5.3.1 *Essay method of appraisal*

One method of performance management is the essay appraisal. In this technique the rater writes a paragraph that reflects the ratee's strengths, weaknesses and potential, in addition to making suggestions for improvement. The information collected is assumed to be valid. However, this method is criticised for its varying length and content and its focus on different aspects of an individual's performance. The variability makes it difficult to combine or compare staff (Oberg s.a.: 4). Comparison is essential if the purpose of performance management is to differentiate staff for merit pay. The graphic method is proposed if the purpose is for comparison.

5.5.3.2 *The graphic rating scale*

The above-mentioned method shows the degree of performance of staff member. It is important that the scale be defined clearly for the rater. This method is considered to be consistent and reliable. It assesses the quality and quantity of individuals' performance according to whether it is outstanding; above average; average and satisfactory. Graphic ratings may also include personal traits and specific performance items like oral and written communication. It is cheaper to develop and acceptable to most supervisors (Cascio 1998: 71; Oberg s.a.: 4). Graphic ratings are usually less time-consuming to develop and administer; they permit quantitative results to be determined; consider more than one performance dimension; and are standardised, making them comparable among individuals (Cascio 1998: 71). The disadvantage of rating, if incorporated in a performance management review, is that pay considerations are likely to dominate the review and key developmental aspects of the appraisal process may be neglected (Armstrong 1997: 256). In higher education, the focus of appraisal should be to highlight areas that need development.

5.5.3.3 *The critical incident appraisal method*

In this method critical incidents are reported on things that employees do which stand out as effective or ineffective in accomplishing their jobs. The supervisor of each employee records the incidents as they occur. Supervisors focus on the actual job behaviour, not traits. They judge performance and not personality. This method enables employees to notice required changes in their job behaviour for them to improve. In addition, critical incidents provide information about organisational problems in general (Cascio 1998: 69).

Like other approaches to performance management appraisal, the critical incidents method has drawbacks. It is time-consuming and burdensome for supervisors to record incidents of all their subordinates on a daily or weekly basis (Oberg 2002: 6; Cascio 1998: 69). Information may thus be delayed. In their narrative form, incidents are not easily quantifiable and this poses problems between individuals and between group comparisons, as well as in statistical analysis. In the critical incidents appraisal, supervisors set standards of achievement. This method could be used in higher education, since it is crucial to have standards against which performance will be evaluated and to record lecturers' performance continuously and in a narrative form.

5.5.3.4 *Management by objectives*

The management by objectives technique is another method that could be used. The technique was adopted for the variety of its benefits. It ensures that individual and organisational objectives are integrated; it eliminates ineffectiveness that would arise from management by crisis; and makes it possible for managers to control their own performance (Armstrong 1996: 433-434; McGregor s.a.: 4).

The management by objectives technique is criticised for its bureaucratic and centralised nature. It is a top-down process with no dialogue between managers and subordinates. Communication can ease the discomfort arising from appraisal (McGregor s.a.: 2). The technique is also criticised for over-

emphasis on quantifiable objectives and outcomes and less emphasis on qualitative factors and behavioural aspects of performance (Armstrong 1996: 435). This implies that the technique does not consider circumstances beyond the control of the individual which may hinder the achievement of objectives (Mullins 2002: 706). In addition, the focus on quantifiable outcomes may create fear, resentment, and have a negative impact on staff morale (Fisher *et al.* 2000: 11 of 23). To avoid failure in the achievement of objectives, staff members are to agree with their supervisors on their contributions to the strategic plan. A performance appraisal framework has to stipulate the importance of agreed goals.

5.5.3.5 Behaviourally anchored rating scale (BARS)

Another method of performance management is the behaviourally anchored rating scale (BARS). This method is intended to reduce weaknesses posed by the forced-choice scales. It is a change from attempts to assess abstract qualities and to focus attention on actual performance and behaviour (Tyson & York 1997: 132; Mullins 2002: 706). The weaknesses of the technique are that it is time-consuming and costly to construct. Separate BARS have to be developed for jobs that are not the same; staff are required to go through detailed training before using them; and for many organisations the approach may not be practical (Mullins 2002: 706; Cascio 1998: 73). There is little empirical evidence to support the superiority of BARS to other approaches (Cascio 1998: 73). It is imperative to indicate the performance management technique that can be suitable to enhance scholarship.

5.5.4 Methods and techniques suitable for higher education

The performance management framework has to indicate that the assessment methods used in higher education should emphasise scholarship development, not judgement. In the assessment of performance, there is a tendency to place high value on numerical and measurable aspects of the institution, but low value on the aspects that cannot be quantified (Layzell 1998: 201). While the measurable performance indicators are familiar and easy to use for decision-makers, they focus on one dimension of performance.

The qualitative methods of performance, are difficult to apply, since they need much discipline. An effective performance management system should use both the quantitative and qualitative methods to obtain a holistic and a multi-dimensional view of individuals' performance (Layzell 1998: 201). Nevertheless, the methods that should be emphasised in higher education and that are suitable for scholarship development are qualitative methods. These methods consider factors within the context of operation that affect staff performance (Parsons & Slabbert 2001: 77). Methods such as 360-degree feedback, critical reflection, student and peer review, reflect qualitative aspects of performance. The quantitative data should only be used to supplement the qualitative data and to enhance its credibility.

The methods of appraisal should suit the purpose for which they are intended. Quantitative methods are mostly suitable in comparing staff performance for purposes of promotion. The use of numbers to rate performance is criticised, since it causes staff members to focus on what they can do to be rated high rather than on how best they can achieve the institution's mission and goals (Archer North & Associates s.a.a: 3 of 4). The use of numerical data to reward staff performance creates a threatening system and a win/lose mentality. Linking numerical data to reward causes appraisees to be anxious and defensive instead of being open in discussing their strengths and weaknesses. The qualitative methods, also interpret and contextualise performance. They link academic staff performance to scholarship development, since they consider all incidences that contribute to a lecturer's performance.

The question that emerges from the above discussions is whether appraisal data should be linked to the reward system. There are views that support the link of appraisal data to reward, particularly pay and promotion. The argument for the support is that lack of congruency would lead to staff dissatisfaction and demotivation, since their expectation is that there should be a link (Archer North & Associates s.a.a: 4 of 4). The other view is that the appraisal results should be separated from rewards.

There are risks in linking appraisal outcomes with rewards as discussed above (see 5.5.3.2), but also in denying that a link exists. In the case of linking outcomes with reward, pay becomes the focus, not competences that are to be developed. If the purpose of appraisal is to develop staff, it should depict areas that need development. Salary increase should be based on other factors like the market worth of individuals and their potential (Armstrong 1997: 257). The argument of this thesis is that appraisal results should be linked to scholarship development. Therefore the methods of appraisal should fit this purpose to ensure a sustainable system that enables higher education to achieve its mission. At the same time, data collected through these methods and for scholarship development should be used to reward performance that qualifies for the reward. Therefore, if practice is linked to purpose when setting goals and selecting appraisal techniques to achieve them, the pitfalls of appraisal can be reduced (Oberg s.a.: 9 of 9).

The methods suitable for scholarship development in higher education are peer review, self-evaluation and the 360-degree feedback. The peer reviews should be done often enough and across a range of instructional situations to provide a meaningful body of evidence and should be early enough to allow for the use of feedback for improvement (Ohio State University 2002: 4 of 4). Since peers are involved in a similar task, they are in a position to help one another in a practical and non-threatening manner (Metcalf 1994: 104). Peer evaluation promotes the scholarship of teaching, since it causes a lecturer to reflect on practice.

Reflective practice and self-evaluation by members of faculty are important components of systematic evaluation of instruction. Self-evaluation data provides information on a faculty member's teaching goals and is a credible source of data for promotion and tenure decisions (Ohio State University 2002: 4 of 4). The 360-degree method of appraisal is also considered reliable and fair (Nardoni Associates 1997: 1 of 2). This method has gained acceptability, since it draws feedback from a number of sources. It is also essential to adopt appropriate techniques that fit the purpose of appraisal.

The techniques that would fit the purpose of scholarship development are the management by objectives and the critical incident appraisal method. The evaluation of performance has to be based on agreed objectives. Both the critical incident appraisal and Management by Objectives (MBO) focus on actual behaviour and actual results can be discussed objectively and constructively (Oberg s.a.: 9 of 9). MBO provides supervisors and appraisees with feedback to check performance against agreed goals. The technique is likely to lead to inner commitment and to improved performance if it involves real participation (Minty & Bennett 2001: 22; Oberg s.a.: 9 of 9). Despite its weaknesses, it is appropriate for higher education, since it is concerned with the achievement of specific work targets and provides feedback on results. Clear and agreed objectives, including prompt feedback, are essential for scholarship development. The evaluation of performance has to be continuous to detect areas that need support (Armstrong 1997: 237), while the critical incident appraisal method is suitable, since it depicts areas in which staff development should focus. The section that follows discusses the sources of performance appraisal data.

5.6 SOURCES OF STAFF PERFORMANCE APPRAISAL DATA

The performance appraisal framework has to ensure that data used for appraisal emanates from various sources, not only from the supervisor. The 360-degree feedback, peer review and self-appraisal data have to be used in staff appraisal to promote objectivity.

5.6.1 The 360-degree appraisal

The multi-rater approach, which recognises the usefulness of critical information gathered from a multitude of sources, is regarded as the 360-degree feedback (Coens & Jenkins 2000: 122). It is a questionnaire-based process which gathers structured feedback from a number of sources about the style and behaviour of an individual or a team at work (Nardoni Associates 1997: 1). The 360-degree feedback is regarded as beneficial, since it can improve teamwork, facilitate better communication and boost productivity. In the management of performance in Lesotho higher education institutions, the

use of the multi-rater approach can reduce bias, since the supervisor or head of department will not be the only source of information on staff performance.

Despite the value of the 360-degree feedback, there are weaknesses within this process of gathering performance data. First, it may not be effectively implemented in organisations where leaders dominate their subordinates, since employees are unlikely to be honest and open in their feedback (Mullins 2002: 702). Second, managers who are not enlightened about its effectiveness, may not feel committed to use it. The third observation is that the differences in contexts may cause raters from different levels to have biases.

The 360-degree appraisal also involves upward feedback. Upward feedback can reveal a manager's ability to accept criticism and it fits best in an organisational culture of trust and openness (Cascio 1998: 64; Mullins 2002: 702). The difficulty of changing from a traditional, top-down feedback system is that managers are not enlightened with regard to effectiveness and not committed to its implementation. A performance management framework has to emphasise the importance of both upward and downward feedback throughout the year on staff performance. This will enable management to undertake corrective measures where necessary.

Though different contexts may cause appraisers from different levels to place different emphasis on specific aspects of job performance, the quality of appraisals can be improved through training that focuses on the elimination of some common judgemental biases (Cascio 1998: 64; Fletcher 2001: 5). Nevertheless, since the multi-rater approach is a recent one in the evaluation of performance, its relevance, validity, utility and acceptability has to be considered (Jarvis 2002a: 12).

A variety of perspectives collected throughout the year not only provides a base for decisions on continuous improvement, but can also be used as evidence of performance during the formal discussions. Perspectives of external examiners, for instance, are intended for scholarship development.

However, their authority to veto student assessment is questioned on the grounds that lecturers have better knowledge about students' performance due to their acquaintance with students' work (Loder 1990: 27). This makes the validity of their feedback questionable. Peers can also provide views on how their colleagues perform.

5.6.2 Peer appraisal

Performance appraisal is considered useful and leading to long-term efficiency if conducted by colleagues. This assessment involves three basic methods that include peer nomination for identifying people with high or low levels; peer rating which provides performance feedback; and peer ranking for discriminating various levels of performance (Cascio 1998: 62). It is not only considered as a method which critically analyses issues, but also as a method which reduces fear related to career consequences of admitting mistakes (Hannagan 1998: 325). According to Quinn and McKellar (2002: 75), academic staff performance counts if it withstands the critical assessment of individuals and colleagues.

However, both positive and negative peer assessment have weaknesses, which may render them unreliable. Positive peer assessment is criticised on the grounds of friendship bias. It is criticised for undermining intrinsic motivation. If it is coupled with appraisal, it may be considered as judgement and control rather than sincere appreciation of work done (Coens & Jenkins 2000: 130).

A negative peer assessment is regarded to reduce group cohesiveness and the performance of the group (Cascio 1998: 60). However, negative criticism does not always demotivate, but can motivate staff to perform. To increase the value of feedback and decrease bias, performance criteria on which peer assessment is based, have to be specified in the performance management framework (Casio 1998: 60).

5.6.3 The self-appraisal data in performance management

An appraisal method that would be less threatening to appraisees and which is likely to raise areas that need development, is self-appraisal. This view is based on the assumption that the appraisees know the conditions under which they perform and the factors that contribute to their performance best. The fact that supervisors resist conducting appraisal, in view of the discomfort of being judges of individual worth, makes self-appraisal gain preference (McGregor s.a.: 3 of 9).

In self-appraisal subordinates make their own appraisal of what they have achieved based on the targets they set in agreement with the supervisor. Subordinates and not their bosses or peers understand their capabilities, weaknesses and goals better. Another underlying assumption is that self-evaluation is a change from the bureaucratic approach to the participatory performance appraisal approach (McGregor s.a.: 5-7). Self-evaluation is considered as a necessary and legitimate process for the academic profession and as part of accountability and professionalism (Moses 1988: 248; Quinn & McKellar 2002: 74). It is assumed that self-appraisal should improve individual motivation and reduce defensiveness since it provides the individual with an opportunity to participate and to set goals (Cascio 1998: 63).

Self-appraisal contributes to the multi-rater system of feedback. Therefore, self-appraisal data has to be collected throughout the year to reflect shortcomings and to aid the formal and formative performance management process. It demands critical reflection on content and methods of teaching. Critical reflection helps lecturers to improve the scholarship of teaching. This method can therefore be recommended for the appraisal of academic staff, since its data comprises staff's reflections on their strengths, weaknesses and their context.

Nevertheless, self-evaluation has flaws which may result in invalid information for judgement of performance. The flaws constitute unclear underlying aims; doubts with regard to the validity and relevance of self-assessment data make

its credibility questionable (Radford *et al.* 1997: 91). In addition, self-evaluation undertaken to comply with external demands may result in invalid information. If the information is invalid, the decisions based on it are likely to raise doubts and are not worthwhile. Another criticism against self-evaluation is that, in comparison with other forms of appraisals, it tends to be lenient, biased and agrees less with the judgement of others (Cascio 1998: 63).

5.6.4 Aspects to be appraised

An appraisal system can be used to measure attitudes, behaviour or traits and performance using quantitative or qualitative measures (Mullins 2002: 706; Cascio 1998: 83; Layzell 1998: 201). The teaching portfolio is also included in the evaluation of staff performance. There are arguments against the use of attitudes in appraising individual performance. The argument made is that people are not consistent in the ways they express behaviour. Their behaviour can change. Therefore people's behaviour cannot be predicted (Armstrong 1996: 132). The trait theory, which predicts people's behaviour, has been criticised as an unreliable basis to predict future behaviour, since traits ascribed to people are not fixed and they cannot be displayed consistently in all situations (Armstrong 1997: 269). On the basis of this argument, it is not proper to use traits as a basis for judgements when assessing staff performance.

Assessment of performance can also be made on the outcomes of teaching and research. However, no agreement has been reached on what is meant by academics' effectiveness and on how it should be measured (Casterter 1992: 300). Five variables are used as criteria to analyse the performance of lecturers objectively. These are lecturers' characteristics, competencies, performance, students' learning experiences, and their learning outcomes.

There are other variables that are not controlled by the academic staff. These are the training of lecturers; the external and internal context as discussed in Chapter two (see 2.2); and individual student characteristics. The variables that are beyond the control of academic staff have a direct bearing on the issues that form the basis of their assessment. If the criteria on which their

assessment is based, were beyond their control, one would argue that they are not a just measure of their performance.

Assessment of teacher performance can also be based on the output of their research. The measurement of research output is considered a difficult task as reflected in the four measures of research output, namely peer review, publications, citations, and research income (Johnes & Taylor 1990: 148). Measures of research income would give a more up to date picture of the research output. However, this measure of research output is criticised for its inability to reflect the quality or quantity of research, except the market value of the research being undertaken (Johnes & Taylor 1990: 154), because income is an input and not an income of the research production.

Besides the use of research output as a measure of performance, the teaching portfolio can also be used as a measure for teacher performance. The portfolio is considered valid in that it is a comprehensive documentary of the activities and accomplishments of a teacher based on reflection and analysis of teaching as perceived by the teacher and others and as viewed from the students' outcomes. It is intended for purposes of developing staff in a non-threatening manner. By collaborating in the preparation of portfolios, staff have the opportunity to become involved and own the process. In comparison with student appraisals used for summative purposes, portfolios document promote teaching ability in a more comprehensive manner (Seldin 1999: 4). Though portfolios could serve as measures to assess academics' performance, their subjective nature and lack of standards related to their construction make it difficult to interpret and evaluate the evidence objectively. Academics also find it difficult to pay equal attention to all three functions, due to various reasons, including lack of time, expertise and personal preferences. There are also some ethical issues which have to be noted in the design of a performance management system.

5.7 ETHICAL ISSUES RELATED TO PERFORMANCE MANAGEMENT

Appraisers need to adopt ethical behaviour in the appraisal of performance. This is essential, since the results of appraisal can affect the interests of

subordinates either positively or negatively for a long time (Castetter 1992: 280; Parsons & Slabbert 2001: 75). Appraisees need to be assured of the moral tone and ethical expectations of the appraisal process. Such ethical concerns include preparation before conducting appraisal process. The assumption is that if appraisers know how to conduct appraisal, this will eliminate weaknesses in the appraisal process, hence making it acceptable as a management process.

Some ethical issues to be considered during the appraisal process include confidentiality in the control and use of information; timely report and feedback on appraisees' performance; participation of appraisees; the use of objective means of securing data and equitable judgement of appraisees (Quinn & McKellar 2002: 74). It has to be emphasised in the performance management framework that, throughout the year, performance management has to be guided by ethics of good management. A framework for performance management must emphasise the use of techniques that promote development of staff.

5.7.1 Characteristics of the appraiser

With consideration to the various purposes that performance appraisal serves, the calibre of the individual who appraises is important. Besides being trained in the techniques of appraisal and being cooperative, the appraiser must have direct experience with the appraisee (Cascio 1998: 62; McGregor s.a.: 5 of 9). However, supervisors may not have the expertise needed for proper appraisal (Fisher 1996: 137). Their lack of skills, coupled with their mistrust of the usefulness and validity of the scheme; their dislike of criticising people to their faces; all make supervisors a barrier to the effectiveness of the appraisal process (Fisher 1996: 137; McGregor s.a.: 2 of 9). In addition, supervisors are currently not up to date on the technical dimensions of a subordinate's work. The supervisor's rating of a subordinate can therefore be supplemented through the views of external examiners, peers, members of the faculty, subordinates, clients served, and through self-appraisal (Mello 2002: 300; Mullins 2002: 702). In the evaluation of staff performance the number of

students, the number of lessons and the number of courses taught have to be noted in order to make a fair assessment.

5.7.2 Balanced work loads

The equitable distribution of workloads among academic staff can contribute to staff acceptance of performance appraisal. The absence of this feature of fair distribution of workloads among staff in the job design causes a job to have an inherent characteristic of unfairness. Perceived elements of unfair distribution of workloads reduce staff motivation. If the appraisal and reward systems are based on information gathered within such a context, it is perceived as unfair - more so if overload contributes to ineffective performance. The increase in workloads among staff is problematic (Hall *et al.* in Strydom *et al.* 1997: 439). Equitable distribution would provide a base for a structure of performance (Parsons & Slabbert 2001: 74). One requirement for performance to be effective is to ensure that systems, and individuals are not overloaded (Edis 1995: 38). This argument points to the importance of appraisal design and motivational strategies used as frameworks that could lead to more humane and productive environments, embedded in equity theory.

There are variations in views on what constitutes an academic's workload. The workload is based on the mission of higher education institutions, which is focused on teaching, research and community service (Muller in Strydom *et al.* 1997: 499). While research and teaching are considered complementary, academic staff are to allocate 20-30% of their time to research and 70-80% to teaching (Muller in Strydom *et al.* 1997: 499). In the design of a performance management framework, particularly when jobs are designed, criteria on the manner in which tasks will be allocated have to be decided. While job allocation can be a determining factor in the staff acceptance of a performance management system, so is scholarship, since without emphasis on scholarship development, the system may seem threatening and hence be rejected.

5.7.3 Staff participation in the appraisal process

Staff participation is another ethical issue worth considering in the formulation of a performance management framework. Staff participation in the formulation of objectives has an effect on the implementation of performance appraisal. Staff members have to know how their work contributes towards the achievement of their objectives and those of the organisation. This demands collaboration and joined discussions between the employer and the employee. Participation implies that, while employers/leaders have a vision and initiate change, they must play a central and facilitating role to bring diverse employees together in participative management (Mullins 2002: 702; Cattell 1999: 140).

Participation of staff members in the formulation of objectives gives them an opportunity to exercise their influence. Participative management provides an opportunity to share responsibility, risk and success (McGregor s.a.: 2 of 9; Minty & Bennett 2001: 22). Open discussions raise new possibilities and alternatives. The main requirement for open discussions is trust. If management does not practise what it professes, mistrust results. Appraisal conducted within such a context raises fear, doubt and resistance to participate rather than espoused freedom and empowerment (Coens & Jenkins 2000: 38). The implication is that the appraisal process must be built on trust.

5.8 CONDUCTING FORMAL APPRAISAL DISCUSSIONS

The formal appraisal discussion is a series of tasks performed by both the appraiser and the appraisee to ensure that the necessary documentation that forms the basis for the discussions is available. Before the appraisal interview the appraisers and the appraisees must undergo training for them to understand their roles and the relevance of the appraisal interview in the achievement of organisational goals. They should also be aware that interpersonal relations are crucial, since they have to agree on future plans and indicators (McGregor s.a.: 2 of 9).

The appraiser and the appraisee have to hold the pre-interview meeting intended to reduce anxiety that the appraisee might have. At this meeting both discuss documents needed for the formal interview, namely the curriculum vitae (CV), the job description, and the self-appraisal form. The CV provides the context for appraisal interview. The self-appraisal provides an opportunity for reflection and self-review, which can inform future development plans and objectives. These documents form evidence of performance in the formal review meeting (Quinn & McKellar 2002: 75). The formal review involves analysis of performance, assessing reasons for underperformance and agreeing on how strengths can be developed. Lastly, it also provides feedback.

In summary, appraisal discussions should be based on fact and not opinion; they should focus on actual events; and compare results with agreed objectives (Fisher 1996: 94; IoE s.a.: 5). Performance analysis has to be done by reference to agreed objectives and performance measures. The appraisal interview is a confidential discussion assisting the appraisee to review current responsibilities, develop full potential, as well as advance career and job prospects.

5.9 INTRODUCING AND OPERATING PERFORMANCE MANAGEMENT

There are several issues to note when an accepted performance management system is introduced, to ensure its sustainability.

5.9.1 Gaining top management commitment

The success of a developmental performance management system depends on management support. It is essential therefore that management is committed to supporting and maintaining it. The top management team, as the leaders of change, has to practise the behaviours required for the successful implementation of the system (Minty & Bennett 2001: 22). Without commitment at the top, there can be no accountability to ensure that the system succeeds.

5.9.2 Effective implementation of appraisal and the use of feedback

It is essential to monitor implementation and to gather feedback on how the system is perceived by those who implement it. Various data collection methods are to be adopted for this purpose. Frequent feedback can assist management and staff to refine the system and keep efficient performance on track (Schofield 1996b: 4 of 5; Minty & Bennett 2001: 23). There should also be continuous alignment of individual and institutional objectives to ensure that the purpose of scholarship development is enhanced and maintained.

5.9.3 Continuous appraisal of performance management

As a framework for performance management is designed, it should be noted that performance management is a continuous process intended to set direction, monitor and measure performance. The intention of this continuous process is to develop sustained improvement (Schofield 1996b: 4 of 5). The process entails updating of objectives; managing continuous learning; creating a learning organization; assessing accurately; and reflecting differences in performance (Fisher 1996: 151; Armstrong 1996: 445; UCSD 2002: 1). Commitment and participation of staff are essential for learning to be continuous. Managers are expected to deliberately enhance learning of staff in their daily encounters with problems and successes. It should also provide staff with opportunities to practise new ideas.

5.9.4 Making the performance management system simple

The appraisal system should be easy to understand and use. It should clearly indicate its purpose and the procedures. In the case of the individual developmental system, the purpose should be to provide an opportunity for scholarship development; to improve performance; and to encourage commitment (Tyson & York 1997: 130). Formal appraisal meetings should be brief and the paper work be kept to the minimum in view of the fact that the process is continuous.

5.9.5 Training on the implementation of an appraisal system

It is crucial to brief all staff and to train appraisers and appraisees on how to implement performance management. Training will result in commitment and

the sustainability of the system once proper skills have been applied. Staff should understand why the system is introduced; what the procedures are; and be informed that the system is flexible and subject to continuous improvement (Schofield 1996b: 4 of 5; Minty & Bennett 2001: 23). Training should be provided to provide skills on how to conduct some major activities of the process like objective - setting; how to provide feedback; coaching; and counselling (Tyson & York 1997: 131).

Guidance and training will also be necessary in the preparation of performance agreement plans, and in the conduct of performance review meetings. Training of all staff will enable them to understand performance management procedures. If staff understand the procedures in performance management, they are likely to support the implementation of the performance management system. There is also a need to develop interpersonal skills (Armstrong 1996: 487). The appraiser and appraisee need to apply interpersonal skills in review meetings, in order to agree on future plans. As expressed in Maslow's theory, individuals will be motivated to demand training, since it helps them achieve perfection through development (Accel-Team 2001a: 3).

5.9.6 A follow-up procedure on performance management system

A follow-up on the implementation of appraisal is intended to find out if staff members develop their competencies basing themselves on the appraisal feedback. This information could be attained by means of departmental reviews through focus group discussions and through individual interviews. A follow-up procedure would also involve the preparation of a future plan of action on how appraisal can be implemented to improve staff performance. A successful system also clarifies the procedure for rewards.

5.9.7 Incentives and punishment

The reward system, in particular performance-related pay, is adopted by some institutions on the assumption that the success of a performance management system depends on individuals' and institutional awareness of the benefits of appraisal. Staff expectations have contributing effects on the

success of performance management (Edis 1995: 11-12). The expectancy theory proposes that performance and not effort must be rewarded. Thus people will make an effort to achieve, if performance it is rewarded (Edis 1995: 12; Armstrong 1996: 160-161). Extrinsic motivation works only if the link between effective effort and reward is clear and if the value of the reward is worth the effort (Armstrong 1996: 161). It is therefore important to relate performance-related pay to staff performance and to differentiate pay according to performance (Schofield 1996b: 3 of 5; UCSD 1999: 1). In addition, management has to justify that it is systematic in its decisions regarding rewards by basing explanations of rewards on a criteria-evidence-judgement-decision model (Tyson & York 1997: 131).

The linkage between pay and performance is a debated issue in the management of human resources. The debates centre on whether performance appraisal results should be linked to pay decisions. Views against the link indicate that if appraisal results are linked to decisions on pay, this can create a threatening and punitive system of appraisal (Archer North Associates s.a.: b: 2 of 4). Proponents of this view express the opinion that an effective developmental appraisal system can be implemented without links to rewards (Hughes *et al.* s.a.: 6). A separation of the appraisal results from the reward system is also considered problematic, since both processes of appraisal and reward involve the supervisor. Views that support the link argue that appraisal data can inform decisions on other human resource processes (Hughes *et al.* s.a.: 6). It is for higher education institutions to decide whether to introduce the link between appraisal and rewards as they review their systems. The debate on the link between appraisal information and rewards is one of the factors that help to emphasise the point that appraisal should be linked to scholarship development, as discussed in Chapter four (cf. Table 4.3; 4.5.3).

5.10 MAJOR COMPONENTS OF THE SYSTEM OF PERFORMANCE APPRAISAL

It seems from the above literature perspectives, that the system of performance appraisal has to be designed on a framework. First it has to be

based on agreed tasks drawn from the mission and strategic goals of the institution. According to the perspectives a system can be successful if is formal, continuous and feedback with regard to staff performance not only from the supervisor, but is also gathered through the 360 degree approach. In addition, the formal performance review ends with a plan of action.

5.10.1 Types of performance appraisal systems

There are various types of performance appraisal systems from which a designer can select. Fisher (1994: 36-38) refers to four types of appraisal systems from which to select. According to Fisher (1994: 34) one system of appraisal may include more than one type of system. Also the type of discourse engaged in a particular institution determines the purpose of appraisal. The discourse refers to the culture of the institution. The first type of appraisal system is peer review and development. The purpose of this appraisal is to provide feedback to appraisees to help them plan for their future self-development. The second type is the competence assessment and development system, which focuses on appraisee's competence and development needs. Both staff and management consider this system is as a mechanism for identifying people with promotional potential (Fisher 1994: 38). The third type of appraisal system is peer accounting. Under this type of appraisal system peers require individuals to account for their actions and their professional practice. Peer accountability is frequently done in the context of an external framework of professional standards and not in terms of the strategic needs of the institution (Fisher 1994: 37). Emphasis on the organisation may be great in the case whereby an institutional survival demands it. This type of appraisal is intended to protect professional autonomy of the appraisee. The fourth type of performance appraisal is performance target setting and review. Performance target setting and review focuses on setting targets for achievement. The targets are hierarchical and quantitative. This means that top management sets and allocates targets to staff throughout the organisation (Fisher 1994: 39). The above discussions show that appraisal systems are based on principles and that the different types of appraisal are conducted for various purposes.

5.10.2 Principles of appraisal

The above discussions show that the success of an appraisal system depends on adherence to principles. The principles become a basis in the design of an appraisal system in order to stress the developmental aspects of appraisal (RSA DoE 1999: 56) and to reduce fear among the academic staff.

The following:

1. The appraisal system has to be based on the mission and goals of the institution (Fisher 1994: 36).
2. The purpose of the system should be to improve current performance through emphasise on scholarship development.
3. The procedure of appraisal has to be participative, open and transparent. The appraisees have to be given an opportunity to express their opinions with regarding the conditions of their work, in particular their work loads.
4. The appraisal system is intended to develop staff, therefore it has to be a continuous process to develop staff potential and to identify areas that require improvement.
5. All staff has to be involved in appraisal and be trained on the implementation of the appraisal system.
6. The appraisal instruments should have criteria that take into consideration the nature of academic work, which involves teaching, research, community service including administrative tasks. This implies that a system that is suitable for the assessment of academic staff has to be developed.
7. The issues that appraisers and appraisees discuss are confidential, but the decisions have to be known so that action can be taken.
8. Feedback, written or verbal, with regard to the appraisal is essential (Topchik 1995: 2).
9. The appraisee has the right to appeal if dissatisfied with appraisal decisions.

5.10.3 Objectives and purposes of appraisal

Another feature in the design of appraisal system is the purpose which appraisal is intended to serve. The two dimensions of appraisal according to Fisher (1994: 34) are, first, whether appraisal should be focused on

accountability or development. This dimension of appraisal evaluates results based on resources or individual behaviour. The second dimension of appraisal is concerned with whether someone hierarchically superior to the appraisee will carry out the appraisal. In this case a peer, a subordinate or an external consultant can carry out the appraisal.

In the design of the purpose of appraisal it is advisable that appraisal should not be a threatening experience to staff and it need not be a ritual if it has to be sustainable system. The experiences of UK universities show that a threatening and ritualistic system is unlikely to last (Bull 1990: 57). The purposes for which appraisal was introduced in the UK universities were the following:

1. To help individual members of staff to develop their careers within the institution.
2. To improve performance.
3. To identify changes in the organisation or operation of the institution which would enable individuals to improve their performances.
4. To identify and develop potential for promotion.
5. To improve efficiency with which the institution is managed.

The appraisal system is intended to:

1. provide an opportunity for appraising in a positive and constructive way the work of an individual member of staff.
2. ensure that the contributions of staff to the department and future plans have to be agreed.
3. ensure that training needs are discussed including the development for future career opportunities.
4. allow for the identification and discussion of difficulties or obstacles which hamper effectiveness.
5. provide a means of balancing the ambitions and personal needs of the individual with the overall objectives of the department and university as a whole.

5.10.4 Procedure for implementing the appraisal system

The formal performance appraisal can be conducted at various times during the year. It may be conducted quarterly, half-yearly or annually. The head of department as a line manager is expected to ensure that the appraisal process is completed successfully. The appraisal process has to be seen by staff as a continuous process of personal development that is based on the department and the strategic plans of a higher learning institution. Three main stages of the process, which, are: the pre-appraisal stage, the formal appraisal stage and the post-appraisal stage.

The pre-appraisal stage is the stage whereby the appraiser and the appraisee prepare the documents needed for the appraisal meeting. It is advisable that the document be submitted a week before the meeting to allow the appraiser or the appraising panel to study them. The appraiser or members of the panel have to know their roles. It is at the pre-appraisal stage that the documents the appraiser submitted – the portfolio and self-appraisals - are checked to find out if they are complete. Also an agenda for the formal review is set.

The formal appraisal involves the actual appraisal of the appraisee which could be conducted quarterly, half-yearly or annually. The appraisal is based on the contents of the portfolio and the self-appraisal. During the process of the review, the appraisers are expected to follow the criteria that have been agreed upon. In the case of academic staff the criteria are teaching research community service and administrative duties that they are engaged in. The decisions reached at the end of the review are to be recorded and signed for by the appraisee and the appraiser/s.

The post-appraisal stage is whereby the decisions on the development and planning are finalised. Efforts are undertaken to satisfy the appraisee with decisions reached. The appropriate departments are provided with outcomes and the decisions of the appraisal review so that action should be taken. In particular the human resource department is informed of some training that has to be undertaken.

5.10.5 The developmental appraisal instrument

The appraisal instrument is a tool that is used to appraise academic staff. The instrument is in three parts, which are the portfolio, a form indicating the outcomes of the appraisal and a brief report indicating strengths and the skill areas that need development.

The portfolio has to include evidence on all areas of appraisees' scholarship, which are teaching, research, and community service including administration. The category achieved under each form of scholarship has to be clarified. This implies that the means of communicating the scholarship and the means of validation have to be clarified and defined.

Under the scholarship of teaching the courses taught; publications on teaching and development and production of teaching materials including professional contribution to the teaching profession in the form holding a responsibility in the learning society form the basis for evaluation of the scholarship of teaching. Under the evaluation of research, the instrument has to consider peer-reviewed publications, presentations, public reports and presentations. While under the scholarship of integration appraisees would be required to indicate within their portfolio, presentations, publications, demonstrations and patents. The criteria for assessment under the scholarship of application include the publication for users, publication of the appraisees' work in periodicals and reports (Weiser 1996: 3).

Besides the portfolio, the instrument includes a record of outcomes form. In the record of outcomes form the objectives of appraisal and the actions agreed are recorded. It includes actions to be taken by the appraiser and appraisee and the agreed date for the follow-up meeting. The record of outcomes form includes the purpose of the job as agreed during planning discussions between the appraiser and the appraisee; the main achievements during the previous year; appraiser's comments during appraisal meeting; appraisee's comments on the process and outcomes and the next line manager's comments. Finally the record of outcomes form includes agreed aims for the following performance period; achievements; problem areas that

require attention; identified areas for training and development including the targets and priorities.

The last form covers information on the development and planning of the department. The success of the department depends on the scholarship of the staff within it. The form has to cover information with regards to the prioritised criteria for staff appraisal during the appraisal period; the strengths and weaknesses of the lecturer; suggested development programme and the provider of the development programme.

A comprehensive system of appraisal therefore covers principles of appraisal; the purpose and objectives of appraisal; the procedure for appraisal including the appraisal forms.

5.11 CONCLUSION

In this chapter the discussions focused on the type of performance management system that can assist management in higher education institutions to monitor the performance of academic staff in order to ensure the effective and efficient achievement of institutional plans. This was done through an analytical discussion of a sequence of activities that constitutes the framework of performance management. The discussions reflect that higher education institutions need to adopt business-related approaches to the management of staff performance to achieve efficiency. Such practices include a shared vision; setting individual targets; and review of processes to identify training and reward in order to also monitor process (Bright & Williamson 1995: 84). It was noted that the bureaucratic management strategies are to be replaced with the type of management, which focuses on the development of staff competences if efficiency is to be achieved (Chetty 2003: 14). The shift is intended to ensure system sustainability. The discussions also indicated that the success of the system depends on leadership that prepares an enabling environment for staff to perform to expectation.

The next chapter will deal with an empirical investigation into the academic staff performance appraisal system in Lesotho higher education institutions.

CHAPTER 6

AN EMPIRICAL INVESTIGATION INTO THE ACADEMIC STAFF PERFORMANCE APPRAISAL SYSTEM IN LESOTHO HIGHER EDUCATION INSTITUTIONS

6.1 INTRODUCTION

The previous chapter focused on participants' views with regard to the implementation of the performance management system. This chapter describes methods used to gather information on performance appraisal in institutions of higher education in Lesotho and their implications for the study. The discussions cover the purpose of the study, how the target population was selected and the instruments designed and implemented. It also describes the data analysis process. The researcher adopted the methods explained below to elicit the perceptions of the academic staff on the implementation of performance management system currently in use at Lerotholi Polytechnic, the National University of Lesotho and at the National Health Training College and how it influences staff to be efficient.

6.2 PURPOSE OF THE STUDY

The purpose of the research is to study the implementation of performance appraisal system in Lesotho higher education institutions (with specific focus on academic/teaching staff) and to suggest improvements. The existing performance management system was introduced to motivate staff to be efficient. Despite its implementation, the public and government were not satisfied with performance of higher education institutions. The inefficiency in Lesotho higher education institutions has prompted the Lesotho government to introduce a developmental performance management system in place of the autocratic system to effect a change in staff performance (see 5.2). The researcher set out to find perceptions and attitudes of the academic staff on performance management in three higher education institutions and their suggestions for improvement. The institutions studied were Lerotholi

Polytechnic, the National University of Lesotho and the National Health Training College. The study set out to find staff responses on the following:

- The purpose and underlying principles of performance appraisal system (see 5.3.3; 5.4; and 7.5).
- The policies and procedures adopted in the implementation of the appraisal system (see 7.5; 7.6; 7.7 and 7.8).
- The relation between scholarship and performance management (see 4.4; 4.5.2; 4.5.3; 7.11; 7.12.1 and Table 4.3).
- The suggestions for the improvement of the existing performance management system (see 7.9 and 8.6.).

The researcher adopted the methods discussed below to elicit information from respondents in the three institutions studied.

6.3 RESEARCH METHODOLOGY

This section on methodology is intended to broadly indicate how the process of inquiry was conducted. The researcher used both quantitative and qualitative methods of gathering information. The methods of normative research whereby predetermined questions were used, were combined with the interpretive paradigm using focus group discussions guide (see Appendix G) and individual interviews. Focus groups were intended to fill up the information gaps left by the quantitative research. The first phase of the research involved a quantitative study whereby a predetermined questionnaire was used.

6.3.1 Justification for the use of complementary methods

The use of complementary methods was beneficial since it ensured that data were collected from different perspectives, which implied that data could be cross-validated (Burgess 1991: 163). In addition, through the combination of methods the researcher took advantage of the valuable features of each method used (Cohen & Manion 1992: 42).

6.3.2 Quantitative research design

Under quantitative research a survey descriptive method using a self-administered questionnaire was applied to describe and determine the kind of staff performance appraisal principles, policies and procedures that existed at Lerotholi Polytechnic, NHTC and the University of Lesotho. The self-administered questionnaire was chosen to reduce respondents' anxiety by providing them an opportunity to complete questionnaires in their privacy. Reduced anxiety combined with the assured anonymity and confidentiality (see Appendix F) was intended to increase respondents' participation (Burns & Bush 2000: 358). The same questionnaires were used for the management and academic staff of the institutions studied. The support staff members were not included since they are not fully involved in the core activities of teaching, research and community service. The efficiency of higher education institutions is based on their performance in the three activities mentioned. The focus of this thesis is on academic staff whose core responsibility is to ensure that institutional output in the core activities is efficient. It is also through development of academic staff scholarship that strategic goals of higher education can be achieved. Support is necessary but may not be sufficient for the achievement of goals in higher education.

The use of the Likert scale within the questionnaire was to determine value attached to staff performance appraisal systems (see section B, question 17 and section D, question 35 in Appendix F).

The researcher combined quantitative research with qualitative research design.

6.3.3 Qualitative research design

Qualitative methods used were focus group discussions and interviews to gather information from the management and academic staff on a number of aspects of appraisal such as the purpose, performance management procedures including staff attitudes and suggestions for the improvement of a performance management system. Qualitative data was gathered through the focus group discussion made up of six staff purposively selected from staff of

the Institute of Distance and Continuing Studies (IDCS), an institute of NUL. A larger number of staff from IDCS could not be recruited to participate in the focus group discussions since most of the members were assigned fieldwork. Focus group discussions were not conducted with members of academic staff from other faculties. Members expressed that they had a lot to teach to make up for lost time during the one-week student strike. At the time they also had to prepare for the December 2003 and May 2004, examinations.

The researcher used qualitative research methods to study the implementation of performance management. Developed in the social sciences, the qualitative methods were found suitable to the study of performance management in higher learning since appraisal of academic staff is a social issue (Myers 1997: 2; Cohen & Manion 1992: 34). The choice of qualitative research is based on the idea that human beings unlike natural phenomenon (studied through quantitative research) engage in verbal communication and constantly undergo change as they interact with their context (Myers 1997: 2; Cohen & Manion 1992: 35). The symbolic interactionist perspective (Cohen & Manion 1992: 35) makes qualitative research fit for the collection of staff attitudes and views on appraisal. Through verbal interaction with academic staff the researcher interpreted and understood the feelings and reactions of staff as they engaged in the implementation of the system of performance management in place. Since the researcher intended to obtain participants' differing perspectives on the implementation of performance management, qualitative research methodology was therefore justified for its relevance and to ensure that qualitative data could be captured.

During the interviews the respondents were asked to talk freely about their attitudes and the activities of teaching, research and community service in which they engage in. It was through their gestures and body language that the researcher was able to interpret some of their attitudes towards the existing system of appraisal.

6.3.4 Qualitative versus quantitative controversy

Qualitative and quantitative research methods have strengths and weaknesses. The intention for the use of complementary methods is to counteract shortcomings found in each.

6.3.4.1 Qualitative methodology

The qualitative method is a narrative way of describing the situation studied. The researcher adopted it for its relevance in the collection of the qualitative data required for this research. The reason is that the motivations and feelings of participants involved in the implementation of performance appraisal system would be understood better through qualitative research (McDaniel & Gates 2001: 109). Since qualitative research involves individuals' interpretations to untangle, explain and clarify the taken-for-granted meanings about their situations, it was considered suitable for the study of staff perceptions on the appraisal system adopted in their institutions (Cohen & Manion 1992: 27; Myers 1997: 2).

In this research, qualitative data complemented quantitative data by providing a better understanding of staff attitudes towards an appraisal system. This was made possible through the questionnaire and probing in focus group interviews. Through verbal interaction with the academic staff and management, the researcher interpreted their feelings and reactions on the appraisal system.

The underlying epistemology for this inquiry is that reality about the implementation of performance management is best understood from the interpretations of those involved (Myers 1997: 3; Hoepfl 1997: 1). The interpretations of academic staff on how the external and internal factors influence performance, were essential. The qualitative method was selected due to its use of the natural approach that attempts to understand phenomenon in context-specific settings (Hoepfl 1997: 2; Waghid 2001: 81). The discussions below show the importance of focus groups and individual interviews in the collection of qualitative data for this study.

6.3.4.2 Focus groups and individual interviews

The focus group discussion is justified for various reasons. Its ability to draw out ideas, feelings and experiences - the issues that would be obscured if other structured methods like the questionnaire were used (Burns & Bush 2000: 231). The descriptions of experiences facilitated a clear understanding of the context - bound interpretation of the relationship of a performance management system with internal factors that impinge on staff performance (Brooks-Cathcart 2003: 2). Through the focus group technique the researcher was able to collect data on staff attitudes and perceptions on the system of performance management. In addition the focus group discussions became useful in illuminating and in making qualitative data collected through the questionnaire comprehensible (Burns & Bush 2000: 238). The interviews assisted the researcher to elicit detailed, anecdotal and descriptive data better than the standardised questionnaire (Don 2000: 2 of 3). Qualitative methods are preferred in the collection of qualitative data though they have inherent weaknesses.

6.3.4.3 Shortcomings of the qualitative research method

The qualitative research method is criticised for its use of small samples also on its results that cannot be replicated. This method is also criticised for abandoning the scientific procedures and for not finding useful generalisations (Cohen & Manion 1992: 36). This implies that the findings cannot be extended to wider populations with the same degree of certainty that quantitative analysis can due to the use of small samples (McDaniel & Gates 2001: 138). In the case of this study generalisations were not necessary since the implementation of performance management is context specific. Factors that affect performance on one institution might not affect other institutions. In this research this shortcoming was not applicable.

The qualitative method is specifically criticised for the use of uncontrolled interviews, which are contrasted with controlled interviews in surveys. The argument is that if controlled interviews are considered inaccurate, uncontrolled interviews can be more inaccurate. But the researcher found out

that through the uncontrolled interviews, participants were spontaneous in their responses. The spontaneous responses minimised bias.

The use of interpretive methodologies is also criticised for being subjective (Cohen & Manion 1992: 37). In this study, subjectivity was minimised through cross – validation of data gathered through the interviews and the questionnaire.

Since the samples in this research were small, the recommendations made about performance appraisal system are based on views of the minority. The small sample sizes and free-flowing discussions can lead result in information that may be relevant to the research (McDaniel & Gates 2001: 111). Respondents may emphasise areas of interest to them and dominant participants are likely to lead the group to areas of less interest to the study. Since the researcher had limited time with interviewees, only the main questions relating to the study were addressed. Nevertheless, due to the small samples of the study, the responses do not necessarily represent the views of the population of academic staff in the three institutions studied.

The criticism is not only made with regard to the size of the sample but also with the interviewing technique of collecting qualitative data. Interview error may arise from the interaction between the interviewer and the respondent. An error can occur in the case whereby the interviewer cautiously or incautiously influences the respondent to provide untrue or inaccurate answers (McDaniel & Gates 2001: 177). The personality including some of the demographic features of the interviewer like gender and age may influence participants' responses.

Other criticism on qualitative methods relate to the expertise of the researcher. The criticism is that some researchers may profess to be experts in the use of qualitative methodology, without formal training (McDaniel & Gates 2001: 138). But other views indicate that researchers without training can improve in the use of methodology through practice (Don 2000: 3 of 3). According to Don (2000: 3 of 3), the expertise improves with experience.

Training in order to acquire interview techniques is essential. In the case of this research the interviewer was not trained but had acquired some of the skills in providing community education whereby appearance, (as in deportment) tone of voice and facial expressions are considered as some factors that can trigger either positive or negative attitude towards the message that one intends to convey. Also, the researcher improved the interviewing technique with each successive interview. The experience with community work (working with cooperative members and being an adult educator), coupled with the skills acquired during the process of interviewing, enabled the researcher to reduce the influence on the respondents' answers. Some of the responses from the interviewees are attached (see Appendix H).

Besides qualitative research, the researcher also adopted quantitative research methodology.

6.3.4.4 *Quantitative research methodology*

The quantitative research methodology is noted for the use of large samples and its findings can be replicated. The methodology is also characterised by the use of questionnaires for the collection of data. The use of self-administered questionnaire under the quantitative design was found to be reliable since it is anonymous and it encouraged honesty (Cohen & Manion 1992: 319). This research was favoured for its objective findings (McDaniel & Gates 2001: 109; Cohen & Manion 1992: 20), which were related to qualitative findings.

The qualitative method is criticised for reducing life to measurements and for ignoring the fact that life can be known through the insiders' experiences (Cohen & Manion 1992: 23). It is argued that the goal of understanding a situation from the participants' point of view from its social context is lost when textual data are quantified (Myers 1997: 3).

The third criticism is that quantitative method does not consider the individuals' potential and their need to develop themselves to the highest level of their development. The implication of this statement is that quantitative

research fails to take account of people's ability to interpret their experiences and represent them to themselves – as in self-evaluation (see 5.5.4). Individuals' account of their experiences are not considered to be authentic.

Fourthly, the findings of positivist research are trivial and of little consequence to those for whom they are intended. The reason given is that the researchers manipulate findings by simplifying and controlling variables. In this research where probing was required for respondents to interpret their situations, quantitative methodology had to be supplemented with qualitative research (see 7.5). The combination was intended to support the view that individuals' interpretations of their context had to come from the inside (participant) and not from the outside (objective observer). The discussions below compare qualitative and quantitative research methods.

In comparison to qualitative data, quantitative is different since it uses experimental methods and quantitative measures to test hypothetical generalisations. The quantitative data indicates causal determination, prediction and generalisation of data while qualitative data attempts to illuminate and understand subjective views and experiences of respondents. (Hoepfl 1997: 2). The quantitative research is not able to tackle a full account of the many interactions that take place in the social setting while qualitative inquiry accepts the complex and dynamic quality of the social world (Hoepfl 1997: 2; McDaniel & Gates 2001: 110). In qualitative research evidence emerges as one conducts the research. Through qualitative research the researcher used multiple forms of evidence and there was no statistical test of significance to determine the importance of results. Despite their differences, both methodologies were necessary to collect different aspects of data. Through complementary methods various view were gathered and compared.

These two methodologies are two ways of interpretation of a situation. An understanding of the implementation of performance management can be represented through the narrative (teachers telling their own stories), and the quantitative ways. Qualitative methodology is towards the fictive end of the continuum while quantitative is towards the experimental end (Hoepfl 1997:

2). Qualitative, unlike quantitative methodology places requirements of strengths on the part of the researcher since the researcher is the instrument (Schiffman & Kanuk 2000: 15 - 16). The personality and expertise of the researcher can influence data collection. But with experience gained in conducting interviews with high school principals, the researcher had gained experience (Mpooa 1995: 19).

Nevertheless to come up with valid and reliable evidence, a combination of methods was appropriate for this study. A narrative account of an activity supports, clarifies and complements the numerical data. Since staff performance is complex, the complementary methods were required for reasonable and valid assessment of the context within which the system of appraisal was implemented. The two types of data collection and analysis form different, but compatible perspectives of the situation studied.

The population to which the methods were applied forms part of the discussions that follow.

6.4 POPULATION OF STUDY

The population of study was made up of 188 academic staff members drawn from three higher education institutions in Lesotho. The total population was composed of 75 academics from Lerotholi Polytechnic (LP), 30 from National Health Training College (NHTC) and 83 were from National University of Lesotho (NUL). The three institutions were conveniently selected to represent higher learning institutions in Lesotho. Lerotholi Polytechnic represented vocational education and The Health Training College represented health training institutions. The university represented a variety of disciplines. The library staff was not included in all the institutions studied. Like the administrative staff they are not engaged in core activities of higher learning. They provide support services.

6.5 SAMPLING TECHNIQUE

The researcher used purposive non-probability sampling technique to select participants in each institution. In this technique members of the population were selected on the basis of convenience. The purposive non-random selection of sample was used since the sample was designed to represent opinions of the academic staff and excluded the administrative staff (McDaniel & Gates 2001: 335). The academic staff members have been selected since they perform the core, higher education activities of teaching, research and community service. They promote scholarship, which is the criterion upon which the effectiveness of higher education is evaluated.

The researcher used non-probability, purposive sampling mainly for two reasons. The reason was that, at NUL lecturers were unwilling to participate in the research due to the students' strike that had reduced their time for teaching. Lecturers were under pressure to prepare for the December 2003 as well as the May 2004 examinations. Only lecturers who were willing participated (McDaniel & Gates 2001: 347).

At LP the questionnaire was distributed to all 67 academic staff members. The intention was to find out how each staff member perceived and was affected by the performance management system. Also they were few in number and could easily be contacted. Purposive sampling technique was used at NHTC and at NUL. Due to lack of resources, especially time and research assistants, the researcher could not handle a large sample. At NHTC the purpose of the study was explained to small groups of academic staff in their departments, the questionnaire was briefly explained and distributed. The questionnaire was distributed to twenty academic staff members whom the researcher contacted at NHTC.

At NUL, questionnaires were distributed to lecturers in four faculties, namely Faculty of Humanities and Education; the Faculty of Science, Applied Sciences and Engineering; the Faculty of Law and Social Sciences; and the Institute of Distance and Continuing Studies. The purpose of such a wide distribution was to ensure that at least 20 questionnaires from each faculty

would be completed and returned. The sample included three members of staff from the Institute of Research. The sample at NUL was 83 academic staff members.

The researcher used research instruments suitable to collect both qualitative and quantitative data as discussed below.

6.6 RESEARCH INSTRUMENTS

The instruments used in the collection of data were focus group discussions, individual interviews and questionnaires. The focus group interview guides were also used for the individual interviews.

6.6.1 Construction of instruments

This section deals with the structure and content of the instruments used in the collection of data.

6.6.1.1 *The questionnaire*

The questionnaire was divided into six sections, A to F (see Appendix F). Part A required data on personal and professional details. Section A is significant in that it revealed the calibre of staff who responded to the study and the various departments from which they came. This reflects that the responses were a blend of opinions of staff from different faculties.

The significance of information on institutional strategies in section B is that if staff understood the purpose of performance management it would react positively towards the implementation of the system. Also the assumption in this section was that if there were strategies to detect resource and skill problems that staff encounter, this implied that the appraisal system was developmental. A developmental appraisal system would be less threatening to staff, hence gain their support (see 4.5.2; and 5.3.1). The aim of this section was to find out whether the purpose of appraisal was to support and develop staff to achieve institutional strategies or to judge performance (see 3.2.2; 3.2.2.1; 4.5.1; and 5.4).

Part C required information on policies and procedures. It also required information on performance agreement plans. The sectional data was intended to reflect if the appraisers and appraisees agreed on performance standards and indicators. Their agreement would reflect the importance they attached to cooperation in the achievement of institutional objectives (see 4.5.1; 5.3; and 5.3.1). It is one of the roles of performance management to ensure that staff objectives are aligned to the strategic goals of the institution (see 5.3.1).

Part D is intended to gather information on whether staff performance is continuously monitored to detect performance problems that staff encountered. It is intended to gather information on policies and procedures followed in the implementation of performance management. It was to collect data related to continuous monitoring of staff performance (see 3.2.2.1). The assumption made is that a formative approach to the implementation of an appraisal system can reduce the threat of appraisal (see 4.5.1; 4.5.3). In addition, it can assist staff to focus on the improvement of their competences in order for them to achieve the missions of higher education in Lesotho.

Section E required data on preparation, participation and critical assessment of the implementation of performance management system. Reflective practice is considered essential for improvement. Performance management system provides an opportunity for self-reflection with the aim to improve performance.

The last section ("F") needed information on provision of rewards and punishments. The section required information on action taken on the results of appraisal. The question was whether appraisal results should be linked to reward system (see 5.9.7). The section also required respondents to recommend improvements to the existing system of performance management to ensure that it becomes a sustainable lever of change to staff and institutional performance (see Table 4.1; 4.5.1; 4.5.3).

The significance of the use of Likert scale in the questionnaire is that it enables the researcher to compare responses within the scale (Suskie 1992: 19). The degree or intensity of opinion can be compared. An example is section B question 17 of the questionnaire including section D question 35 which indicate the intensity of staff opinion in relation to the impact of performance management. Its use enables a number of opinions to be compared within one question as in the case of section E question 43 page five. It permits comparisons among answers within the scale (Suskie 1992: 19).

6.6.1.2 *The focus group interview guideline*

The focus group discussions were intended to draw information on the purpose, procedure and the relation among teaching, learning and research. The aim was to find out if respondents raised similar opinions to similar questions asked under the different methodologies.

6.6.2 Validation of instruments

The questionnaire was pre-tested to a group of five academic staff members to check for content validity. Both the questionnaire and the guideline for the focus group interview were given to my supervisors as experts to check for both construct and content validity (Fraenkel & Wallen 2003: 2; Burns & Bush 2000: 336). The assumption made in pre-testing is that a pre-tested instrument will motivate respondents and will have few errors. It was done to pick up and rectify faults before a comprehensive use of the instrument (Mpooa 1995: 24).

6.7 DATA COLLECTION PROCESS

Primary data was collected through the use of self-administered questionnaires and focus group discussions in three Lesotho higher education institutions. In order to be granted permission to conduct research, the researcher submitted letters of request to the Directors of LP and NHTC and to the Vice Chancellor at NUL who granted the researcher permission. The researcher delivered questionnaires to staff at LP and NHTC.

At NUL the Executive Deans wrote internal memoranda to their faculties explaining the purpose of the research and requesting their cooperation. The secretaries of the Executive Deans and Heads of Departments distributed questionnaires to the academic staff. The completed questionnaires were to be returned to the faculty secretaries from where the researcher would collect them at dates stipulated on the questionnaires.

Data was also collected through focus groups and individual interviews. At LP the focus group discussion was made up of representatives of the three schools as follows: three lecturers from the school of Technology; two from the school of Built and three from the school of Commerce. A focus group discussion was held with six members of staff from the Institute of Distance and Continuing Studies (IDCS), an institute of NUL. It was only possible to have these members collectively because they were from the Board meeting.

Individual interviews were also conducted at LP and NUL. At NUL the interviews were conducted with four out of five Executive Deans from faculties under study. They were the Deans of the following faculties: Science, Applied Sciences and Engineering; Humanities and Education; Law and Social Sciences and the Dean of the Institute of Research. The Director of the School of Education also participated in the interview. Two Heads of departments in the faculty of Social Sciences and one in Humanities and Education were interviewed. Eighteen lecturers were also interviewed. The total number of staff interviewed at NUL was 26.

6.8 DOCUMENTS CONSULTED FOR LITERATURE

The researcher gathered secondary data from books, journals, reports and the internet to establish a theoretical background on performance management systems. Documents were consulted on the legal framework in which performance management system was conducted in Lesotho (Kingdom of Lesotho 2000a: 112; Kingdom of Lesotho 2000b: 1237). They were significant in this study since rewards and punishments emanating from the implementation of a performance management system might involve litigation if an academic considered the results of appraisal unfair (see 5.9.7). Library

books and journals were consulted for the theoretical background on performance management (Armstrong 1997: 232-260; Bratton & Gold 1999: 32). The researcher also surfed the internet through Google, Microsoft and Yahoo search engines for documents on the purpose and the implementation procedures of academic staff appraisal.

The researcher distributed and collected the questionnaires at LP and NHTC. At NUL the Department secretaries distributed and ensured that staff returned completed questionnaires by reminding them through telephones. The preamble of the questionnaire assured respondents of confidentiality with which their responses would be treated and that the information they provided would be considered anonymous (see Appendix F).

6.9 DATA ANALYSIS METHODS

Since the researcher adopted both quantitative and qualitative research methodologies, data was analysed using both quantitative (descriptive statistics) and qualitative (emerging themes) strategies (see 6.3.2; and 6.3.3). Quantitative data was analysed using means and frequencies while qualitative data was analysed through descriptive interpretation of accounts and responses (Myers 1997: 7). Interpretation was essential to give meaning to numerical data.

6.10 JUSTIFICATION OF THE STUDY

The Lesotho government is concerned about the efficiency and accountability of institutions of higher learning, considering the amount of funds invested in the higher education sector. The higher education institutions have developed strategies to improve their services. The public continue to show discontent with regards the performance of graduates of higher education as indicated in the background of the institutions studied. There is therefore a need to manage performance in these institutions. The government system of confidential reporting (Kingdom of Lesotho 2000a: 112) has not been effective hence the introduction of a democratic performance management system.

A developmental performance management system has been introduced to bring about a change in academic staff performance at LP and NHTC. At NUL, through transformation, a developmental system is being negotiated with staff. It is on the basis of this background that the researcher undertook the study to find staff perceptions about the implementation of appraisal system, how it motivates staff to perform and their suggestions for improvement.

6.11 BACKGROUND OF THE INSTITUTIONS STUDIED

The background information of the institutions studied will reflect the rationale for the implementation of a performance management system. Each institution, with its mission statement and strategic goals is expected by government to transfer skills and knowledge efficiently. Their background reflects public concerns on institutional performance and factors that impinge on efficiency. The factors that necessitated the introduction of a performance management system at each institution are discussed starting with the National Health Training College (NHTC).

6.11.1 Background information on the National Health Training College

The NHTC is a government department under the ministry of Health and Social Welfare. It is affiliated to the National University of Lesotho for academic purposes. Established in 1988, the college has a total staff of thirty academic staff. The college enrolment was 238 students when the study was conducted. Its mission “embodies the provision of competent health care workers, who will address the primary health needs of the country, have an impact on communities they serve, by providing the institutional functions of education, service, research and development.”

The NHTC intends to achieve the mission through three aims. First it aims to provide professional education for personnel to deliver primary health care to the community in accordance with the country’s needs. Secondly, it aims to maintain quality health professional education in various courses taught, through health systems, research and the application of research findings through the provision of adequate human resources, equipment and other

material supplies. Thirdly, it aims to provide a system of continuing education to meet the needs of staff and students. It achieves the mission and aims by offering three year diploma programmes in four departments, namely: Allied Health Sciences, Applied Sciences and Research, the Department of Nursing and the Library Services including administration.

Primary Health care remains the main health service delivery channel in Lesotho. The focus is to combat HIV/AIDS and malnutrition. This must be pursued through prevention, treatment and care of infected people and orphans. It is one of the aims of NHTC to provide health workers to deliver primary health care to the community in Lesotho.

The government provides resources to ensure that the institution achieves its mission and aims. The actual expenditure for the ministry of Health and Social Welfare during 2002/2003 financial year was M439.5 million Maluti which was 12.4% of the national budget. The budget for the 2003/2004 financial year is M488.0 million Maluti, which comprised 12.3% of the national budget (Kingdom of Lesotho 2003a: 18). Out of this budget, NHTC was allocated M5.8 million Maluti during 2002/2003 financial year and a similar amount in 2003/2004 financial year. Out of the five million, two million is for staff salaries while fourteen thousand Maluti is for staff training. The high expenditure on staff salaries implies that staff members, the academic staff members in particular, are expected to efficiently achieve the mission and aims of NHTC. The budget for training is for staff to be trained in identified areas of skill deficiency as they carry out their duties. What has the institution achieved?

The mission of the college is to train staff for the various departments of the Ministry of Health and Social Welfare. It has been able to produce graduates in diploma in general nursing; in midwifery; psychiatric mental health nursing; in nurse anaesthesia; pharmacy technology and in medical laboratory sciences (Detailed working Programme for the 5th graduation ceremony: national health training college Nov. 1999: 6-14). The graduates are absorbed in different departments of the ministry of health also in the private hospitals. The following programmes are no longer offered due to few applicants it was

not economically viable to provide them. They are anaesthesia nursing, psychiatry nursing, mid-wifery nursing and environmental health care.

Despite achievements in training staff for the health cadre, research indicates public discontent with the decline in dedication and efficiency in performance of the health care profession, hence the need to evaluate performance of health academics as providers of skills and knowledge. The research undertaken on the performance of health workers (as graduates of NHTC), in Mafeteng and Morija showed that health education was necessary but was not efficiently provided. Research that Thahe (1997: 2) conducted on the role of village health workers in the promotion of primary health care in the rural communities revealed that health care nurses were focal points on Primary Health Care (PHC) and that health care nurses supervised 550 village health workers within the Scott Hospital Health Service Area. The findings of Thahe (1997: 3) show that health care nurses have to be skilled in both professional skills and skills to transfer knowledge to the village health workers whom they supervise. The question is whether the Health Training College provides health care nurses with the professional skills or whether the factors under which staff operate (see 2.2) make it difficult for them to impart the skills. It is in such a situation of doubt that staff should be appraised to establish the cause of inefficient performance, hence the need for the performance management system.

The following discussions reflect among others, public experiences with the LP students.

6.11.2 Background information on Lerotholi Polytechnic

The Lerotholi Polytechnic, founded in 1905, was established to provide vocational training. The history of the institution indicates that it has changed in name from “Fokothi” to LP and in the courses it provides. The Polytechnic has the total staff complement of 128 staff members, out of which 67 are academic. The Lerotholi Polytechnic is made up of three schools, which offer both certificates and diploma programmes with a total enrolment of 658 students. The schools are: Commerce and Applied Studies, Technology and

Built Environment. The Polytechnic strives to provide quality training programmes, undertake research and foster local and international recognition to ensure that it becomes a centre of excellence in technical and vocational education in order to meet the challenges of Lesotho's growing economy and that of the region [*Lerotholi Polytechnic Calendar* (LP 2003: 3)]. The institution aims to offer technical and vocational training and education at craft and technician levels and to provide the country with self-reliance personnel in technical and vocational training, industry and commerce.

The government allocates financial resources for the institution to achieve its mission. In the 2002/2003 financial year LP was allocated M12.5 million while it was allocated M14.5 million during the 2003/2004 financial year. Through the allocated financial resources the institution has succeeded to produce required personnel for the government and the industry. Despite the efforts to provide skilled personnel the conference report (*LP Stakeholders' Report* 2001: 3) indicates differing demands of stakeholders on content to be delivered to students, skill and knowledge gaps when LP graduates join the industry. In an attempt to meet the demands, the institution has embarked on the review of syllabi to incorporate the public needs. The skills and competences of staff also need to be evaluated. This means that staff appraisal has to be conducted to prepare for staff development programmes. How does NUL respond to government call for efficiency?

6.11.3 Background information on the National University of Lesotho

The National University of Lesotho was founded in 1945 by the Roman Catholic Hierarchy of Southern Africa to provide African Catholic students with post-matriculation and religious guidance (*National University of Lesotho Calendar* 1997: 1). Through decades the university has had its name changed, its role and governance re-defined to meet the changing national demands. The mission of the university is to "...employ innovative teaching and learning methods, research and professional services to continually develop human resources capable of leading and managing development process in an increasingly knowledge – and science and technology – driven world." To achieve this mission, the university provides courses in the

following faculties: Faculty of Science, Applied Sciences and Engineering; Faculty of Law and Social Sciences; Institute of Distance and Continuing Studies and the faculty of Humanities and Education. Library and Information Service including the Institute of Research are other components of the university that provide service. The university in its strategic plan shows commitment to change and a departure from the past (NUL 2003b: 3).

The university has a total academic staff complement of 299 staff members. The student enrolment for the 2002/2003 academic year, was 5,800 students. The enrolment figure for 2003/2004 academic year was not available due to late registration. The plan was to increase the enrolment to 6,500 in 2003/2004 academic year. However, the university does not cope with the increase in the demand for higher education, due to inadequate facilities (see 2.2.1).

Through diversified programmes it has attempted to meet the human resource demands on information technology.

6.12 CONCLUSION

In this chapter the purpose of conducting research, the explanation and justification of the methods used to collect and analyse data were discussed. Information on the background on the institutions studied was also provided as justification for conducting the research.

The next chapter focuses on the presentation, analysis, and interpretation of the research data.

CHAPTER 7

PRESENTATION, ANALYSIS, AND INTERPRETATION OF THE RESEARCH DATA

7.1 INTRODUCTION

The data presented in this chapter were gathered through quantitative and qualitative research methods by using questionnaires, in-depth interviews and focus group discussions as indicated in Chapter 6. Information was gathered from academic staff members at the Lerotholi Polytechnic (LP), the National University of Lesotho (NUL) and National Health Training College (NHTC). This chapter covers personal and professional details of respondents and their views on the system of appraisal adopted in their institutions. It discusses the views of the respondents regarding the type of academic staff performance appraisal system suitable to ensure that Lesotho higher education institutions address the economic, political, social and international demands. The discussions indicate the purpose, policies and implementation procedures of a performance appraisal system adopted in the three institutions indicated above and the suggested changes to make the system effective.

7.2 THE RESPONSE RATE

The response rate in the three institutions varied. The sample studied at LP was 67 and 48 participants responded to the questionnaire. The response rate at LP was 71.6%. The sample studied at NHTC was 30 participants and 17 responded to the questionnaire. The response rate from NHTC was 56.7%. From NUL the sample was 83 and 35 participants responded. The response rate was 42.2%.

7.3 AN OVERVIEW OF THE INFORMATION REQUIRED THROUGH THE QUESTIONNAIRE

The questionnaire was divided into six sections, A to F (see Appendix F). Section A required information on participants' personal and professional

details. The questions under Section B covered views on institutional and strategic objectives. Participants were to indicate if they knew the missions and goals of their institutions, including whether their institutions had a performance management policy. In addition, they were to state if the performance management policy indicated how performance problems identified through appraisal would be solved. Lastly, they were to state their understanding of the purpose of performance management.

Section C gathered information regarding the policies and plans adopted in the management of performance. It covered information regarding the agreement on objectives; the standards to be achieved; and criteria on which the performance would be based, including the types of performance measures that would be used to assess performance. Both Sections D and E were to gather information on the procedure of performance management.

Section D in particular, focused on the continuous evaluation of performance, as well as the effectiveness of the performance management system in developing skills and competences. In addition, the section covers information regarding the rating of staff performance.

Section E was intended to collect information on whether preliminary meetings had been held in preparation for formal reviews and also information on what was discussed in formal meetings.

Section F required staff's views on performance-related pay; the type of action taken on underperformers; whether there was an appeal procedure for staff who were not satisfied with appraisal results; and suggestions for the improvement of the performance management system.

The information gathered by means of the questionnaire will be discussed next.

7.4 PARTICIPANTS' RESPONSES TO THE QUESTIONNAIRE

The discussions that follow cover the questionnaire responses of the participants, the comparison of their views and provide their personal details.

7.4.1 Personal and professional details

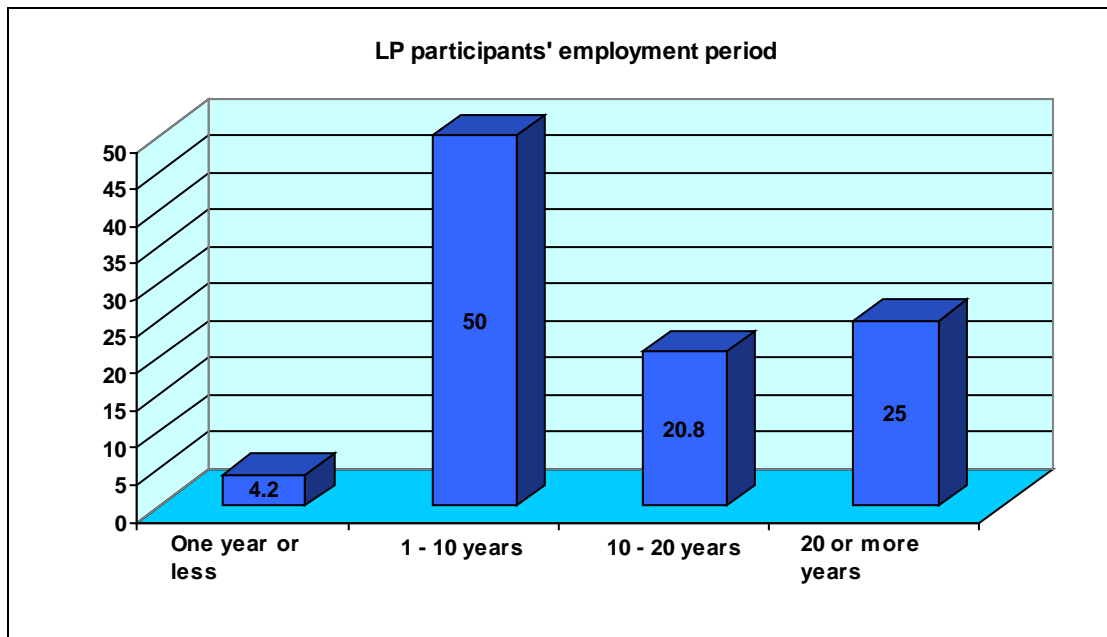
Under Section A of the questionnaire the participants were to respond to personal and professional details which included the gender, the title, the departments where the respondents worked, the qualifications, the number of years during which the respondents had been employed in the institution, the number of years in their current position and the age of the participants. The findings on the employment period follow, which is important to determine the number of staff members who experienced the Lesotho appraisal system.

7.4.1.1 Participants' employment period

Participants were asked to indicate their period of employment at LP, NHTC and NUL. Graphs 7.1, 7.2 and 7.3 reflect findings on the employment period of the respondents in their respective institutions, starting with the views of the participants from LP.

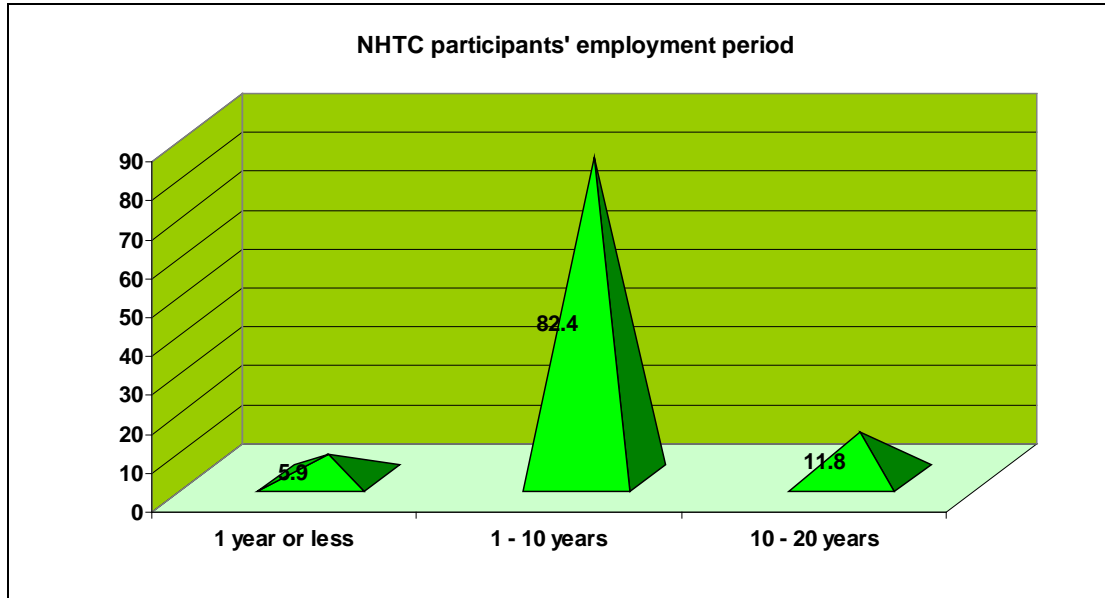
The participants' period of employment would reflect whether they have been appraised and if the appraisal system had had an effect on their development and an effect on their performance. For participants from LP and NHTC their period of employment would indicate whether they had experienced the confidential form of appraisal and could be able to assess its difference from the participative appraisal system introduced.

Graph 7.1: LP participants' employment period



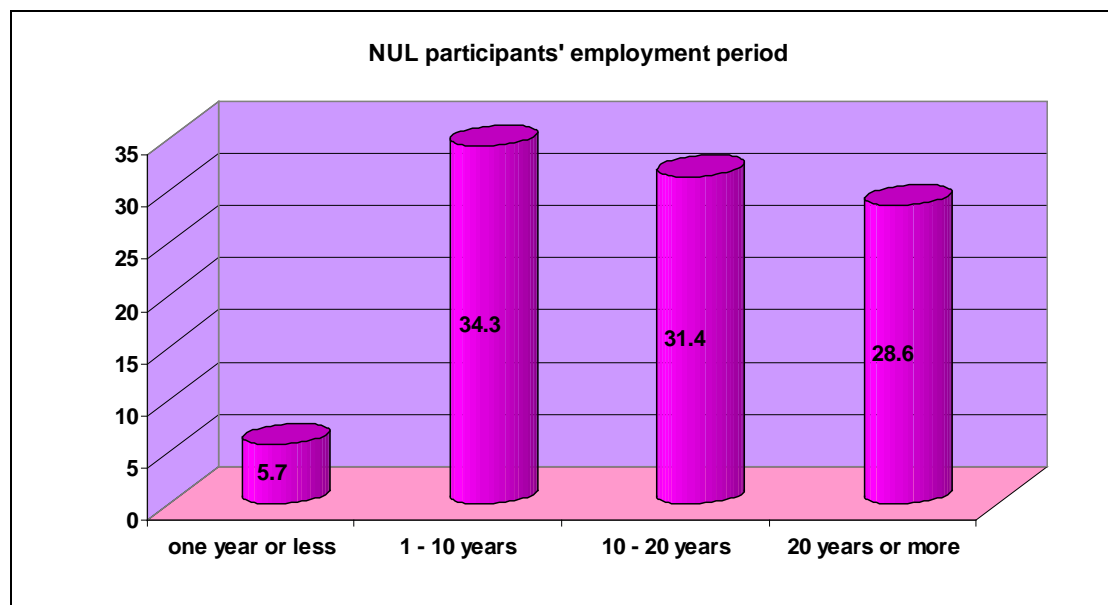
Graph 7.1 indicates that 24 participants (50.0%) had been employed for a period between one and 10 years. Only two participants (4.20%) had been employed for one year or less. Responses of NHTC staff with regard to the employment period are presented in Graph 7.2.

Graph 7.2: NHTC participants' employment period



Graph 7.2 shows that 14 respondents (82.4%) from NHTC had been employed for a period of one to ten years, while two respondents (11.8%) had been employed for a period between 10 to 20 years. One respondent (5.9%) was employed for a period of less than a year.

Graph 7.3: NUL participants' employment period



Graph 7.3 shows that 12 NUL respondents (34.3%) had been employed for a period ranging from one to 10 years, while 11 respondents (31.4%) had been employed for a period that ranged from 10 to 20 years.

The findings from the three institutions reflect that more respondents had been employed for a period between one and 10 years (LP 50.0%; NHTC 82.4% and NUL 34.3%). Judging from the period of their employment, the respondents had experienced both the confidential (introduced in government departments in the 1960s), and the performance management systems. They could therefore provide perspectives on performance management. The responses of participants with regard to their qualifications follow.

7.4.1.2 The qualifications of respondents from the three institutions

The responses of LP participants regarding their qualifications show that seven participants (14.6%) held Master's degrees, 20 were first-degree holders (41.7%), while the 21 Diploma holders comprised 43.8%. The Diploma holders taught certificate courses and they were the majority. The qualifications of respondents would indicate whether appraisal system could reflect skill deficiencies that could be addressed through appraisal.

The responses from NHTC participants on the levels of qualifications indicate that 10 (58.8%) of the respondents held first-degree qualifications, while five (29.4%) held Master's degrees. The findings regarding NUL respondents' qualifications showed a slightly different picture. Two participants (11.8%) did not respond.

Responses of NUL participants regarding their qualifications indicate that the qualifications of respondents ranged from the first degree to the doctorate level. Sixteen participants (45.7%) held Master's degrees, 18 (51.4%) had acquired Ph.Ds and one participant (2.9%), who was a Teaching Assistant, was a first-degree holder. The number of respondents with Ph.Ds was high in comparison with the number of professors of the university. In the interviews and focus group discussions, respondents expressed the view that research output was the main criterion for promotion to professorship. The respondents considered high teaching loads as the major cause for the low output in research. The similar concern regarding the negative effect of the teaching load on research output was raised under theoretical perspectives on performance management systems (see 5.7.2). However, a contradictory view from the research findings indicates that through proper planning, lecturers could find time for research (see 7.9). Since there are contradictory views regarding the effect of the teaching load on research output, the management in institutions of higher learning, in collaboration with academic staff, has to agree on reasonable workloads in order to allow time for the improvement of performance in research.

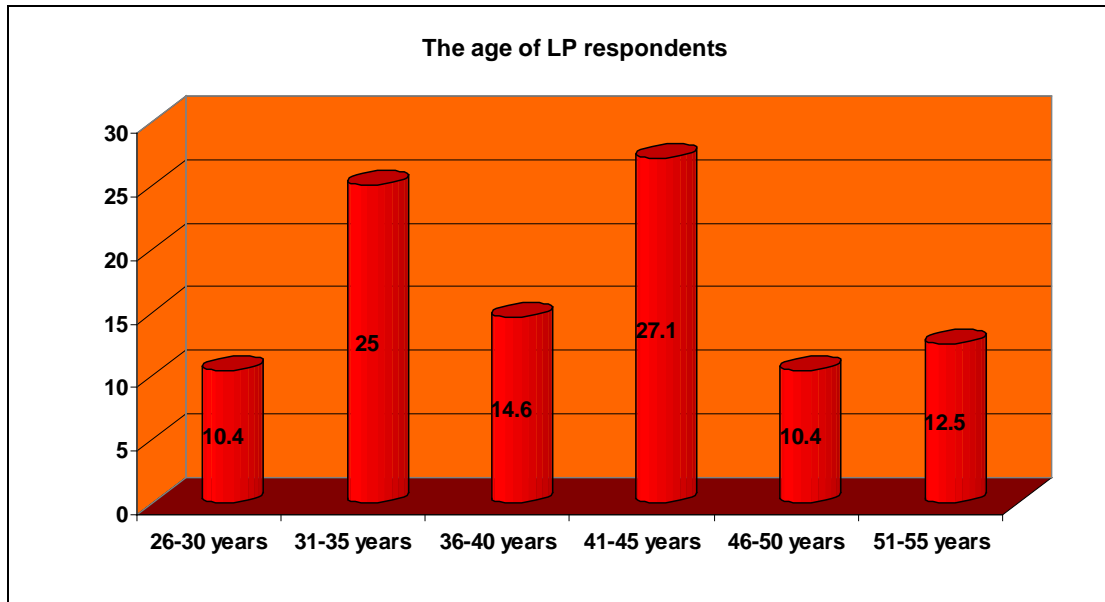
The levels of qualifications of the respondents in the three institutions indicate that few respondents from LP held Master's degree (15.1%), compared to 29.4% of the respondents from NHTC and 45.7% of the respondents from NUL. None of the respondents from LP and NHTC had acquired Ph.D qualifications. According to literature, higher education does not meet local and international demands for relevance and quality, as discussed in Chapter two (see 2.2). This thesis argues that, through the continuous identification of shortcomings in staff performance and through scholarship development, academic staff could ensure that higher education institutions meet the

demands for efficiency (see 4.2; 4.3; 5.2; 5.4.2). The implication for scholarship development on the findings with regard to the level of qualifications is that staff with low qualifications may not possess adequate knowledge and skills to achieve strategic demands of higher education efficiently and effectively. It is recommended that LP and NHTC should consider scholarship development as a priority to ensure that the institutions meet the local and international demands (see 2.2).

7.4.1.3 *The responses of the participants with regard to age (question seven)*

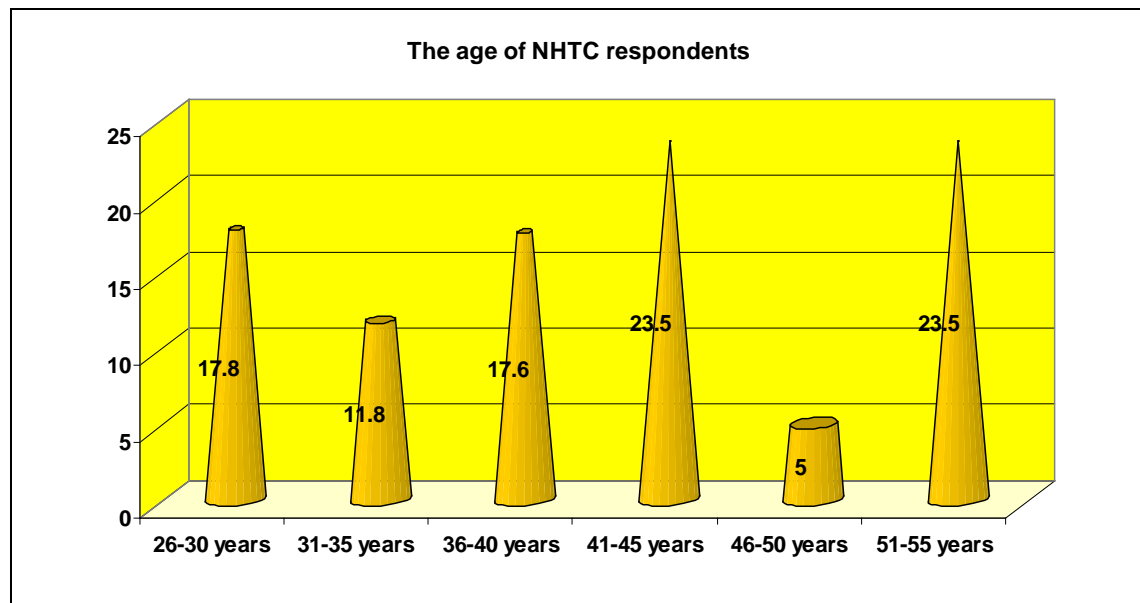
The graphs (7.4; 7.5; 7.6) under this section reflect the ages of participants for LP, NHTC and NUL. The first graph shows the ages of LP respondents.

Graph 7.4: The age of LP respondents



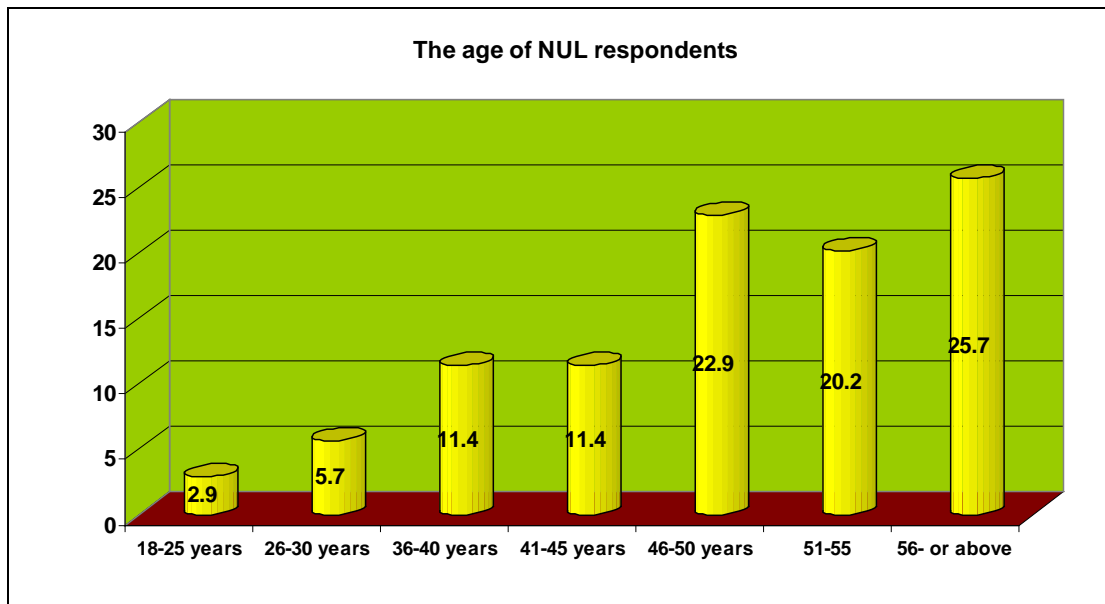
Graph 7.4 reflects that 27.4% of the respondents were in the range of 41 to 45 years; 25% were between 31 and 35 years; 14.6% were between 36 and 40 years; those whose age fell into the category of 51 to 55 years made up 12.5%; and those whose age fell between 46 and 50 years constituted 10.4%. These findings show that the age of the majority of the respondents is within the range of 41 to 50 years. This is an indication that the majority of the respondents had experienced the confidential system of appraisal, which the government of Lesotho was replacing (see 1.2).

Graph 7.5: The age of NHTC respondents



Graph 7.5 shows the age range of participants from NHTC. It reflects that three respondents (17.8%) were aged between 26 and 30 years; two respondents (11.8%) were aged between 31 and 35 years while three participants (17.6%) were aged between 36 and 40 years. Nine respondents were aged over 40 years as reflected in the graph. The age of respondents bears significant importance with regard to scholarship development. Investment in scholarship development is influenced not only by individual interest and capability but also the period within which the individual will contribute to the institution, especially considering that resources are scarce (see 2.2.2; 2.2.6; 2.2.7).

Graph 7.6: The age of NUL respondents



Graph 7.6 shows that nine respondents (25.7%) from NUL were aged 56 years and above, eight respondents (22.9%) were aged between 46 and 50 years, while seven were aged between 51 and 55 years. Twenty-four out of 35 respondents were aged above 40. Three participants were aged 30 and below.

7.5 SECTION B: VIEWS ON INSTITUTIONAL STRATEGIES AND OBJECTIVES

This section of the questionnaire, which covers questions eight to 18 was intended to find out if respondents understood the purpose and policies of performance management. It was also intended to find out if strategies were in place to assess staff skill and material requirements necessary for efficient performance. These responses are discussed below.

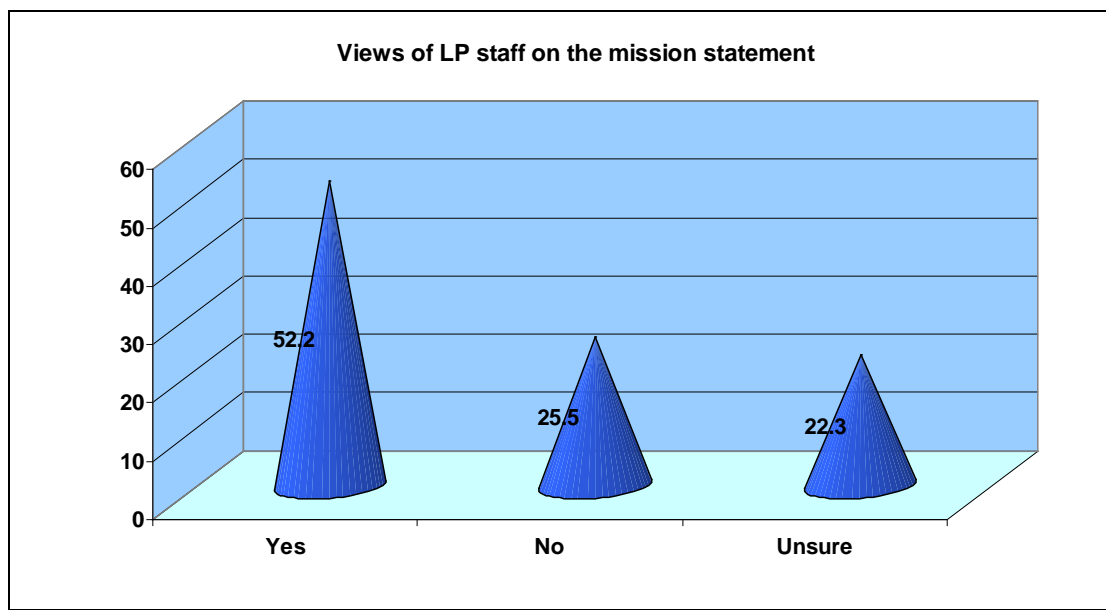
7.5.1 Views of respondents on the mission statement of their institutions

The graphs (7.7; 7.8; 7.9) reflect responses to question eight, which inquired whether participants knew the mission statement of their institutions.

7.5.1.1 Views of LP participants on the mission statement

The responses of LP participants to the mission statement are shown in the graph 7.7.

Graph 7.7: Views of LP staff on the mission statement

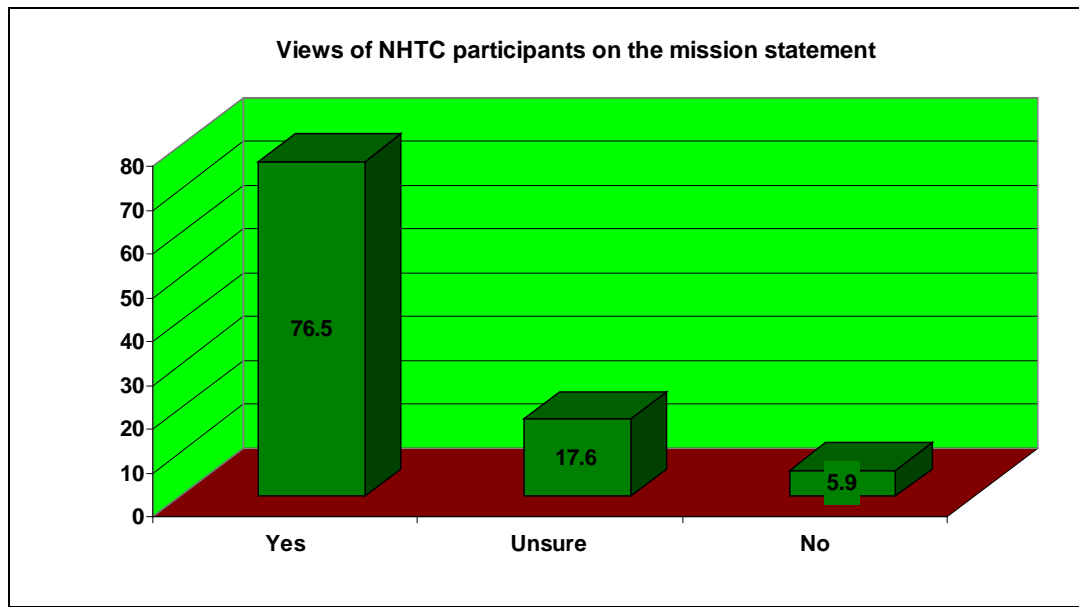


Graph 7.7 reflects that 25 respondents (52.2%) knew the mission statement of LP, while 12 respondents (25.5%) did not know the mission statement. Eleven participants (22.3%) were unsure.

7.5.1.2 Views of NHTC participants on the mission statement

Graph 7.8 reflects the views of NHTC respondents on the mission statement.

Graph 7.8: Views of NHTC staff on the mission statement

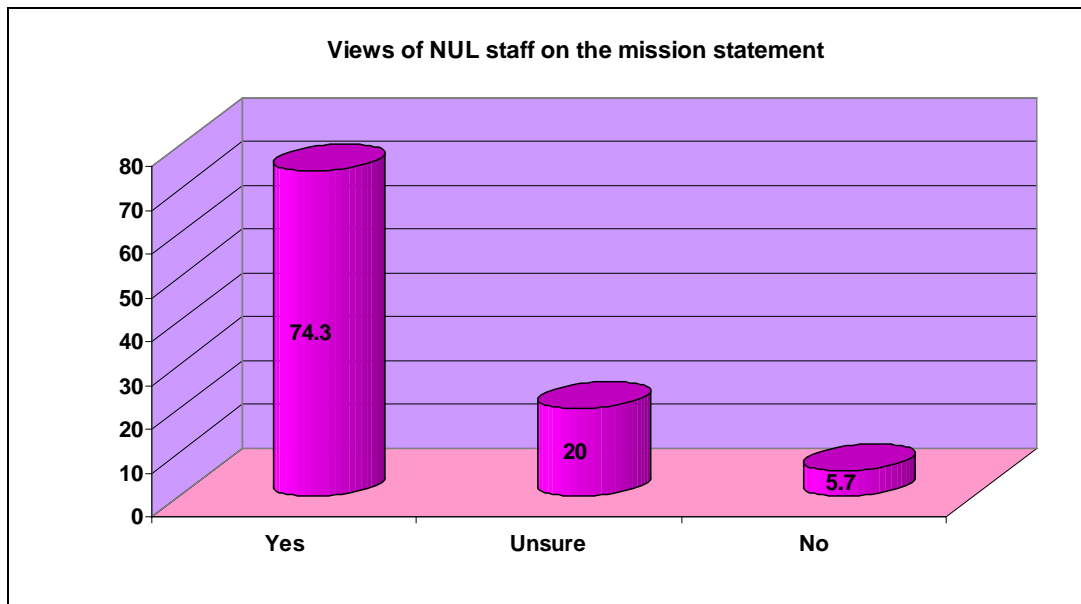


Graph 7.8 shows that 13 respondents (76.5%) from NHTC knew the mission statement of their institution. Three respondents (17.6%) were unsure of their mission statement while one respondent (5.9%) did know. It means that the four respondents (23.5%) who did not know the mission statement might not align their objectives with those of their institution.

7.5.1.3 Views of NUL participants on the mission statement

The information that follows reflects responses of NUL participants on the mission statement.

Graph 7.9: Views of NUL staff on the mission statement



Graph 7.9 shows that 26 NUL respondents (74.3%) knew the mission statement while two participants (5.7%) responded in the negative and seven participants (20.0%) were unsure.

The findings with regard to the mission statement show that the majority of the respondents from the three institutions knew the mission statement, as reflected in the following percentages (LP 53.3%; NHTC 76.5%; and NUL 74.3%). According to literature, staff should know the mission and targets of their institution in order to relate their work objectives to it (see 5.3.2). If staff do not know the mission of their institution, they might not align their work towards its achievement (see 5.3.3). It is the role of performance management to ensure that staff plans and objectives are geared towards the achievement of institutional missions and goals. The implication of the findings is that knowledge of the mission is an opportunity for the implementation of performance management.

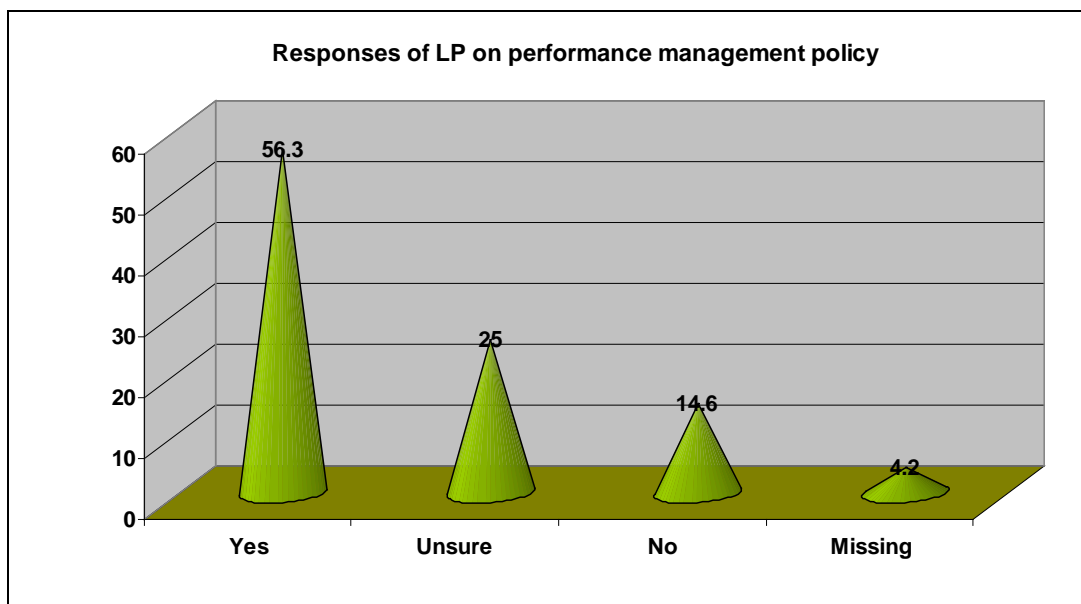
7.5.2 Views of respondents on the performance management policy

The respondents were asked whether their institutions had a performance management policy.

7.5.2.1 Responses of LP on performance management policy

Graph 7.10 reflects the responses of LP participants on question 9 regarding the performance management policy.

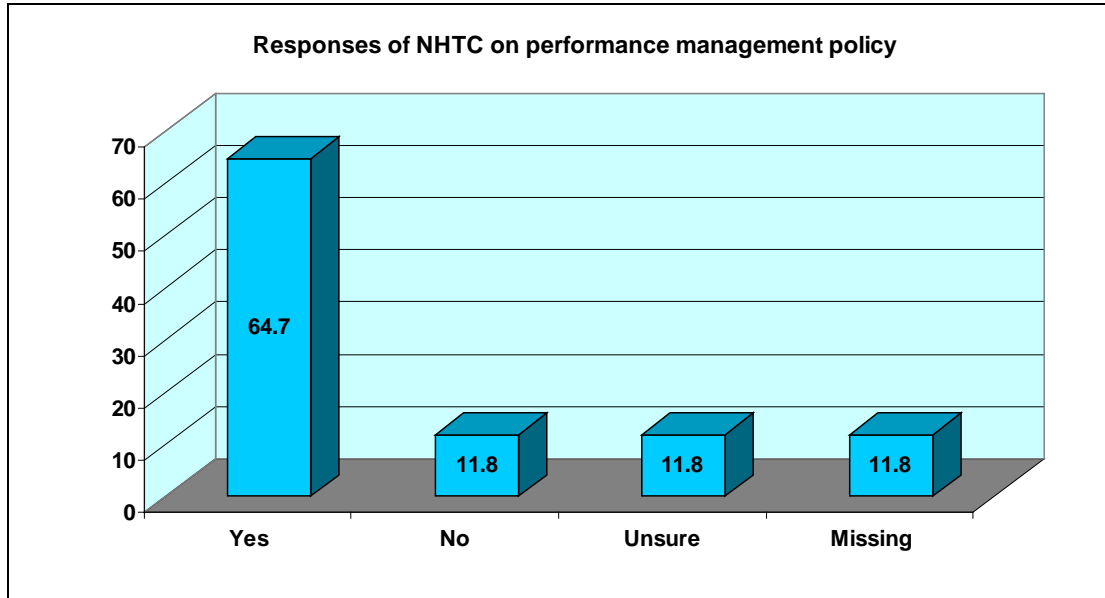
Graph 7.10: Responses of LP on performance management policy



In Graph 7.10 responses reflect that 27 participants (56.3%) knew that the institution had a performance management policy. Twelve respondents (25%) were not sure of the existence of such a policy, while seven respondents (14.6%) did not know, increasing the percentage of uncertain participants to (39.6%). Two participants did not respond to this question. Participants who were uncertain with regard to the existence of policy expressed the sentiment that they were not aware of the performance management policy document. According to the respondents, the policy should clearly indicate the purpose and procedure of performance management (see 5.3). What existed was the Act that replaced the confidential reporting system (Kingdom of Lesotho 2000a: 111) and the appraisal forms which were supposed to be completed quarterly.

7.5.2.2 Responses of NHTC on performance management policy

Graph 7.11: Responses of NHTC on performance management policy

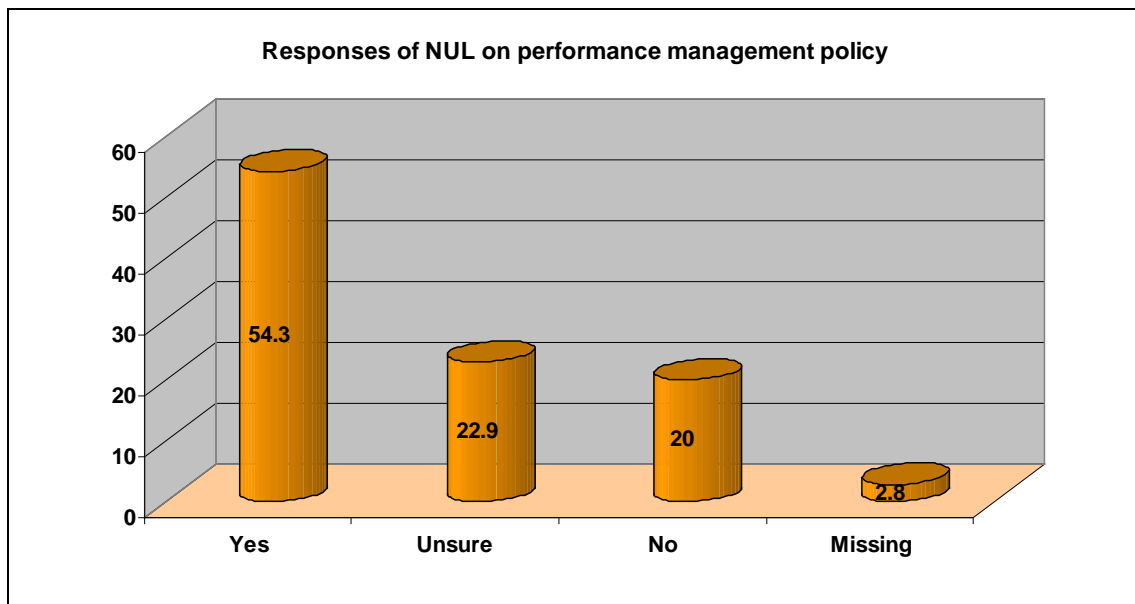


Graph 7.11 indicates NHTC staff responses on whether their institution had an appraisal policy. Eleven participants (64.7%) responded in the affirmative, while two participants (11.8%) were unsure and the other two (11.8%) indicated that there was no performance appraisal policy. Two participants (11.8%) did not respond.

7.5.2.3 Responses of NUL on performance management policy

Information on Graph 7.12 indicates the responses from NUL participants on the performance management policy. The purpose of this question was to find out if NUL academic staff were aware of the appraisal policy used to assess their performance.

Graph 7.12: Responses of NUL on performance management policy



The findings on Graph 7.12 show that 19 respondents (54.3%) from NUL indicated that NUL had a performance management policy, while eight respondents (22.9%) were unsure and seven participants (20.0%) indicated that there was no performance management policy. One participant (2.8%) did not respond.

The high percentage of respondents (42.9%) who were unsure and of those who expressed that a performance management policy did not exist, may be attributed to the participants' comments that NUL adopted an annual review system and not a performance management system, as reflected under the findings from individual interviews (see 7.11). According to the interviewees, annual reviews were not sufficient to depict problem areas in the same way that the continuous performance management system could.

With regard to question ten, according to the respondents the procedure was that work plans were prepared based on strategic plans of the institution. Assessment was done quarterly and the indicators of performance determined whether the targets were achieved. In the case of lecturers coverage of syllabi and the quarterly pass rate of students were considered as indicators.

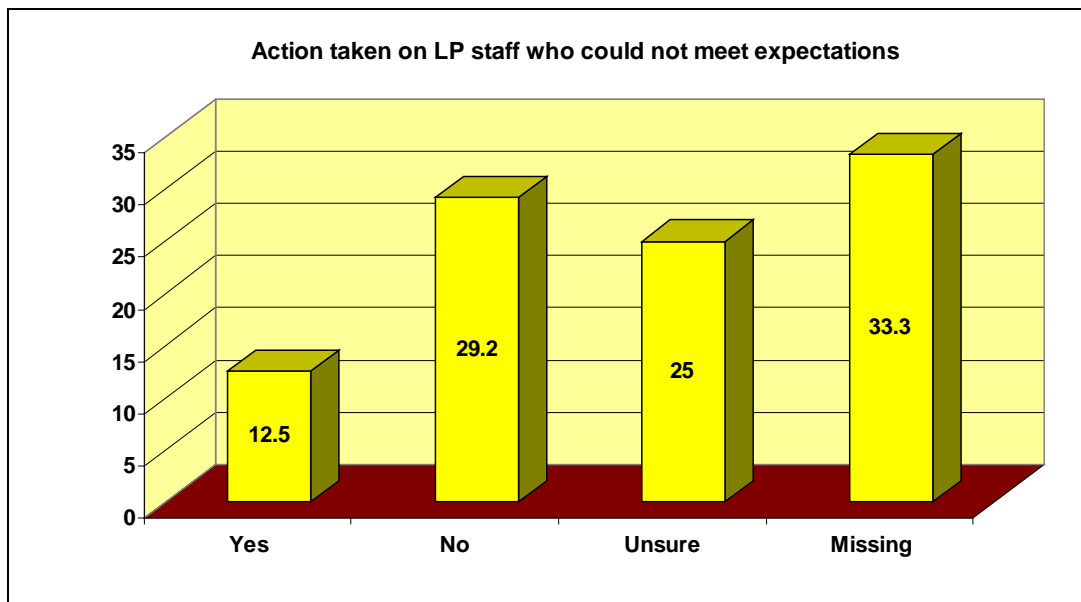
7.5.3 Views of respondents on action plans

Respondents were asked if the performance management policy stipulated action to be taken on staff that could not meet expectations under question 11. Graph 7.12 indicates the responses from LP.

7.5.3.1 Views of LP respondents on staff who could not meet performance expectations

Graph 7.13 shows the responses of LP participants on an action taken on staff who could not meet expectations.

Graph 7.13: Action taken on LP staff that could not meet expectations

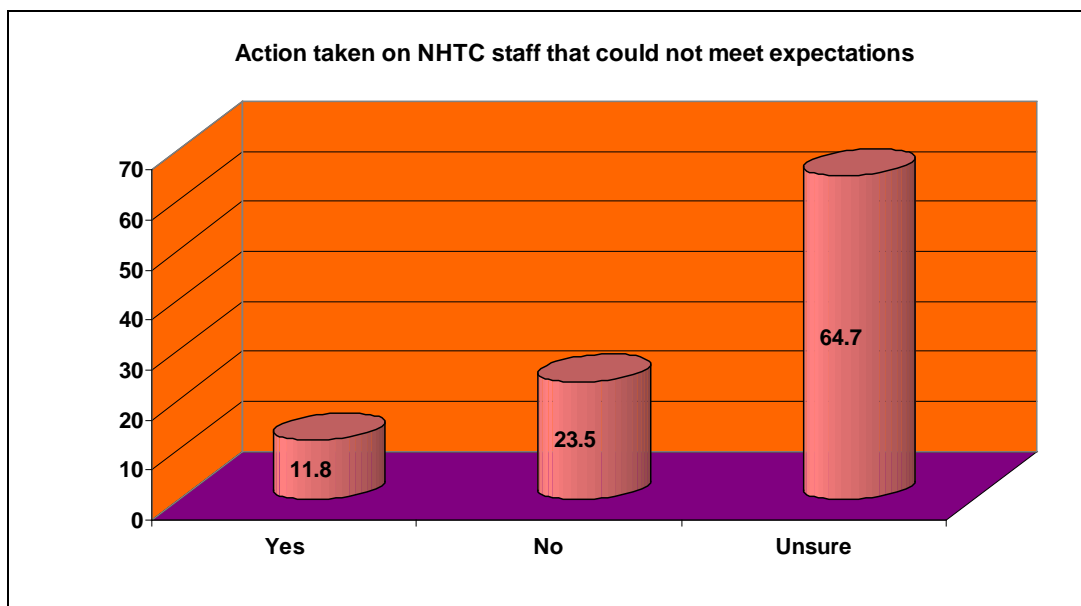


Graph 7.13 shows 14 participants (29.2%) who indicated that the policy did not stipulate action and 12 who were unsure (25%). Six participants (12.5%) responded in the affirmative indicating that the policy stipulated action to be taken on staff that could not meet standards. Sixteen participants (33.3%) did not respond to this question.

7.5.3.2 Views of NHTC respondents on staff who could not meet performance expectations

The information in this subsection reflects the perspectives of the respondents in relation to the action taken on staff who could not meet expectations.

Graph 7.14: Action taken on NHTC staff that could not meet expectations

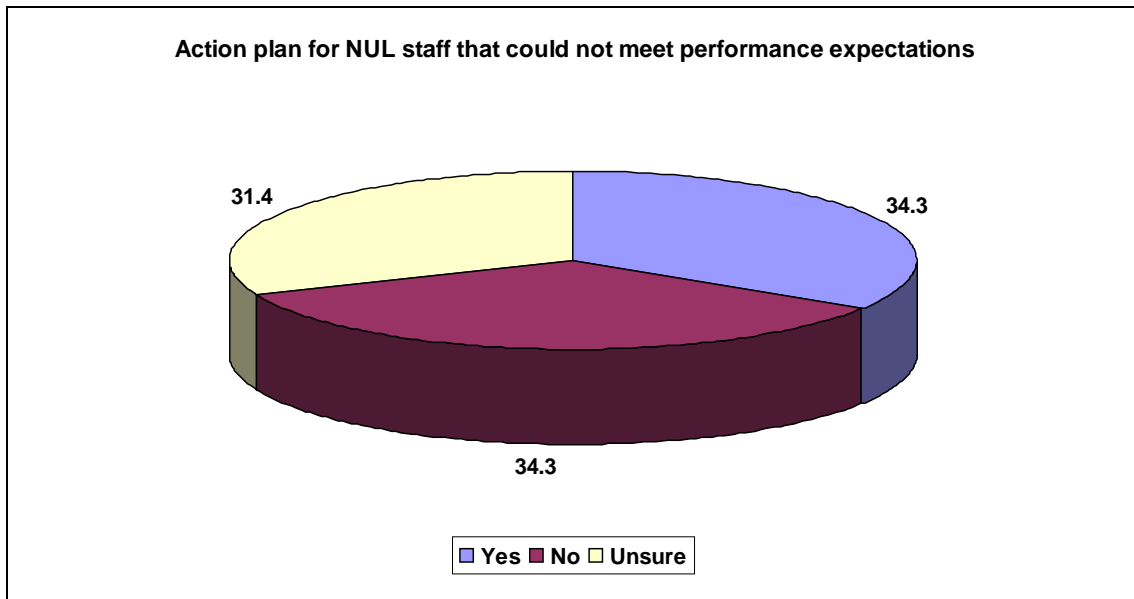


Graph 7.14 indicates NHTC respondents' views on action taken on staff who could not achieve performance targets. Eleven respondents (64.7%) were not sure, while four respondents (23.5%) indicated that no action was taken. It seems that the majority of the respondents were uncertain about action taken on staff who could not meet standards. Only two respondents (11.8%) indicated that staff who could not achieve standards were not promoted.

7.5.3.3 Views of NUL respondents on staff who could not meet performance expectations

The information in Graph 7.15 reflects the responses of NUL participants on staff who could not meet expectations.

Graph 7.15: Action plan for NUL staff that could not meet performance expectations



Graph 7.15 shows that 12 participants (34.3%) responded positively to the question on whether action was taken on staff who could not meet institutional expectations. Twelve respondents (34.3%) indicated that no action was taken while 11 (31.4%) were unsure. The respondents who were positive, indicated that staff who could not attain required points in research, teaching or community service, were not promoted. If only summative action on staff performance is taken, it is a sign that the system of staff appraisal is punitive as is the case at NUL. But if staff are coached in weak performance areas, it is a sign that performance management is aimed to develop staff to be efficient in their performance (see 4.5.3; 5.4.3.1; 5.5).

The role of a performance management system is to identify deficiencies (and good performance) in staff performance so that staff should be reprimanded or trained if they are found to be inefficient or to be rewarded for good performance (see 5.4 and 5.4.1). If no action is taken with regard to staff members who are identified as inefficient, the system of performance management will not effect a change in staff performance. It will fail to be an effective performance management tool if academics do not achieve valued educational outcomes (see 4.2 and Table 4.1). In addition, if action is not taken, the performance management system cannot assist higher education institutions to achieve demands in their environments (see 2.2).

An action plan for staff who cannot meet institutional standards is essential in the form of training or coaching (see 4.5.2 and 5.4.3.1). But if all formative efforts fail to effect a change in the performance of an inefficient staff member, summative action should be taken. While the performance management system is not intended to be punitive, action against staff who do not conform to requirements should be taken to ensure that efficiency and effort are gained from all staff for the institution to be efficient.

7.5.4 The identification and solution of performance problems

The discussions below provide responses to question 12, which inquired whether the performance policy identified the process through which performance problems were identified and solved. The discussions also include comments of participants on question 13.

7.5.4.1 Responses on the identification and solution to performance problems at LP

The responses of LP staff to whether the policy document identified the process through which performance problems were identified, documented and solved, showed that 20 participants (41.7%) did not know whether this was identified in policy. Twenty-two (45.8%) of the respondents were unsure. Respondents who did not know and those who were unsure made up a total of (87.5%) of respondents who were uncertain about whether the policy

identified the process through which performance problems were solved. Only six respondents (12.5%) indicated that the policy identified such a process. On the basis of these findings, one can conclude that LP staff did not know whether the performance management policy identified the process through which performance problems were solved.

7.5.4.2 Responses on the identification and solution to performance problems at NHTC

The ten respondents (58.8%) who responded in the affirmative indicated that performance problems varied, depending on the targets set out in the work plan. They expressed that if the identified problems related to lack of skill and knowledge, an in-house training was provided. In the case where tasks were not completed as planned, reasons were provided and tasks were incorporated into the plans of the following year. According to comments from positive respondents, a procedure for identifying and solving performance problems existed, though not on paper. Seven respondents (41.2%) indicated that the procedure for identifying and solving performance problems was not clear.

7.5.4.3 Responses on the identification and solution to performance problems at NUL

Ten respondents (28.6%) indicated that the policy identified the process through which performance problems were identified, documented and solved. Nine respondents (25.7%) indicated that the policy did not identify such a process, while 13 respondents (37.1%) were unsure. If the numbers of respondents who replied in the negative and those who were unsure, are combined to indicate uncertainty about the procedure, a total of (62.8%) of the respondents can be considered as indicating uncertainty about the policy procedure with regard to identifying problems. Three respondents (8.6%) did not participate in this question.

Ten respondents (28.6%) from NUL indicated that identified performance problems were submitted to Heads of Departments who addressed them. The respondents added that, in the case where teaching material was the

problem, a virement (money would be drawn from other items where funds were available within the budget), was made in the budget for their purchase. They further indicated that individual performance was addressed through committees. The respondents also indicated that the university was in the process of implementing an open system of appraisal. According to the new system, supervisors were to observe teaching and discuss performance with supervisees. In addition, students were also to assess teaching. By implementing an open system whereby lecturers' performance information would flow from students and supervisors, problems would be identified and solved.

Nine NUL participants (25.7%) who responded negatively indicated that the performance management procedure was not documented. As a result, the respondents were not sure of the procedure followed in solving performance problems. They added that the lack of a documented procedure caused the performance management policy to be unpredictable.

Comments from nine (25.7%) respondents whose responses were negative were that the procedure on identifying performance problems was not clear and that the policy guidelines on the procedure did not exist. The comments indicated that clear performance management procedures should be communicated to staff to make the performance appraisal system acceptable to them (see 5.5).

The following discussions are responses to question 14, which required participants to indicate whether there were written statements on how staff were assisted to achieve institutional objectives. The discussions also include participants' comments on question 15.

7.5.5 Responses of participants on the availability of a written statement on staff support

This subsection covers the responses of the participants from LP, NHTC and NUL on whether there was a written statement on how staff would be assisted to achieve institutional objectives.

7.5.5.1 Responses of LP staff on the availability of a written statement on staff support

The findings on question 14, which asked whether there was a written statement on staff support, reflect that 29 LP respondents (60.4%) indicated that a written statement on how staff would be supported, did not exist, while two participants (4.2%) expressed that it existed. Seventeen respondents (35.4%) did not participate in this question.

Comments from two participants (4.2%) who responded in the affirmative in question 15 showed that the performance management system did not clarify how performance problems would be solved. The respondents also recommended that, "There should be a clear process to be followed to help individuals towards development." They pointed out that it was essential that staff should be supported in the weak areas identified through appraisal in order to enhance their efficiency (see 5.9.6.). The concern of the respondents was that the staff development plan had to be documented and communicated to all staff as part of policy.

The discussions that follow concern the responses of NHTC staff on the availability of a written statement indicating how staff would be supported.

7.5.5.2 Responses of NHTC staff on the availability of a written statement on staff support

The findings with regard to the existence of statements on staff support in question 14 showed that two participants (11.8%) indicated that there were statements indicating how staff would be supported to achieve institutional objectives. They indicated that staff members were usually advised to seek assistance from the director's office. Twelve respondents (70.6%) indicated

that there was no written evidence of staff support. Three respondents (17.6%) were not sure if a statement on how staff would be supported existed. The implication is that in matters of uncertainty on performance management, staff were advised to consult the director, though guidelines were not documented.

The comments relating to question 15 from three negative respondents (17.6%) at NHTC indicated that there was no mention on how management would assist staff to achieve institutional objectives. The written statements on how staff would be supported were necessary as an indication of commitment to support staff by those in authority (see 5.3.1).

7.5.5.3 Responses of NUL participants on the availability of a written statement on staff support

The findings from NUL with regard to statements on staff support show that 12 respondents (34.3%) indicated that there were written statements on how staff would be supported, while 22 respondents (62.9%) indicated that such statements did not exist. One participant (2.8%) did not respond.

Comments in relation to question 15 from positive respondents (34.3%) were that it was implicit that support would be available upon request. The respondents added that there was a staff development unit for locals. In addition, all academic staff members were given sabbatical leave to upgrade teaching and research.

The 22 respondents (62.9%) who indicated that “nothing” was documented expressed that individuals had to take the initiative to request support. However, due to lengthy procedures, the requested support was delayed. In addition, the staff performance objectives were never discussed and as a result staff members were hardly assisted. According to these respondents, a written indication on how staff would be supported was essential. Literature showed that success of performance appraisal system depends among others on how staff is supported (see 2.2.3; 3.6; 4.5.3; 5.3.1; 5.5.1; 5.5; 5.7.2).

7.5.6 Staff's responses on the importance of performance management

The respondents were asked to comment on a 4-point scale with regard to the importance of performance appraisal management system for their institutions under question 17. They were also asked to comment on their responses to question 17, under question 18. The responses on question 17 and comments on question 18 from LP are discussed in the next section.

7.5.6.1 LP staff responses on the importance of performance management

Those who agreed and strongly agreed that performance management was inevitable in all organisations, constituted 30 respondents (62.5%). The 11 respondents (22.9%) who disagreed comprised five respondents (10.4%) who strongly disagreed and six respondents (12.5%) who disagreed. Seven respondents (14.6%) did not respond. The findings indicate that respondents considered performance management necessary as a control mechanism in their institution.

Comments on staff who agreed and strongly agreed (62.5%) that performance management system was important were that it was necessary to align individual goals with the mission of the institution. However the LP policy document did not stipulate the action to be taken to support ineffective staff (see 5.9.7). The comment from eleven respondents (22.9%) who disagreed was that appraisal was intended to pick staff who were not effective and punish them. In addition, it was an instrument used by supervisors to justify rewards for staff members they were in favour of (see 5.4.1; 5.9.7).

The inference one can make from the findings is that performance management system is considered to be important. The performance management system at LP did not stipulate action to be taken to support ineffective staff. The above findings relate to the information gathered from the focus group discussions and interviews, which showed that the existing appraisal policy and strategies were insufficient to clarify the process through which action would be taken to support staff. The need for policy guidelines to clarify the implementation of appraisal is reflected in this comment: "What

exists is the appraisal form, but there is no other paper (*document*) providing guidance, which I think should be there.”

7.5.6.2 NHTC staff responses on the importance of performance management

Eleven (64.7%) of the respondents from NHTC agreed that performance management was important in their institution. Five respondents (29.4%) from NHTC disagreed that performance management was important. One respondent (5.9%) strongly disagreed. According to the respondents, appraisal helped in proper planning, implementation and evaluation of work of all staff members. Respondents indicated that appraisal was inevitable, since appraisal data was used for salary increment, promotion and recommendation for further studies. The 11 (64.7%) respondents from NHTC also indicated that NHTC management had become aware that some employees only came to work to “present their faces and not for production.” As a result, appraisal was essential to monitor performance. Another comment by respondents related to the legal climate. The respondent indicated that employees had a tendency to sue institutions; hence a need to conduct appraisal and document employees’ performance, as this could justify the decision taken (see 5.3.1).

Five respondents (29.4%) from NHTC disagreed that performance management was important. One respondent (5.9%) strongly disagreed. Though performance appraisal was necessary, it was not easy to implement and it was a complex measure of staff performance, since it lacked objectivity (see 5.6). One respondent (5.9%) who disagreed with the statement that appraisal was important argued that, if performance management was considered important for the institution, it ought to be conducted regularly as indicated in the appraisal policy. According to the performance management policy (Kingdom of Lesotho 2000a: 111), appraisal had to be conducted quarterly. This meant that performance would be monitored continuously. Continuous staff appraisal is considered necessary to highlight weaknesses in performance so that remedial action should be taken (see 4.5.2; 5.9.3).

The continuous review of performance to improve efficiency is recommended in literature (see 4.5.3). According to literature, technological changes (see 2.2.6) and the changing work environment (see 5.3.2) call for continuous performance management to identify deficiencies. Literature further indicates that the identified performance deficiencies be solved through the scholarship development plan (cf. Table 4.3) to ensure that academic staff in higher education institutions deliver relevant and efficient services. The continuous performance review and the action taken to solve identified problems are necessary in institutions of higher education in Lesotho to address the internal and external requirements for efficiency.

The discussions that follow are the views of NUL respondents with regard to the importance of performance management.

7.5.6.3 NUL staff responses on the importance of performance management

Twenty respondents (57.1%) from NUL strongly agreed that performance management was inevitable in all organisations, while 12 agreed (34.3%). A total of 32 respondents (91.4%) agreed that performance management was inevitable in all organisations. Three respondents disagreed (8.6%).

Under question 18 respondents were asked to comment. The 32 respondents (91.4%) who agreed that performance management was inevitable, indicated that, due to high costs of staff salaries and other benefits, lecturers' performance had to be assessed to ensure that they worked to their best potential (see 2.2.2). They indicated that higher learning institutions were to attain the highest level of effectiveness and efficiency in providing services, which could be possible through staff performance. An appraisal system enables them to attain this aim. According to these respondents, it was important to manage staff performance, since development was about continual improvement, which was possible through constant monitoring (see 5.3.2). The other comment was that "there is no other way of identifying strengths and weaknesses of staff except through performance management schemes. Supervisors and supervisees need to talk to share ideas on how

best to achieve organisational goals and objectives.” Lastly, one respondent wrote: “It gives one a sense of security if one performs well. Appraisals protect institutions against inefficiency and employees against unfair labour practice.”

According to the above responses, a staff performance appraisal system has to identify strengths and weaknesses, which hinder effective performance of both the academic staff and the institution. The identification should be followed up with solutions to identified problems. These responses support the argument raised that the purpose of appraisal should be to highlight factors that hinder effective staff performance with the aim to develop staff to be efficient (see 4.5.1). However, three respondents (8.6%) indicated that performance management lacked objectivity; hence it did not serve its purpose effectively.

The findings discussed above on the purpose and procedures of performance management reflect that the majority of the respondents from the three Lesotho higher educational institutions considered performance management inevitable for the individual development and the achievement of institutional objectives. The purpose of such a system should be to develop scholarship that is necessary for staff to achieve institutional objectives. Their comments on the implementation problems show that the process of appraisal has to be continuous and participative for the system to be sustained (see 3.2.2.1).

The findings from the institutions reflect that participants attached great importance to performance management as reflected in 30 (62.5%) positive responses compared to 11 (22.9%) negative responses from LP; 11 (64.7%) positive responses, compared to 6 (35.3%) negative responses from NHTC; and 32 (91.4%) positive responses compared to three (8.6%) negative responses from NUL. Seven participants (14.6%) from LP did not respond.

The discussions below cover findings on performance agreement plans. The information was gathered through questions 19 to 31.

7.6 PERFORMANCE AGREEMENT PLANS

This section on the questionnaire required information on whether the supervisor/appraiser and the appraisee agreed on tasks, jointly set standards, and agreed on performance indicators as a basis for the appraisal of performance.

The responses on question 19 that inquired whether participants reviewed the job descriptions jointly with their supervisors are discussed below, starting with the views of the respondents from LP.

7.6.1 Participants' responses on the joint review of job descriptions

The participants from LP, NHTC and NUL were asked whether they jointly reviewed their job descriptions with their supervisors under question 19 in the questionnaire.

7.6.1.1 LP participants' responses to the joint review of job descriptions

The findings on the question whether the supervisor and the subordinates reviewed the job description of the subordinate, reflect that 31 respondents (64.6%) from LP did not review job descriptions with their supervisors, while 17 (35.4%) indicated that they reviewed them.

7.6.1.2 NHTC participants' responses on the joint review of job descriptions

The findings on the question whether the supervisor and the subordinate jointly reviewed the job description of the subordinate reflect that 11 respondents (64.7%) from NHTC indicated that the joined review was not done, while five respondents (29.4%) indicated that it was done. One respondent (5.9%) did not complete this question.

7.6.1.3 NUL Participants' responses on the joint review of job descriptions

The findings on the similar question regarding the joint review of job descriptions reflect that 26 respondents (74.3%) from NUL indicated that the job descriptions were not jointly reviewed, while six (17.1%) respondents indicated that the job descriptions were jointly reviewed. Three respondents (8.6%) did not participate in this question.

Next follows a summary of the responses from LP, NHTC and NUL on the joint review of the job descriptions.

7.6.1.4 A summary of the responses from the three institutions on the joint review of job descriptions

The findings on the question whether the supervisors and the subordinates reviewed job descriptions together, show that 31 respondents (64.6%) from LP, 11 respondents (64.7%) from NHTC, and 26 respondents (74.3%) from NUL did not review job descriptions with their supervisors. In their comments the LP and NHTC participants indicated that their jobs were not reviewed, since their tasks were incorporated in the annual work plans, which they organised jointly with their supervisors at the department level and were approved at the institutional level. But another reason raised by the respondents for not conducting a joint review on job descriptions was that the relations between some supervisors and their subordinates were poor. From the above participants' comment, it seems that some form of agreement is reached at the department with regard to the tasks that staff members are expected to accomplish in the course of a year, though in some cases no agreement is reached.

The comment from NUL respondents was that it was not necessary to agree on tasks, since the acceptance of employment meant that staff members were aware of the tasks they were expected to perform. The review of the job descriptions is essential as an important step in the performance management procedure (see 5.3.2) due to the dynamic environment in which higher education institutions exist (see 2.2).

Besides being questioned on the joint review of the job description, respondents were also asked whether they agreed with their supervisors on the tasks they were to perform. Their responses are the focus of the discussions that follow.

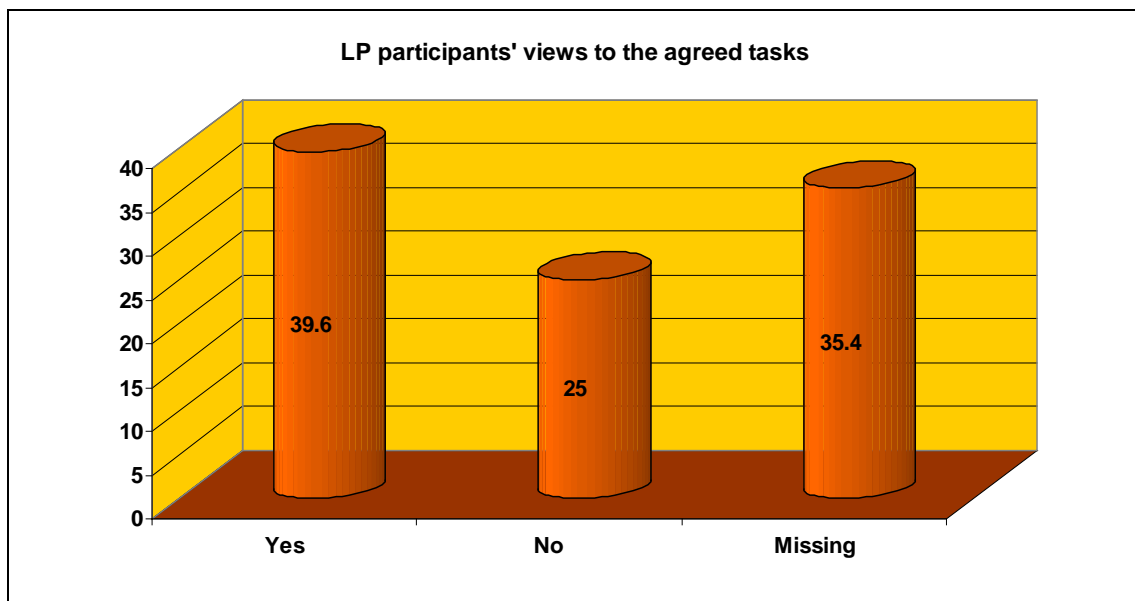
7.6.2. Participants' responses on tasks to be performed

Participants from LP, NHTC and NUL were requested to respond to question number 20 whether they agreed with their supervisors on tasks they were expected to perform, starting with the respondents from LP.

7.6.2.1 LP participants' responses on the tasks to be performed

The responses of LP participants are reflected in Graph 7.16 in the next section.

Graph 7.16: LP participants' views on the agreed tasks



Nineteen respondents (39.6%) from LP indicated that they agreed on tasks to be performed, while 12 respondents (25.0%) did not agree. Seventeen participants (35.4%) did not respond.

Comments of LP respondents to question 21 reflect that 19 participants (39.6%) who agreed on tasks with their supervisors expressed that they agreed on work plans and performance output. This point was expressed in the following comment: “we sat down and agreed, but due to lack of staff we seemed to be doing more work than planned”. An indication that respondents seemed to do more work is reflected in the following comment: “at times we even do laboratory technician’s work.”

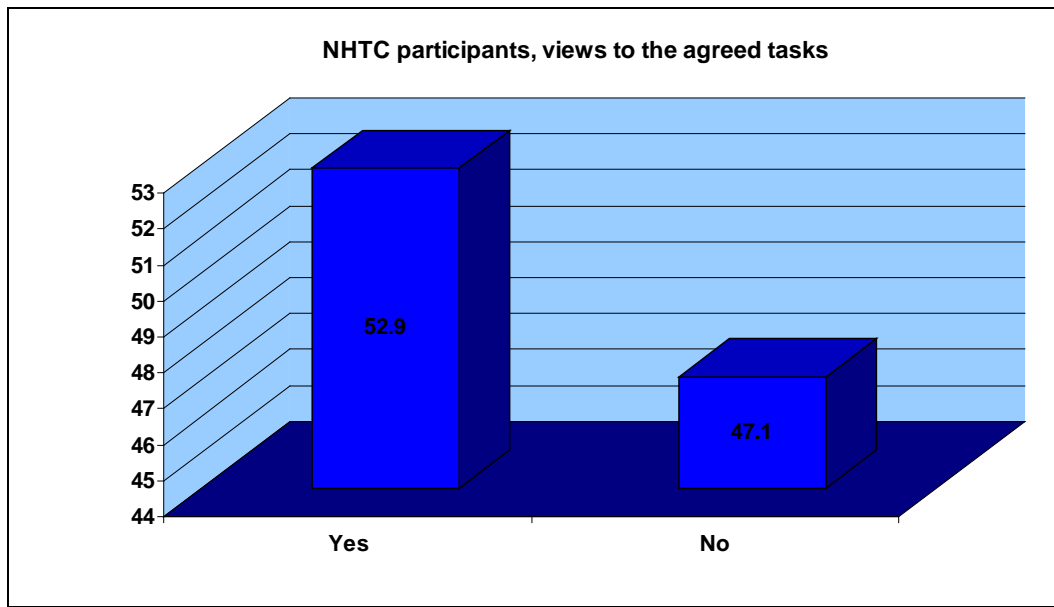
Comments from 12 respondents (25.0%) who did not agree were that tasks on job descriptions provided during their employment were different from job descriptions that were drafted by the LP during the review of job descriptions within the institution. Respondents indicated that they would not agree on tasks to perform until the former job descriptions and the reviewed ones had been reconciled and agreed. They added that the performance management system was introduced in a hurry before proper planning such as the discussions and agreements on job descriptions was done. According to them staff were required to complete appraisal forms and submit them to the Ministry of Education on stipulated times, while staff were not yet well informed about the system and its procedure. According to these responses, it seems staff did not agree on the tasks that were to be performed and evaluated. Literature indicates that the appraisee and appraiser have to agree on tasks to be performed and align them to institutional targets, if performance appraisal system is to succeed (see 5.3.2). It seems not to have been the case at LP with some staff members. This omission could affect the success of the introduced performance appraisal system.

There were no comments from 17 respondents (35.4%) who did not participate.

7.6.2.2 NHTC participants' responses on tasks to be performed

Graph 7.17 shows the responses of NHTC participants to whether they agreed with their supervisors on tasks they were expected to perform

Graph 7.17: NHTC participants' views to the agreed tasks



Graph 7.17 shows that nine respondents (52.9%) from NHTC had agreed with their supervisors on tasks that were to be performed. Eight respondents (47,1%) indicated that they did not agree.

The comments of NHTC participants to question 21 were that they agreed on tasks. They indicated that tasks existed even before appraisal was introduced, but when the appraisal was introduced, it was taken for granted that an agreement had been reached, since the respondents were already performing the tasks. Some respondents indicated that the job was understood and as a result there was no need to discuss it with the supervisor.

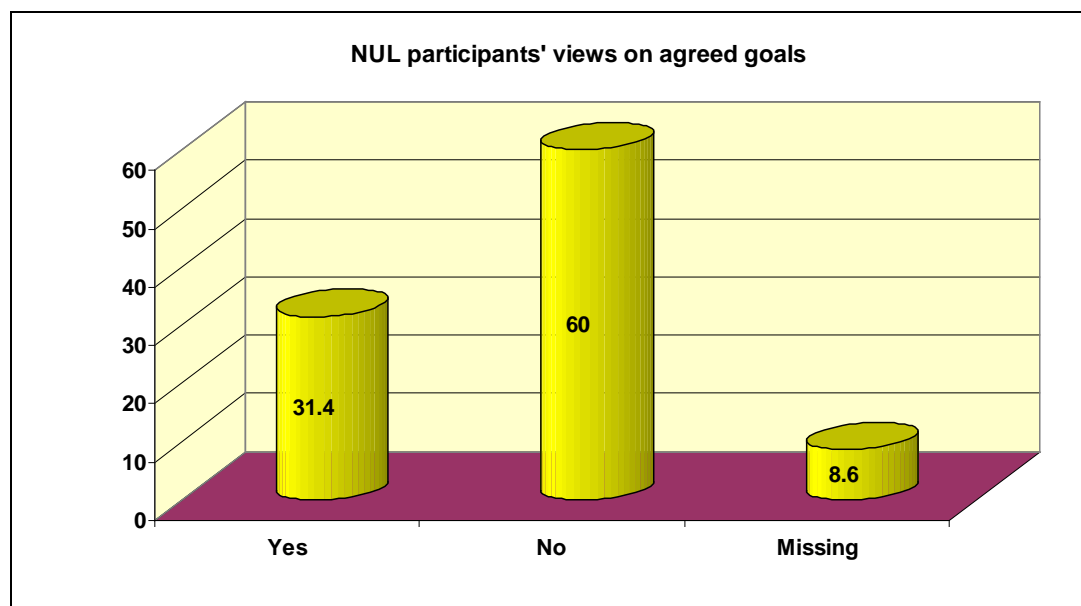
Some respondents did not agree. In the open question (see Appendix F, Section C, question 21), three respondents (17.6%) indicated that they had never been appraised, while two respondents (11.8%) indicated that they had different views from their supervisors with regard to the tasks they were to perform. Another respondent (5.9%) indicated that, while they had agreed on

the tasks with their supervisor at the departmental level, their plans would not be approved at the level of the institution. Eleven respondents (64.7%) did not respond to question number 21.

7.6.2.3 NUL participants' responses on tasks to be performed

The responses of NUL participants are reflected in Graph 7.18 in the section that follows.

Graph 7.18: NUL participants' views on agreed tasks



Graph 7.18 shows that 21 respondents (60.0%) indicated that they did not agree with their supervisors on the tasks they had to perform, while 11 respondents (31.4%) responded positively. Three participants (8.6%) did not respond.

In the open question (see Appendix F, question 21) respondents who indicated that they did not agree (60.0%) with their supervisors on tasks they were to perform, made various comments. Their comments were that agreement was not reached due to problems emerging from the environment, such as lack of facilities. According to their responses, such problems were never taken into consideration when tasks were assigned. Respondents further indicated that discussions were essential to clarify tasks, but such a

situation did not exist. Respondents added that the Head of Department did not monitor performance of lecturers, since it was assumed that lecturers performed as required.

The 11 respondents (31.4%) who indicated that tasks were agreed between the supervisor and the lecturer, indicated that such an agreement was made at the time of recruitment and during induction. According to them, acceptance of the offer of employment implied that a lecturer understood the scope of the job and agreed to carry out tasks. Respondents added that, during induction, research output was emphasised as a major indicator of staff performance. Agreement on the tasks was also reached in the departmental meetings during which decisions were recorded. Agreement on tasks with supervisors is considered important in literature (see 5.7.3; 5.3.2; 5.4.3). The rationale is that both supervisors and supervisee will focus on the agreed plan of work and targets when evaluation is performed. Agreement forms a basis for effective evaluation.

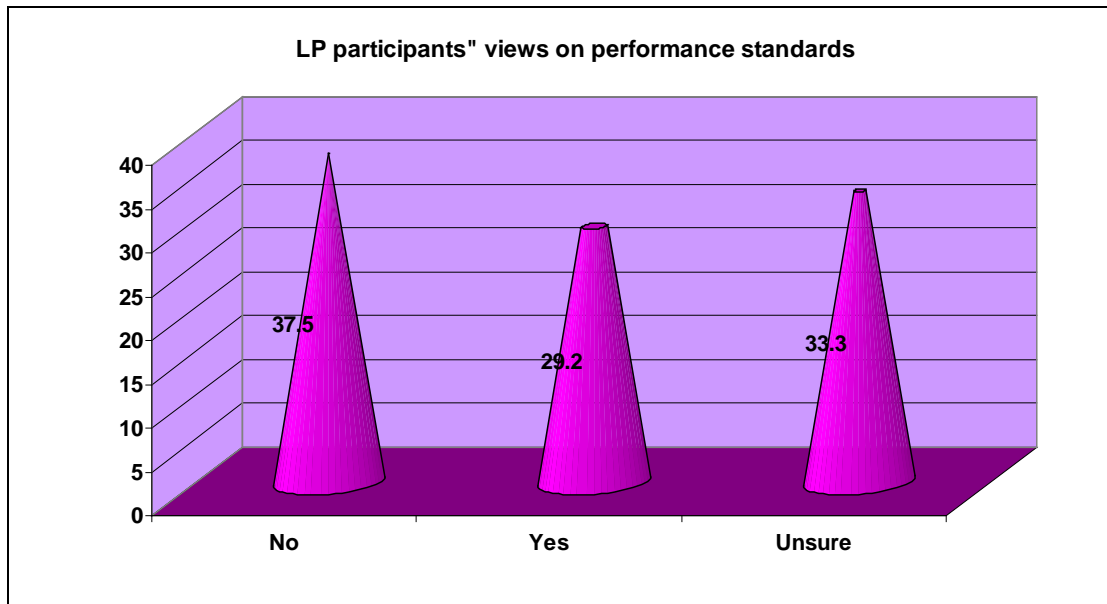
7.6.3 Participants' views on joint setting of standards with supervisors

Participants from the three institutions studied were asked whether they had set standards of achievement with their supervisors. The responses are discussed below, starting with responses from LP.

7.6.3.1 *LP participants' views on joint setting of standards with supervisors*

The responses from LP are presented in Graph 7.19. Question 22 was intended to find out if subordinates agreed on the standards of performance together with their supervisors.

Graph 7.19: LP participants' views on performance standards



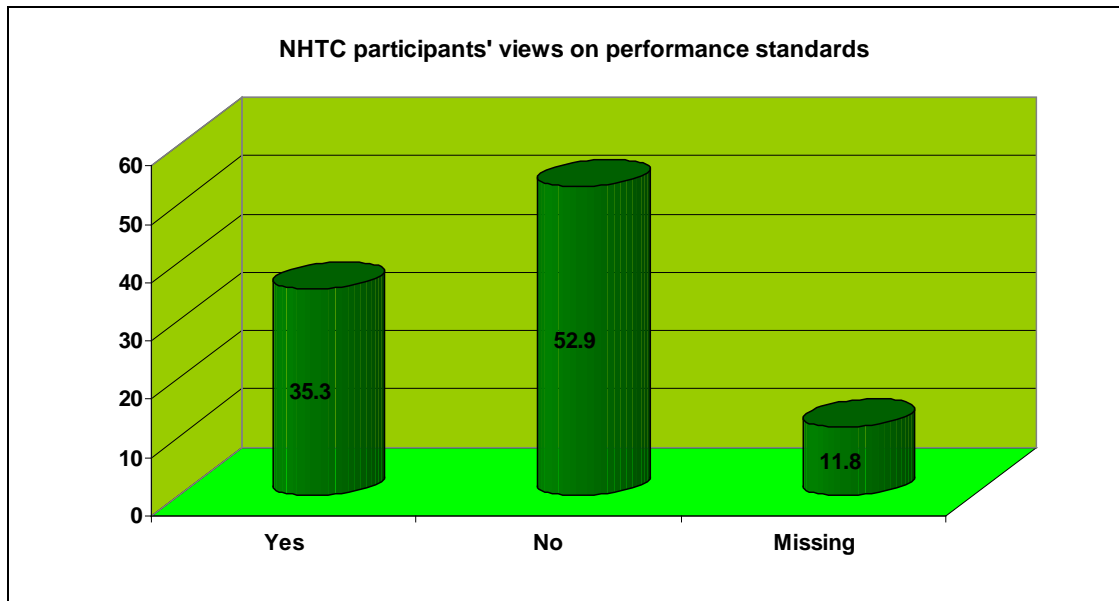
Graph 7.19 reflects that 18 participants (37.5%) did not set standards with their supervisors and 14 respondents (29.2%) agreed that they had set standards of performance with their supervisors. Sixteen participants (33.3%) were unsure.

Comments from 14 respondents (29.2%) who set performance standards with their supervisors were that it was important to set standards. According to the respondents, the set performance standards would help in the final rating of staff performance. Comments from 12 participants (25.0%) who did not set standards with their supervisors were that their work plans that were based on the mission of their institution included expected standards of performance. So, according to them there was no need to discuss standards with their supervisors. Six participants' comments were that supervisors were not clear on how to set standards. Sixteen participants (33.3%) did not respond.

7.6.3.2 NHTC participants' views on joint setting of standards with supervisors

The responses of NHTC participants on whether they had set standards of performance with their supervisors are indicated in Graph 7.20.

Graph 7.20: NHTC participants' views on performance standards



Graph 7.20 indicates that six respondents (35.3%) expressed that they had set performance standards with their supervisors; while nine respondents (52.9%) indicated that there was no agreement on standards. Two participants (11.8%) did not indicate their views.

Comments on question 23 from six respondents (35.3%) who agreed with supervisors on performance standards were that an annual work plan for the programme had been prepared in which agreed plans and performance standards were clearly spelled out.

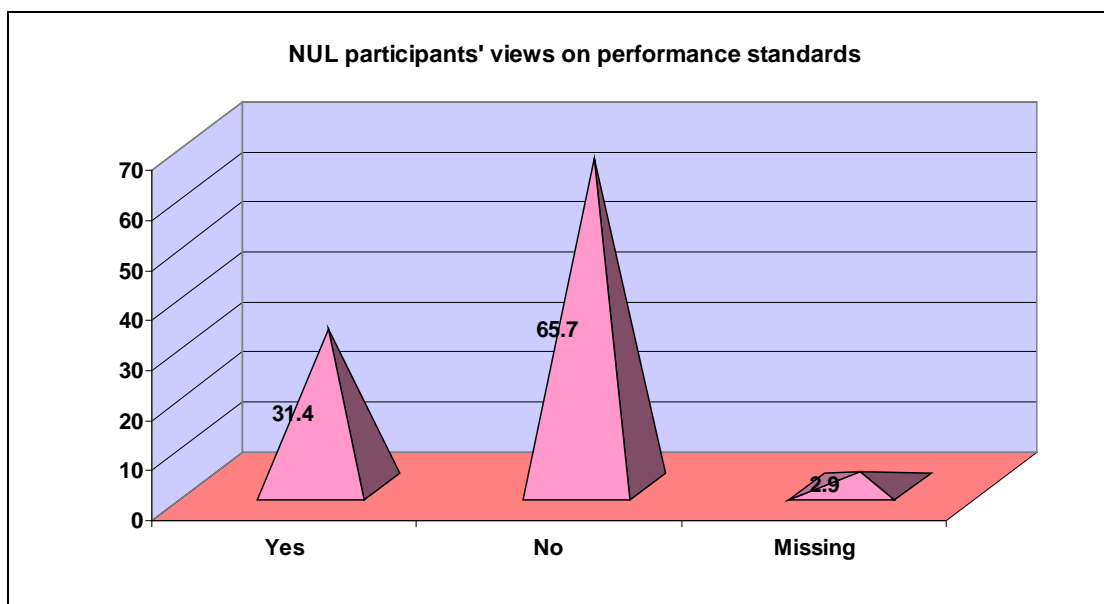
Nine respondents (52.9%) who did not agree on standards of performance with their supervisors had reasons for the disagreement. They indicated that the standards they were expected to achieve were not congruent with the jobs that they were assigned. For example, some staff members indicated that they had been employed as laboratory technicians but they had been

assigned to lecture. Evaluation of their performance was also based on the standards of laboratory technicians, not on lecturing. The fact that they were evaluated on what they did not do, resulted in disagreements with their supervisors on standards of performance. These comments from NHTC respondents reflected that there were disagreements among some supervisors and staff in the setting of objectives and standards of performance. If staff members disagree with supervisors on standards, the desired standards for the institution may not be achieved. Two participants (11.8%) did not respond.

7.6.3.3 NUL participants' views on joint setting of standards with supervisors

Graph 7.21 reflects the views of NUL participants on whether they had set standards of performance with their supervisors.

Graph 7.21: NUL participants' views on performance standards



Graph 7.21 shows that 11 respondents (31.4%) from NUL indicated that performance standards were clear and documented. Twenty-three respondents (65.7%) indicated that performance standards did not exist. One participant (2.9%) did not respond.

The comments from 11 respondents (31.4%) were that the university had a code of conduct for all staff. They indicated that the understanding was that lecturers had to perform to the best of their ability and to abide by the code of conduct. The comments of twenty-three (65.7%) respondents were that performance standards were not documented and had not been agreed on. One respondent (2.9%) did not commend.

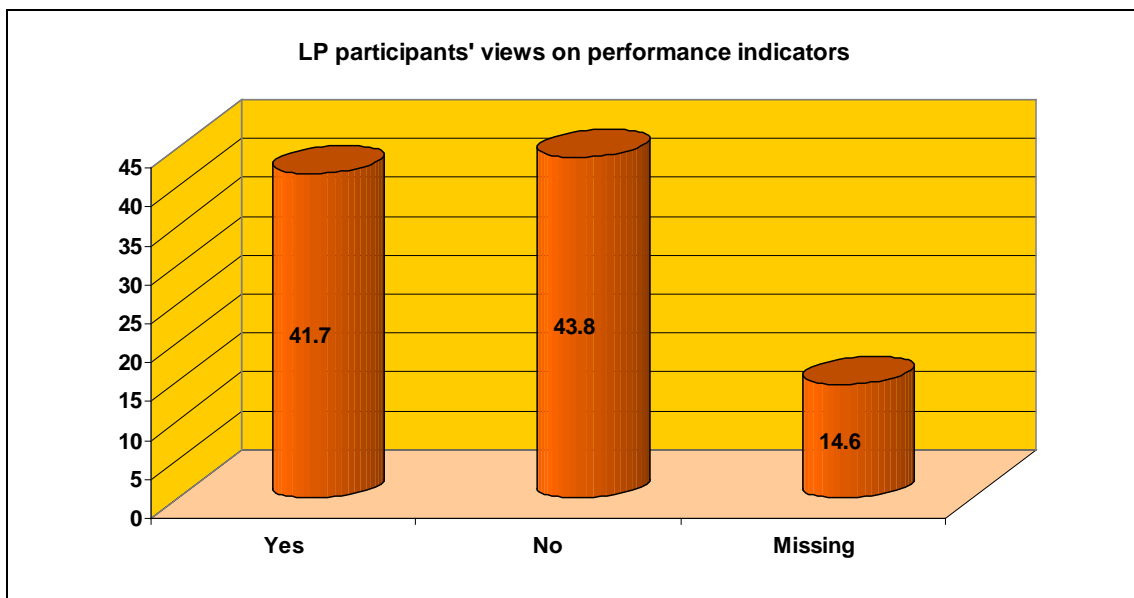
7.6.4 Participants' views on performance indicators

The participants from the three institutions studied (LP, NHTC and NUL) were asked whether they had agreed on performance indicators with their supervisors.

7.6.4.1 Responses of LP participants on performance indicators

Graph 7.22 shows the responses of the LP participants on whether they had agreed with their supervisors on the set indicators as a basis for the evaluation of their performance in question 24 of the questionnaire.

Graph 7.22: LP participants' views on performance indicators



Graph 7.22 shows that 20 respondents (41.7%) had agreed with their supervisors on performance indicators while 21 respondents (43.8%) had disagreed. Seven respondents (14.6%) did not respond to this question.

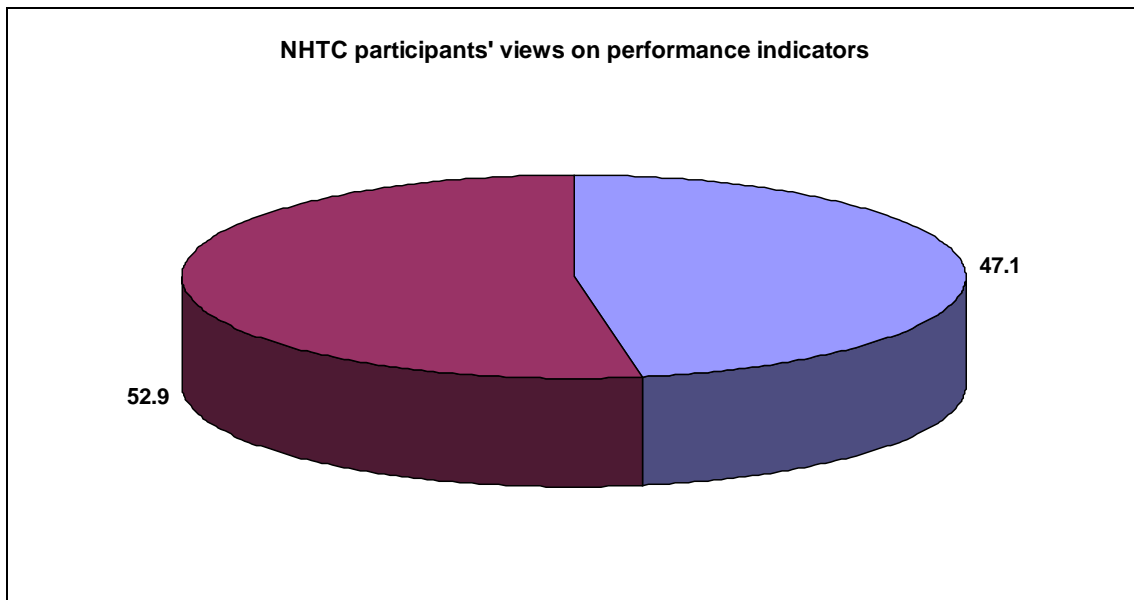
Comments from LP respondents on question 25 show that 20 respondents (41.7%) who had set indicators with their supervisors, indicated that “Setting of verifiable indicators helps to promote objectivity in evaluating the performance and reduces chances of bitter disagreement because it is a matter of either the indicator is there or not.” Twenty-eight respondents (58.3%) did not commend.

A conclusion from these findings is that it seems majority of supervisors (appraisers) and subordinates (appraisees) did not jointly set standards to be achieved.

7.6.4.2 Responses of NHTC participants on performance indicators

Graph 7.23 shows the responses of NHTC participants on performance indicators.

Graph 7.23: NHTC participants’ views on performance indicators



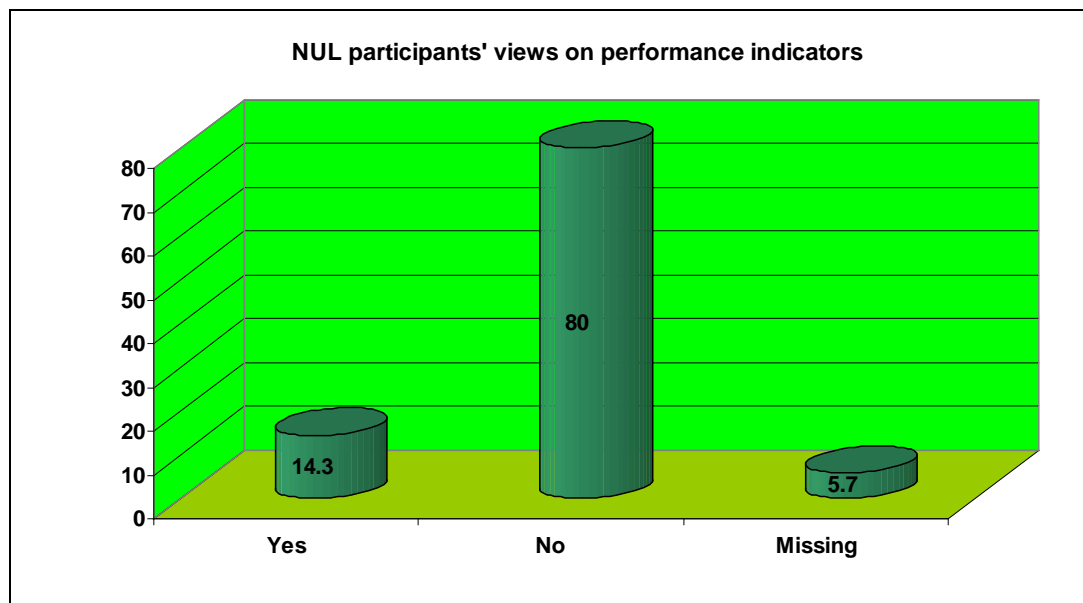
Graph 7.23 shows responses from NHTC to the question whether supervisors and subordinates agreed on performance indicators. Nine respondents (52.9%) indicated that no agreements had been made, while eight respondents (47.1%) indicated that appraiser and appraisee had reached agreement on performance indicators.

Comments of NHTC respondents on the agreement of performance indicators varied. A respondent (5.8%) who indicated that performance indicators had not been mutually agreed on, indicated that though the process of formulating performance indicators empowered lecturers, it was useless to set indicators, since supervisors did not have time to monitor their achievement. Eight respondents (47.1%) who agreed indicated that performance indicators were included in the work plans. The findings show that it is essential to agree on performance indicators and to monitor their achievement. According to literature, it is important for the appraiser and the appraisee to agree on standards of performance, since standards are a yardstick in the evaluation of performance (see 5.3). However, a slightly higher majority (52.9%) of the respondents indicated that the performance indicators were not mutually agreed on, compared to those who indicated that they had been agreed on. If supervisors and subordinates do not agree on standards of performance, there may be no clear criteria for the assessment of staff.

7.6.4.3 Responses of NUL participants on performance indicators

The purpose of this question was to find out NUL participants' views on whether they had agreed on performance indicators with their supervisors in question 24.

Graph 7.24: NUL participants' views on performance indicators



Graph 7.24 reflects the responses of NUL participants to the question whether the supervisor and the subordinate had agreed on performance indicators. The findings show that 28 respondents (80.0%) indicated that subordinates and supervisors had not agreed on performance indicators, while five respondents (14.3%) answered in the affirmative. Two participants (5.7%) did not respond to the question.

Comments under question 25 show that twenty-eight respondents (80.0%) from NUL gave various reasons why they did not agree with their supervisors on performance indicators. The first reason was that management set performance indicators and imposed rules and conditions of service without proper consultation with staff. According to the above responses, members of staff were not given an opportunity to set performance indicators. This implied that staff had to comply with the set indicators.

A different view from five participants (14.3%) was that there was no need to set indicators, since the job descriptions and expected outputs in teaching and research were clear. They added that the system of appraisal was “partly” under review. The procedures for an efficient democratic system were being formulated in consultation with staff. Their understanding was that the issue of

agreement on indicators would also be revisited during the review of policy. The following comment emphasises that the NUL performance management policy was under review: “As the new policy is now being put in place, this is the process we have embarked upon.” The NUL management acknowledges the importance of incorporating the views of staff in the review of their performance management policy, since the success of such a policy is dependent upon the full participation of academic staff. The agreement on the indicators of performance is an important component of policy since it involves staff views on the procedure of appraisal (see 5.3.2; 5.4.2).

7.6.5 Participants’ responses on the relationship between performance objectives and standards

Participants from LP, NHTC and NUL were asked whether the objectives of their jobs were related to the standards of performance under question 26 of the questionnaire. Their comments on question 27 are also discussed under this section. Their responses are subsequently discussed, starting with the responses from LP.

7.6.5.1 The views of LP respondents on the relationship between performance objectives and standards

The findings on the question whether job objectives were related to the standards of performance show that 32 participants (66.6%) affirm that objectives were related to standards of performance while 20.8% indicated that they were not related. Six participants (12.5%) did not respond to question 26.

In their comments to question 27, the 32 participants (66.6%) indicated that performance objectives and standards were developed from the strategic plan of the institution therefore they were related. One of the respondents (2.1%) recommended the following change in the appraisal form: “the tasks evaluated are derived from job descriptions which stipulate quality and quantity as standards. However, they do not include time as standards such as time for completing task on a set deadline.” Fifteen participants (31.3%) did not comment.

7.6.5.2 *The views of NHTC respondents on the relationship between performance objectives and standards*

The findings from question 26 on the relationship between objectives and performance standards at NHTC reflect that 10 respondents (58.8%) indicated that they were related; four respondents (23.5%) were unsure; while three respondents (17.6%) indicated that their objectives were not related to performance standards.

Responses to question 27 reflect that four respondents (23.5%) from NHTC indicated that, due to disagreements with their supervisor, they were uncertain about what they were expected to do. Their supervisor required that they should report what they had been employed to do, not what they actually did. The respondents were employed as laboratory technicians but had been assigned to teach. The problem arose when they were to report as laboratory technicians, since, in practice, they did not do this job. Three participants who indicated that their objectives were not related to standards of performance, including 10 respondents whose responses were in the affirmative, did not respond to question 27.

NUL participants' views with regard to the relationship between performance objectives and standards are discussed next.

7.6.5.3 *The views of NUL respondents on the relationship between performance objectives and standards*

The findings on the relationship between objectives and performance standards with regard to question 26 NUL show that 18 respondents (51.4%) indicated that objectives were related to the standards of lecturers' performance. Ten respondents (28.5%) were unsure, while four respondents (11.4%) indicated that objectives and standards were not related. Three respondents (8.6%) did not respond to this question.

Comments on question 27 reflect that eighteen respondents (51.4%) who had indicated that their work objectives were related to their performance standards, indicated that the relationship between objectives and standards

was clear. According to the respondents, lecturers were expected to teach well, publish, and carry out administrative work, including community service. In addition, they indicated that, due to a large number of students whom they supervised, they were not able to achieve the expected performance. According to them performance standards were influenced by factors within their context, for example the availability of resources (see 2.2). There were no comments from 10 participants (28.5%) who were not sure if objectives were related to standards and from four participants who indicated that objectives and standards were not related. Three participants who did not respond to question 26 also made no comment on question 27.

The responses in the following section indicate participants' views on performance objectives.

7.6.6 Participants' views on performance objectives

Participants from LP, NHTC and NUL were requested to respond to question 28 which inquired whether the objectives of their performance were SMART. The discussions include comments from participants on question 29. The responses that follow in the next section reflect the responses of participants from LP.

7.6.6.1 Responses and comments of LP participants on performance objectives

The majority of the respondents agreed that the objectives were SMART, as reflected by 28 participants (58.3%) who said "yes" compared to eight participants (16.7%) who said they were not sure and 12 participants (25%) who said "no".

Comments on question 29 show that the 28 participants (58.3%) whose responses were in the affirmative, indicated that SMART objectives promoted objectivity in the assessment of performance. Participants who indicated that they were not sure (25%) and those whose responses were "no" (16.7%), did not commend.

7.6.6.2 Responses and comments of NHTC participants on performance objectives

The findings on the question whether performance objectives were SMART showed that 12 respondents (70.6%) agreed, while three respondents (17.6%) marked “Not applicable”. Two respondents (11.8%) did not participate in this question.

Comments on question 29 from the 12 respondents (70.6%) who considered their objectives to be SMART, were that it was difficult to assess teaching due to the interplay of factors that affect performance indicators related to it. There was no response from five respondents (29.4%).

7.6.6.3 Responses and comments of NUL participants on performance objectives

The findings on the question whether performance objectives were SMART show that 16 respondents (45.7%) answered in the affirmative, while eight respondents' comments were in the negative (22.9%) and 11 participants (31.4%) whose responses were “not applicable”.

Comments on question 29 show that 16 participants (45.7%) indicated that performance objectives were based on the mission of NUL whose focus was on teaching, research and community service. They added that with proper planning, staff could achieve the set objectives. Eight respondents (22.9%) who indicated that objectives were not SMART commented that their work objectives were neither measurable nor realistic. They expressed that it was difficult to assess whether students received quality teaching. They further indicated that objectives were not realistic, since there were high demands on lecturers to perform, regardless of the conditions under which they operated such as teaching loads. High teaching loads denied lecturers the opportunity for research. In addition, it was also not realistic for NUL as a mainly teaching university to emphasise research and publication as a major requirement for promotion at the expense of teaching. Respondents also considered it unrealistic to expect lecturers to excel in many different areas such as

research, community service and quality teaching. They therefore considered objectives to be unrealistic.

7.6.7 Responses of LP; NHTC and NUL participants on performance indicators

Participants from the above institutions were asked to respond on the indicators of their performance under question 30. The responses that follow are from LP.

7.6.7.1 LP participants' responses with regard to performance indicators

The responses from LP participants reflect that 27 respondents (56.3%) consider their assessment to be mainly based on research output, while two respondents (4.2%) indicated that their performance was based on community service. There were four participants (8.3%) who were uncertain and seven participants (14.6%) did not respond to this question as reflected in the Table 7.1 below.

Table 7.1: LP participants' responses on performance indicators

Performance indicator	Number of respondents	Percentage
Teaching output	27	56.3
Research output	5	10.5
Community service	2	4.2
Personality traits	3	6.3
Uncertain	4	8.3
Missing	7	14.6

Majority of LP respondents indicated that teaching output was their major performance indicator. This implied that respondents focused more on teaching. According to the respondents, the policy on staff assessment was that research output was also essential. Nevertheless, due to large teaching loads and the lack of funding for research, few staff embarked on research.

7.6.7.2 NHTC participants' responses with regard to performance indicators

The responses from NHTC show that community service was considered as an indicator of performance by most of the respondents as reflected in Table 7.2 that follows.

Table 7.2: NHTC participants' responses on performance indicators

Performance indicator	Number of respondents	Percentage
Teaching output	2	11.8
Research output	3	17.6
Community service	4	23.5
Missing	8	47.1

According to the Table 7.2, four respondents (23.5%) indicated that their performance evaluation was based on community service; three participants (17.6%) selected research output, while two (11.8%) chose teaching output as an indicator of their performance. Eight participants (47.1%) did not respond.

Table 7.3: NUL participants' responses on performance indicators

Performance indicator	Number of respondents	Percentage
Teaching output	5	14.3
Research output	19	54.3
Community service	8	22.9
Personality traits	2	5.7
Missing	1	2.9

7.6.7.3 NUL participants' responses with regard to performance indicators

Table 7.3 shows that NUL respondents considered research output as the major indicator of their performance as reflected in the high number of 19 respondents (54.3%) compared to other indicators. One participant (2.9%) did not respond.

At LP and NUL participants selected personality traits as an indicator of their performance but at NHTC they did not. At LP most of the respondents selected teaching output and not research as the indicator of their performance while at NUL most of the participants marked research output as an indicator of performance. It seems that at LP teaching output is considered to be more important than research output. According to literature, research output is considered to be more important than teaching (see 4.4.2). But the findings at LP reflect that teaching is considered as important in the evaluation of academic staff performance.

7.6.8 Participants' responses on performance measures

Respondents were asked to select the type of performance measure used to assess their performance from the following three types of measures under question 31: merit rating, behaviourally anchored scales; and management by objectives. They were also given an opportunity to add other types of measures not included in the list.

7.6.8.1 Responses of LP participants on performance measures

Thirty-three responses (68.8%) indicated that assessment of their performance was based on merit rating while, eight respondents (16.7%) indicated that it was based on MBO. Six respondents (14.6%) did not participate.

7.6.8.2 Responses of NHTC participants on performance measures

The findings reflect that 11 respondents (64.7%) considered evaluation of their performance to be based on merit rating, five respondents (29.4%) on

anchored scales, while one respondents (5.9%) regarded evaluation of their performance to be based on management by objectives (MBO).

7.6.8.3 Responses of NUL participants on performance measures

The findings show that 21 respondents (60.0%) selected merit rating as the type of performance measure used to assess their performance. Six respondents (17.1%) selected anchored scales while eight respondents (22.9%) selected (MBO) as the type of performance measure used to assess their performance. The findings show that NUL respondents consider their evaluation to be based on merit.

The findings from the three institutions indicate that the type of performance measure used to assess performance of the respondents is merit rating. Thirty-three respondents (68.8%) from LP; 11 respondents (64.7%) from NHTC and 21 respondents (60.0%) from NUL showed that merit rating is used in all three institutions to assess performance. The majority of respondents in all the institutions selected MBO as the second most used performance measure.

According to literature, evaluation of staff performance in higher education should consider both the qualitative and the quantitative aspects of lecturers' performance (see 5.5.3.2; 5.5.4). But a combination of methods to collect evidence on lecturers' performance is desirable. The findings show that, while lecturers' performance is based on merit, the other methods like MBO should be adopted to detect if the set objectives have been achieved.

The following discussions focus on continuous performance management.

7.7 CONTINUOUS PERFORMANCE MANAGEMENT

This section covers responses to questions 32-40 in the questionnaire. The information was gathered from LP, NHTC and NUL academic staff on whether performance management was conducted continuously throughout the year. It was also intended to collect information on the effectiveness of performance management in developing skills and competences. The questions were to

find the effect of appraisal in motivating staff to improve performance and on whether supervisors constantly applied performance ratings. In brief, the section was intended to gather information on procedures adopted in the management of performance.

7.7.1 Responses of participants on performance assessment

Participants were asked to indicate who assessed their performance throughout the year under question 32. The responses of participants from LP are provided next.

7.7.1.1 Responses of LP participants on performance assessment

Thirty-eight respondents (79.2%) from LP indicated that supervisors assessed their performance. Six respondents (12.5%) indicated that other groups besides supervisors, clients, colleagues and students assessed lecturers' performance. They indicated that external examiners also assessed lecturers. Four respondents (8.3%) did not participate in this question.

According to literature, assessment by supervisors is considered as biased, since it is derived from a single source. A multi-source approach in the assessment of performance is recommended as discussed in Chapter five (see 5.6; 5.6.1).

7.7.1.2 Responses of NHTC participants on performance assessment

The findings show that 13 respondents (76.5%) indicated that supervisors assessed lecturers' performance. Four participants (23.5%) did not respond.

According to the theoretical views in Chapter five, for a performance management system to be acceptable and sustainable, decisions on lecturers' performance should be based on information gathered from various sources to ensure that qualitative and quantitative aspects of their performance were captured and to promote objectivity (see 5.6; 5.6.1). The methods used should also be suitable for the purpose. This was not the case at NHTC where data on staff performance had been gathered from one source. Information from a variety of sources is intended to reduce bias that

could result if decisions on performance are based on data from a single source. According to this thesis, the purpose of appraisal should be developmental, and hence the methods assessing performance should be formative.

7.7.1.3 Responses of NUL participants on performance assessment

The findings from NUL on who assesses staff performance reflect that 23 respondents (65.7%) indicated that supervisors assessed academic performance. Eleven participants indicated that students, colleagues and supervisors evaluated their performance. One respondent (2.9%) did not participate. These findings that show the supervisor as the only source of performance data correspond with the findings from LP and NHTC. Reliance on data from one source signifies that the performance management system in place is autocratic, since in a democratic system various points of view are considered; hence a need for multiple source data (see 5.6; 5.6.1; 5.6.2; 5.6.3). Democratic procedures in performance management create trust desired for the effectiveness and sustainability of a performance management system (see 5.6).

In the case of LP and NHTC, the change in government policy from an autocratic system to a democratic system seems not to have been effected in practice, if evaluation of performance is still based on single source data. At NUL the findings indicate that respondents were aware that information from supervisors was not sufficient as a basis for decisions on lecturers' performance. Also, the annual assessment of performance defeated the purpose of continuous review, since performance problems could not be identified and solved on time.

Recommendations based on the findings of continuous performance management are that evaluation of performance of lecturers should be based on information from various sources to reduce bias (see 5.6). Sources of information could be students, examiners and lecturers themselves. In addition, the methods of data collection used should be for the purpose of

development to ensure that staff acquired skills necessary to achieve strategic targets of the institution. Methods like MBOs could be suitable.

7.7.2 Response of LP; NHTC and NUL with regard to the concept of performance management

This section covers participants' responses to question 33, which inquired whether the concept of performance management had been understood by academic staff in the three institutions. It will also cover the comments, which participants made under question 34 with regard to their responses to question 33. The responses that follow are from LP participants.

7.7.2.1 LP participants' responses with regard to the concept of performance management

The responses from LP showed that six respondents (12.5%) indicated that academic staff understood the concept of performance management; 11 participants (22.9%) responded in the negative while 12 (25.0%) were uncertain. Nineteen participants (39.6%) did not respond.

The comments from the six respondents were that staff understood the concept since they had attended a three-day workshop that introduced them to the concept. They indicated that the staff completed and submitted appraisal forms timely, which according to them was an indication that they did not encounter problems. Some comments were that, while staff understood the concept it seemed management did not understand it, since they use it as a threat to staff.

The comments from 11 participants (22.9%) were that the concept was not understood though LIPAM had conducted workshops. They added that some staff members regarded performance management as a threat instead of an aid. They also indicated that some issues concerning appraisal still had to be explained since training was inadequate. According to them their colleagues hated appraisal as reflected in this comment: "there are colleagues who hate it for what it is or what it does to them, which brings to me the idea that it was

not well understood or not well introduced.” These respondents indicated that more training was essential to educate academic staff on the concept.

Comments from 12 respondents (25.0%) who were uncertain were that they were uncertain because performance management was a new concept so they did not know if staff understood it.

7.7.2.2 NHTC participants’ responses with regard to the concept of performance management

This section covers NHTC participants’ responses to questions 33 and 34, which inquired whether academic staff understood the appraisal concept. The findings reflect that five respondents (29.4%) indicated that the concept was understood; nine participants (52.9%) showed that it was not clear to staff while three respondents (17.6%) were uncertain.

Information gathered from five respondents (29.4%) who commented that the concept was understood was that the concept was understood but it was not popular, adding that, “the appraisal system had long been mooted but it’s taking long to take off the ground. Staff indicate that there is no feedback after they have been appraised.”

Comments from nine participants (52.9%) who indicated that appraisal was not clear to staff were that “judging by the period taken when preparing work plans and the stress that people experience and the complaints they make when completing appraisal forms, I consider appraisal to be unclear to staff.” These participants indicated that because of the queries that the personnel office made with regard to completed appraisal forms and the late submissions of these forms, they concluded that staff did not understand appraisal.

Three respondents (17.6%) who were uncertain did not comment.

7.7.2.3 NUL participants' responses with regard to the concept of performance management

The information gathered from NUL participants shows that ten respondents (28.8%) indicated that appraisal was understood; 17 participants (48.6%) indicated that it was not understood while eight respondents (22.9%) were uncertain.

Comments on question 34 from ten respondents (28.8%) who indicated that appraisal was understood were that the evaluation system was known as an annual review not as performance management. The seventeen who indicated that it was not understood showed that the terminology - "appraisal" was not used, but indicated that a reasonable number of staff members was not sure how the appraisal system would assist them and how they would be evaluated.

The participants who were uncertain (22.9%) indicated that the system of appraisal was confidential to appraisees, so they were not sure about performance appraisal. They added that, they would prefer the open system of appraisal, which they assumed would be different from the existing annual review.

7.7.3 Responses of LP, NHTC and NUL on the effectiveness of appraisal in skill development

The discussions that follow cover participants' responses to questions 35 and 36. Question 35 required respondents to indicate the effectiveness of performance management in skill development while under question 36, respondents were to comment on their responses to question 35.

7.7.3.1 Responses of LP participants on the effectiveness of appraisal in skill development

Information gathered from LP reflects that six respondents (12.5%) considered appraisal to be highly ineffective in skill development; 11 participants (22.9%) ticked that it was ineffective; eight respondents regarded

it to be effective while 23 respondents ticked “not applicable”. Nobody indicated that it was highly effective.

7.7.3.2 NHTC participants’ responses on the effectiveness of appraisal in skill development

The information gathered from NHTC under question 35 with regard to the effectiveness of the appraisal system in skill development reflected that two (11.7%) respondents indicated that appraisal was highly ineffective; five respondents (29.4%) ticked that it was ineffective; four participants (23.5%) showed that it was effective while six respondents (35.3%) ticked “not applicable”. No respondent indicated that it was highly effective.

Comments from seven respondents who considered appraisal as highly ineffective and ineffective were that it might be ineffective because it was not implemented as planned that is, using agreed work plans and monitoring it quarterly. They added that during its implementation there was need for follow-up, by “visiting staff in establishments to realise problems they encountered at work”. They also indicated that the effects of appraisal might not be recognised since it had recently been introduced.

7.7.3.3 NUL participants’ responses on the effectiveness of appraisal in skill development

The responses of participants from NUL in relation to question 35 reflect that 10 respondents (28.5%) considered appraisal to be highly ineffective in skill development; seven respondents (20.0%) regarded it as ineffective; six respondents (17.1%) ticked that it was highly effective while 12 respondents (34.3%) marked “not applicable”.

Comments from 17 participants who considered appraisal as highly ineffective and ineffective were that it was ineffective to the majority of staff; as a result they ignored it. They added that it could be useful if practised in a manner in which it could directly help improve skills and competences. They also indicated that needs for training could be identified without it.

Comments from six respondents (17.1%) who indicated that it was highly effective were that appraisal identified skill deficiencies, but they stressed that it should also be implemented during recruitment of staff to scrutinise certificates and character. According to these respondents, some employees had cheated at employment. They added that the system could reflect areas in which staff needed development on how to conduct research, how to publish and on how to teach. There were no comments from respondents who considered appraisal as inapplicable in skill development.

7.7.4 Responses of LP, NHTC and NUL on the effectiveness of appraisal in motivation

The discussions that follow focus on the responses and comments of participants to questions 37 and 38 with regards to the effectiveness of appraisal in the motivation of staff. The responses from LP are discussed next.

7.7.4.1 Responses of LP participants on the effectiveness of appraisal in motivation

Information gathered from LP indicates that seven respondents (14.6%) indicated that appraisal was highly ineffective; 10 respondents (20.8%) ticked that it was ineffective; eight participants (47.9%) indicated that it was effective and 23 respondents ticked “not applicable”. Nobody ticked that appraisal was highly effective.

Comments from 17 respondents at LP, who considered appraisal to be highly ineffective and ineffective, showed that appraisal had recently been introduced; there was no feedback from earlier appraisals. These participants indicated that, appraisal seemed to be a threat to some members of staff since they thought that it was intended to terminate their service if they were found to be inefficient in their daily tasks. They also indicated that it did not motivate staff since the expected output was high yet the resources and the rewards were limited. According to these respondents there were many factors that contributed to the de-motivation of staff within the institution, appraisal alone could not motivate staff.

There were no comments from participants who considered appraisal as effective.

7.7.4.2 Responses of NHTC participants on the effectiveness of appraisal in motivation

The responses from NHTC participants on question 37 which inquired whether appraisal had an effect on staff motivation reflect that four respondents (23.5%) indicated that appraisal was highly ineffective in motivating staff to perform; two respondents (11.8%) indicated that it was ineffective; seven participants (41.2%) ticked that it was effective; three participants (17.6%) showed that it was highly effective while one respondent (5.9%) ticked that it was not applicable.

Comments to question 38 from six participants who expressed that appraisal was highly ineffective and ineffective show that members of staff who were ineffective in the past remained so. Another comment was that it was difficult to measure the effectiveness of appraisal since less than 50% of academic staff had been appraised.

Ten participants who considered appraisal to be effective in staff motivation indicated that after performance appraisal was introduced some staff members improved their performance. They added that through the process of appraisal some supervisors learn to appreciate performance of their subordinates.

7.7.4.3 Responses of NUL participants on the effectiveness of appraisal in motivation

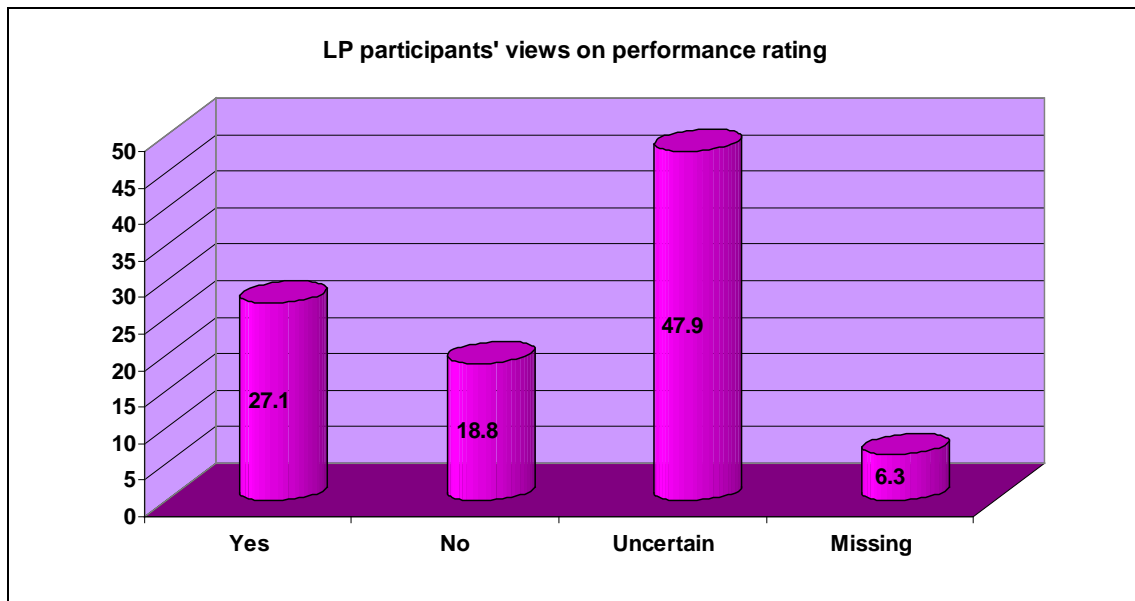
The information gathered from NUL on the effectiveness of appraisal in staff motivation showed that two participants (5.7%) indicated that appraisal was highly ineffective; 12 respondents (34.3%) indicated that it was ineffective; 13 participants (37.1%) indicated that it was effective; eight respondents (22.8%) ticked “not applicable”.

Comments on question 38 from 14 respondents who indicated that it was highly ineffective and ineffective were that appraisal did not motivate staff to acquire higher qualifications to improve their performance. The following comment clarifies this point: “It does not motivate staff. There are many staff members who are holders of Master’s degrees. They have become academically complacent. They do not feel threatened by low qualifications. The present system does not reject members who do not perform effectively”.

Comments from 13 participants (37.1%) who indicated that appraisal was effective were that it motivates staff since most people are motivated by rewards. They added that it motivates lecturers to present papers, to give time to preparation of their teaching, to publish and to carry out community service, since these efforts were recognised through appraisal. The eight respondents who indicated that it was not applicable expressed that the performance appraisal system was not in process.

The information in Graph 7.25 relates to question 39, which required academic staff responses on the consistency of supervisors in rating staff performance. The comments that respondents made relate to question 40.

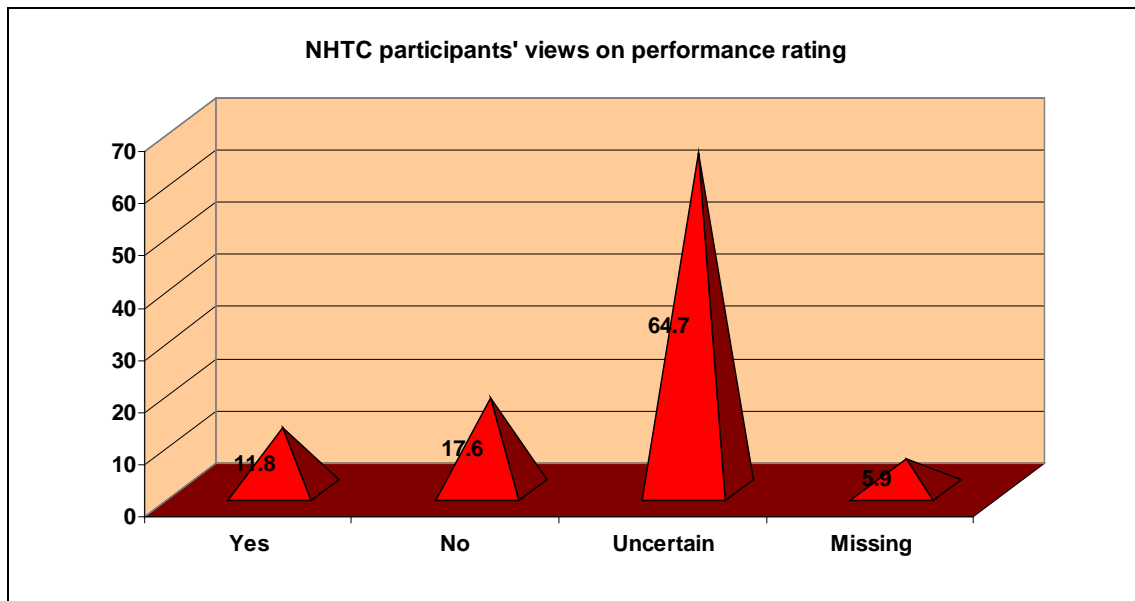
Graph 7.25: LP participants' views on performance rating



Graph 7.25 shows the LP staff responses on question 39 which required responses on the consistency of supervisors in rating staff performance. Thirteen respondents (27.1%) indicated that rating of supervisors was consistent; nine respondents (18.8%) indicated that it was inconsistent; while 23 respondents, who constituted 47.9%, were uncertain. Three participants (6.3%) did not respond.

Comments on question 40 from nine participants (18.8%) indicate that the rating of performance was inconsistent due to favouritism that prevailed. They added that "all staff and supervisors had personal conflicts, so there was no way that rating could be consistent". Comments from two respondents (4.2%) who were uncertain were that the overworked supervisors could be inconsistent in their rating of staff performance. They added that they were not aware of how other members were rated, since appraisal was confidential to the other members of staff, except to the appraiser and the appraisee. Twenty-three respondents (47.9%) did not commend.

Graph 7.26: NHTC participants' views on performance rating



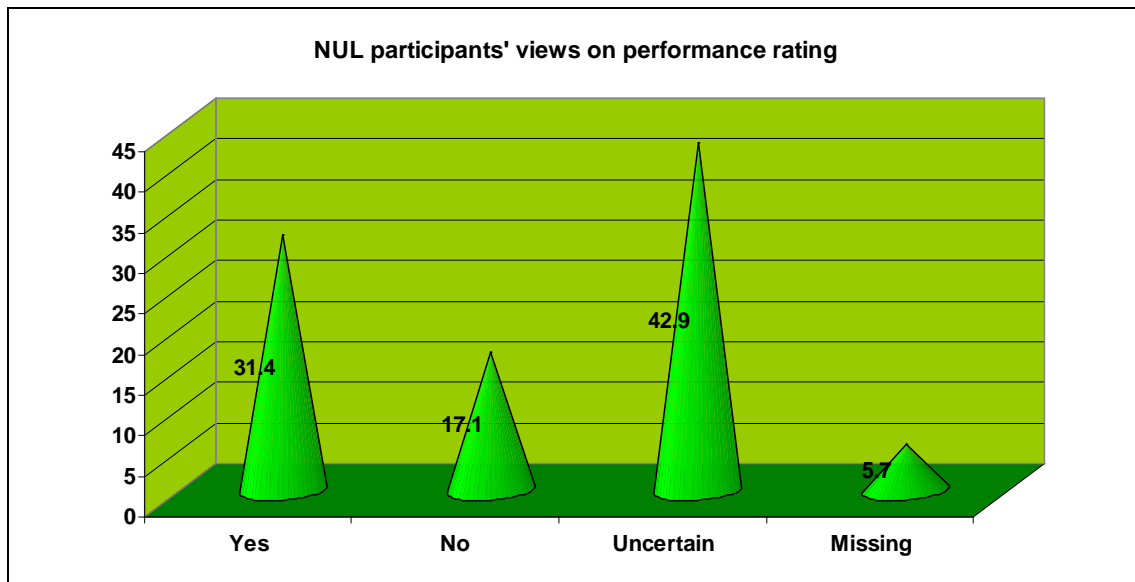
Graph 7.26 provides responses on the consistency of application of performance rating on NHTC staff. The findings reflect that out of 17 respondents, 11 were uncertain (64.7%); three respondents (17.6%) indicated that supervisors were inconsistent; while only two (11.8%) indicated that supervisors were consistent. One participant (5.9%) did not respond.

Comments on question 40 from 11 participants (64.7%) who were uncertain were that staff were appraised individually so they were not certain whether rating was consistent. One added that “normally the supervisor handles the rating of appraisal with concerned individuals, hence it is difficult to judge consistency.” While comments from three participants (17.6%) who indicated that supervisors were inconsistent were that they were not consistent since the supervisor appraised all staff alone. Comments from two participants whose responses were in the affirmative were that “consistency has made it possible for staff to understand the ratings fully so that they know what to aim for.”

The staff from NUL also had to respond to the consistency of supervisors in evaluating staff performance and commended on performance rating.

Graph 7.27 reflects the findings from NUL.

Graph 7.27:NUL participants' views on performance rating



The findings in Graph 7.27 reflects that 11 respondents (31.4%) expressed that supervisors were consistent in assessing staff performance, while six respondents indicated that supervisors were inconsistent (17.1%) and 15 respondents were uncertain (42.9%). Two participants (5.7%) did not respond.

Though the process of appraisal may be confidential to the appraiser and the appraisee, the use of results is known to the rest of staff, especially when it comes to personnel decisions i.e. promotions. It is on the basis of decisions that the respondents considered rating inconsistent, in particular when they compared their performance with the research staff, whose promotion had been accelerated compared to those of their teaching counterparts.

Literature indicates that inconsistency in rating demotivates staff (see 5.5.3.2). The purpose of appraisal is to develop and motivate staff and to equally value their activities in the assessment of performance (see 4.5). Lecturers can no longer accept the rhetoric that teaching is important, yet it is less valued in

ratings. The purpose of rating is to detect deficiencies in staff performance and to identify staff who deserve reward. Rating should also be continuous to assist staff to improve in preparation for the annual performance assessment.

From the findings on consistency in rating it is recommended that appraisers and appraisees in all three institutions should undergo training on how to conduct appraisal and ensure that they reward staff whose performance contributes towards the achievement of institutional targets (see 4.1; 4.5.1; and 5.9.7).

The discussions that follow focus on participants' responses to the formal performance review meetings.

7.8 PREPARATIONS FOR FORMAL PERFORMANCE REVIEW MEETINGS

This section covers responses to questions 41 to 44. The intention was to find out whether the supervisor and subordinates held preliminary meetings before the formal appraisal meeting. The respondents were requested to indicate the documents that were required for the review.

7.8.1 Participants' responses on performance review meetings

Participants from LP, NHTC and NUL were asked to respond to whether they held preliminary meetings in preparation for the formal appraisal meetings. In addition, they were to indicate the documents they had to submit for the review meeting.

7.8.1.1 LP participants responses on the preliminary performance review meetings

The respondents were asked whether they held preliminary meetings with their supervisors. The findings reflect that 40 respondents (83.3%) did not hold preliminary meetings in preparation for the formal review meeting, while six respondents (12.5%) indicated that preliminary meetings were held. Two (4.2%) respondents did not participate in this question.

7.8.1.2 NHTC participants' responses on the preliminary performance review meetings

Responses on whether NHTC participants held preliminary meetings showed that 15 respondents (88.2%) did not hold preliminary meetings, while two respondents (11.8%) indicated that they held preliminary meetings with their supervisors.

7.8.1.3 NUL participants responses on preliminary performance review meetings

The findings on whether NUL respondents held preliminary meetings reflect that 31 respondents (88.6%) indicated that no preliminary meetings were held, while three respondents (8.6%) indicated that they were held. One participant (2.9%) did not respond.

Respondents, who did not hold preliminary meetings, indicated that their Heads of Department did not appraise lecturers. The Academic Staff Appointments Committee was responsible for the appraisal of lecturers. Lecturers had to submit relevant documents to this committee through the Heads of Department.

The interaction between appraiser and appraisee during the formal meeting is considered crucial for them to agree on objectives and to ensure that there is congruency between individual and institutional objectives (see 5.3.2). The preliminary meetings are to ensure that the two parties agree on the agenda for the discussion and the documents that are to be submitted for assessment. The meetings are intended to monitor performance and agree on the future course of action (see Table 4.3; 4.5.3; and 5.9.6). According to literature, preliminary meetings are an important component of the performance appraisal procedure, hence they have to be conducted if the developmental purpose of performance appraisal is to be achieved (see 5.8).

In summary, the majority of the respondents from the three institutions indicated that preliminary review meetings were not held. The findings show that 40 respondents (83.3%) from LP indicated that they were not held, while

six respondents (12.5%) indicated that the meetings were held. Fifteen respondents (88.2%) from NHTC responded in the negative, while two participants (11.8%) responded positively. The findings from NUL also reflect that 31 respondents (88.6%) responded negatively, while three respondents (8.6%) responded positively. One participant (2.9%) from NUL did not respond. From these findings it seems that preliminary performance review meetings were not held in the three institutions studied.

According to literature, preliminary performance review meetings are an important component of a performance management procedure (see 5.4.3). The deduction one can make is that, if a crucial step in the procedure of performance management is overlooked, the appraisal of performance may not be effectively conducted. In addition, the continuous review, intended to detect deficiencies, may not effectively be envisaged if the appraisers and the appraisees do not organise meetings to discuss performance on a continuous basis to check deficiencies and to chart a future course of action.

The recommendation with regard to the preliminary meetings for all three institutions studied is that preliminary performance review meetings should be held as an important component of the procedure for the management of academic staff performance. Above all, they should be incorporated into performance management policy. The policy item on preliminary meetings should indicate the purpose, procedure and the requirements for the meeting.

The findings below reflect responses on rewards and punishments.

7.9 PROVISION OF REWARDS AND PUNISHMENTS

This section, which covers questions 45 to 52 required information on whether, rewards motivated lecturers. It also required information on action taken with regard to underperformance at LP, NHTC and NUL. The discussions that follow focus on the responses of participants to performance-related pay questions.

7.9.1 Participants' responses on performance-related pay

Participants from LP, NHTC and NUL were asked whether performance – related pay motivated staff to perform, in question 45. Their responses are reflected in the discussions that follow, starting with the responses from LP.

7.9.1.1 LP participants' responses on performance-related pay

The findings on question 45 with regard to whether performance-related pay motivated staff at LP reflect that 38 respondents (79.2%) of the respondents would be motivated by performance-related pay. Respondents indicated that everyone wanted to be paid better and that better pay would encourage them to perform effectively. Respondents also indicated that, if performance-related pay was applied, the latter had to have proper guidelines. Ten respondents (20.8%) were not motivated by performance-related pay.

NHTC participants' responses on a similar question are discussed next.

7.9.1.2 NHTC participants' responses on performance-related pay

The findings from NHTC on whether performance-related pay motivated staff reflect that nine respondents (52.9%) indicated that it could motivate staff, while seven respondents (41.2%) indicated that performance-related pay could motivate staff if it was applied. One participant (5.9%) did not respond.

NHTC respondents who indicated that performance-related pay did not motivate staff indicated that many factors affected performance besides merit-pay. Such factors mentioned were facilities and working conditions. According to these responses, merit-pay might be welcome as a performance motivator, but it was not the panacea for performance problems in higher education institutions (see 5.9.7). According to them, it might even create problems, as indicated in the comments that merit-pay was liable to create rivalry among colleagues because of bias in its administration (see 5.6.1). The respondents added that, since appraisals lacked objectivity, merit-pay might not be fairly applied to all staff.

Seven respondents (41.2%) who favoured merit-pay indicated that merit-pay would motivate them to perform. One of the respondents made a comment on its effects regarding performance as follows: “I believe it would give me an incentive.”

7.9.1.3 NUL participants’ responses on performance-related pay

The findings from NUL on whether staff were motivated by performance-related pay reflect that 21 respondents (60.0%) were motivated by performance-related pay, while 10 respondents (28.5%) indicated that it did not motivate them. Four respondents (11.4%) did not participate.

Comments of respondents whose responses were in the affirmative show that merit-pay would be an indication of appreciation of their efforts, so it would be a motivating factor. They added that lecturers taught and published differently; hence they should be paid or rewarded differently. They added that if merit – pay would be applied fairly, staff would work hard, knowing that hard work would pay in the end.

Participants whose responses were in the negative indicated that money was not everything; appreciation of one’s value and contribution to work might pay more than money (see 5.9.7). The above responses indicate that merit-pay might motivate staff, but it must be implemented with caution.

7.9.1.4 A summary of findings on performance-related pay

In summary, the findings on performance-related pay reflect that 38 participants (79.2%) from LP indicated that they would be motivated by performance-related pay, while 10 participants (20.8%) indicated that they would not; nine participants (52.9%) from NHTC indicated that pay could not motivate them to perform, while seven participants (41.2%) indicated that it could. The participants’ responses from NUL show that 21 participants (60.0%) could be motivated by performance-related pay, while 10 respondents (28.5%) indicated that it could not motivate them. Responses from the majority of the respondents at NHTC indicated that pay could not motivate them to perform, given the reasons discussed above (see 7.9.1.2).

The negative responses from NHTC show that merit-pay constitutes a temporary measure in the motivation of staff.

Literature indicates that merit-pay has to be implemented with caution. The reason is that, if performance assessment results are used to rate staff for purposes of pay, the issues related to pay might dominate performance review and the development aspects may be overlooked (see 5.5.3.2). The argument in this thesis is that the role of a performance management system should be to develop scholarship to enable academic staff to achieve strategic objectives of higher learning institutions in Lesotho. If the focus of performance management is to rate staff for pay purposes, it seems the development purpose would be undermined. It is therefore recommended that, in the formulation of the performance management policy, the management of the three institutions should provide clear guidelines regarding the use of appraisal results so that the developmental purpose, for which performance review is intended, should not be undermined.

7.9.2 Participants' responses on action taken regarding underperformance

Participants from LP, NHTC and NUL were asked to respond to whether supervisors had taken action against underperformers. The responses in the section that follows indicate the responses of LP participants with regard to action taken against underperformers.

7.9.2.1 LP participants' responses on action taken regarding underperformance

Responses from LP in relation to question 47 regarding action that should be taken against underperformers showed that 25 respondents (52.0%) were not sure of the action taken, five respondents (10.4%) indicated that they were encouraged to perform, while 14 participants (29.2%) indicated that no action was taken. Those who were unsure, indicated that they were not aware if underperformers were reprimanded.

NHTC participants' responses on underperformers are discussed in the section that follows.

7.9.2.2 NHTC participants' responses on action taken regarding underperformance

Responses from NHTC to question 47 reflect that one respondent (5.8%) indicated that underperformers had not been identified while two respondents (11.8%) were unsure. Three respondents (17.6%) indicated that causes for underperformance had been identified and that meetings were held to discuss alternative work approaches. Eleven respondents (64.7%) did not participate. The findings at NHTC show that underperformers were assisted. The assistance of underperformers conforms to the purpose and procedures recommended for an appraisal system to effect a change in staff performance (see 5.3; 5.3.1).

The responses of NUL participants to a similar question are discussed in the next section.

7.9.2.3 NUL participants' responses on action taken regarding underperformance

Seventeen respondents (48.5%) from NUL made no comment on action taken against underperformers in question 47. Fourteen respondents (40%) indicated types of action taken against underperformers. Action included holding meetings to discuss and solve performance-related problems; the decisions to withhold rewards, that is, promotions or annual increments were not granted. Four respondents indicated that they did not know of any academic staff member who was considered as an underperformer, since they had not seen action taken against them. They also added that there was no indication with regard to whether underperformers were developed.

7.9.2.4 A summary of the findings on underperformance

In summary, the findings on the type of action taken with regard to underperformance reflect that 25 respondents (52.0%) from LP were unsure of the action taken, while 14 participants (29.2%) indicated that no action was

taken. Three participants (17.6%) from NHTC were uncertain, while three participants (17.6%) indicated that underperformers were coached. Responses from NUL (40.0%) indicated that their performance problems were studied and solved and also that, if their performance did not improve, they were not promoted.

According to literature, the success and sustainability of a performance management system depend on, among other things, the guiding policies and principles with regard to the use of performance review results (see 4.5.1; 5.3; 5.3.2; and Table 4.1). The guiding principles on the use of performance review results seem to be either unknown or unclear in all three institutions studied. It is recommended that clear policies and procedures on the purpose and procedures with regard to the use of performance management results should be formulated in the review of the performance management system at LP and NHTC where the system of performance management is being implemented. The same recommendation applies to NUL. This means that, NUL management has to formulate clear policies and procedures with regard to the use of performance results.

7.9.3 Respondents' views on appeal procedures

In this section participants were also requested to respond to questions on the appeal procedures followed in their institutions. That is, besides the question regarding under-performance.

7.9.3.1 Responses of LP staff on appeal procedures

The findings on question 48 with regard to whether there was an appeal procedure for staff members who were not satisfied with the results of appraisal at LP reflect that 28 respondents (58.3%) indicated that no clear procedure existed, while nine respondents (18.8%) indicated that an appeal procedure existed. Those who indicated that the appeal procedure existed, indicated that staff who were dissatisfied with the results of appraisal could refer their complaints to a superior officer. There were no responses from 11 participants (22.9%).

7.9.3.2 Responses of NHTC staff on appeal procedures

The findings on question 48 regarding whether there was an appeal procedure for staff members who were dissatisfied with the performance appraisal results at NHTC, reflect that four participants (23.5%) responses were positive. The same number of [(four respondents (23.5%)] indicated that there was no procedure. There was no response from nine respondents (53.0%). Respondents who indicated that the appeal procedure existed indicated that, in the cases of disagreements, staff members were to appeal to the superior officer.

The discussions that follow focus on the responses of NUL participants with regard to the appeal procedure.

7.9.3.3 Responses of NUL staff on appeal procedures

The findings from NUL reflect that 19 respondents (54.3%) indicated that the university had an appeal procedure for staff who were dissatisfied with appraisal results. Nine respondents (25.7%) indicated that an appeal procedure did not exist. Respondents who indicated that an appeal procedure existed indicated that complaints were submitted to the Academic Staff Appointments Committee through the Head of Department. The Committee resolved complaints.

7.9.3.4 A summary of the findings on the appeal procedure

The findings on the appeal procedure give an indication that at LP, 28 respondents (58.3%) indicated that there was no appeal procedure, while nine respondents (18.8%) indicated that it existed. The findings from NHTC indicate that four participants' (23.5%) responses were positive, while a similar number of respondents indicated that there was no procedure. At NUL 19 participants (54.3%) responded positively, indicating that an appeal procedure existed while nine participants (25.7%) indicated that it did not exist. At NHTC participants whose responses were positive, indicated that in case there was disagreement, the dissatisfied party could appeal to the superior officer. At NUL those who were positive, indicated that the complaints were referred to the Academic Staff Appointments Committee. At NHTC, it

seems doubtful if the respondents knew about the appeal procedure, judging from the number of participants who did not respond [(nine respondents (53.0%)]. It seems that an appeals procedure exists at LP, NHTC and NUL. At LP and NHTC the procedure might not be clearly known to some staff members, however, it also seems that at NUL the appeal procedure was known to most of the respondents.

According to literature, the appraisal system is intended to bring about a positive change in academic staff performance (see 5.4). The appeal procedure in performance management is intended to make staff aware that, in cases of disagreements, assistance will be provided. In the review/development of the performance management policy, the appeal procedure has to be included. The argument of this thesis is that staff should know the appraisal procedure, if it is to bring about a positive change in their performance. But staff were also expected to take the initiative to read the policies and the procedures of the performance management systems existing in their institutions.

A recommendation arising from the findings on the appeal procedure is that, during the review of the performance management system at LP and NHTC, a guide for the appeal procedure should be included. In the case of NUL, a guide on the appeal procedure has to be incorporated in the new policy

7.9.4 Participants' responses on the essentials of an ideal appraisal system

The participants from LP, NHTC and NUL were requested to state the essentials of an ideal performance appraisal system in question 50. The responses from the LP participants are discussed in the section that follows.

7.9.4.1 Responses from LP participants on the essentials of an ideal appraisal system

The participants from LP raised various essentials of an ideal performance appraisal system. Twenty-one (43.8%) respondents proposed that an ideal performance appraisal should assist staff to develop in order to achieve the

objectives of their institution. In addition, the system should be applicable to all including management and it should be a continuous system. Eleven participants (22.9%) indicated that an ideal performance management system should have clear policies and procedures. In addition, the work plans should be clear, including criteria for appraising performance.

7.9.4.2 Responses from NHTC participants on the essentials of an ideal appraisal system

Suggestions on an ideal appraisal system from 11 (64.7%) NHTC respondents concerned the purpose, principles and procedure. Suggestions on the purpose were that it should not be an intimidating process, but should promote good relationship between employer and employee and that it should be intended to identify staff training needs.

The suggestions on the ideal appraisal principles were that it should be a continuous process that applies to all staff regardless of their ranks. With regard to procedure, respondents indicated that the lecturers' job descriptions and work plans should be clear. In addition, the tasks and indicators of performance had to be agreed between management (supervisor) and lecturers. Also, the rewards should be based on incidences.

7.9.4.3 Responses from NUL participants on the essentials of an ideal appraisal system

The respondents from the NUL raised various suggestions as essentials for an ideal appraisal system. Three respondents (8.7%) suggested that both the supervisor/Head of Department and the lecturer should be made aware of performance management and be trained with regard to its procedures. Two respondents (5.7%) indicated that appraisal must be designed to suit proper purposes. The comment further indicated that the purpose should be to assist staff to achieve the goals of the institution. They indicated that there was a need for "communication and interaction, a clear statement of goals and objectives, clear statement of performance expectation, regular interaction to review performance". According to the respondents, the review should not be left for the final stage, but should be continuous. The purpose of appraisal

should be to clarify the expectations of the institution and to assist staff to achieve these expectations.

Besides the suggestions on the ideal purpose of appraisal, NUL respondents made suggestions on the ideal principles and procedures of an appraisal. The suggestions from 15 (42.9%) respondents on ideal principles were that it should be an open, continuous, transparent, participative and developmental (constructive but critical) system, which places emphasis on research and adopts fair labour practices.

Suggestions on the procedure from 17 (48.6%) respondents were that appraisal should involve planning, implementation and review. In planning, staff teaching load should be considered so that they should have an opportunity to conduct research. In the implementation of appraisal, the constraints and achievements of lecturers should be highlighted for remedial action where essential. The feedback on lecturers' continuous performance should be gathered from the lecturers themselves, students, other lecturers in the same discipline as well as from external examiners. Three respondents (8.6%) from NUL indicated that they did not know the essentials of an ideal appraisal system.

7.9.5 Participants' suggestions on the improvement of the appraisal system

Participants from LP, NHTC and NUL were requested to suggest improvements to the existing appraisal system to create an efficient performance appraisal system in question 51. The responses from LP participants are discussed in the next section.

7.9.5.1 LP participants' suggestions on the existing appraisal system

The suggestions for improvement from 15 of the LP respondents (31.3%) were that the purpose of appraisal should be modified so that it caters for the development of staff to enable them to achieve their job and institutional objectives. In addition, respondents indicated that training should be planned for all staff; it should not only be provided when deficiencies in performance

had been identified. Nine respondents suggested that time for staff to conduct research should be provided, since research carries more weight than teaching. According to them, the Wednesday afternoons that were allocated for the conduct of research were not enough. With regard to the continuous monitoring of performance, they suggested that quarterly reporting on performance should be adhered to.

7.9.5.2 NHTC participants' suggestions on the existing appraisal system

Suggestions for the improvement of the existing appraisal system from 13 (76.4%) NHTC respondents focused on training of staff with regard to appraisal; who was to conduct appraisal; and on the procedure for appraisal. Respondents indicated that supervisors should be trained on appraisal and encouraged to be objective. Additional workshops should be held for all staff to understand the system. Staff from the Human Resource Department of the Ministry of Health should visit the College to find out if supervisors in the college understood the system. The respondents expressed that appraisal should be continuous and quarterly as planned. In the last place, measures should be taken against non-compliant or underperforming officers.

7.9.5.3 NUL participants suggestions on the existing appraisal system

The respondents from NUL made suggestions with regard to the purpose and the procedure of the existing system. Ten respondents (28.6%) suggested that the purpose of appraisal should be to offer a support system to improve staff performance on teaching, research and community service. In addition, three respondents (8.6%) suggested that the purpose should be to give more weight (recognition) to teaching. Also, appraisal should not only be an annual process intended to decide on staff promotion. Its purpose should not be to punish staff.

The varying suggestions on the procedure from 17 (48.6%) NUL respondents are discussed below. Respondents suggested that training on appraisal procedures should be offered to all the staff before the revised system is introduced. In the planning for appraisal staff workload should be reviewed, since student marking adds to the load. Also at the planning stage expected

performance has to be clarified. The system must be realistic to consider the environment within which lecturers operate (e.g. changes in government funding policies and the availability of facilities) and which affects lecturers' performance. The assessment of lecturers' performance should be based on information that had been regularly gathered from students, external examiners, peers within the department and from the lecturers themselves. There should be pre-appraisal (face-to-face) meetings between the supervisor/Head of Department and the lecturer concerned. Information should be communicated and open. There should be structures for support such as further training and also additional training to support underperformers. In the last place, good performers should be rewarded to motivate them.

Three (8.6%) respondents from NUL suggested that there should be no change to the existing system. The system should continue to be an annual process.

7.9.6 Participants' recommendations on the leadership for the suggested appraisal system

The participants from LP, NHTC and NUL were also requested to indicate the type of leadership that could promote their suggested improvements on the performance management system in question 52. The responses of participants from LP are discussed in the section that follows.

7.9.6.1 LP participants' recommendations on the leadership for the suggested appraisal system

Twenty-three respondents (47.9%) indicated that their suggested system of appraisal would thrive under a leader who ensured that the necessary resources were available to enable staff to be effective. Their comments were that, without the necessary resources, staff could not achieve their plans and hence the objectives of the institution.

7.9.6.2 NHTC participants' recommendations on the leadership for the suggested appraisal system

Twelve respondents (70.6%) suggested that the desirable leadership for the suggested performance appraisal system should be democratic, dedicated and objective. Two respondents (11.8%) indicated that a democratic leader was not needed in the institution, since it would not enforce hard work. According to those two respondents, the leader should be authoritative at times to ensure that work was accomplished.

7.9.6.3 NUL participants' recommendations on the leadership for the suggested appraisal system

Twenty-one respondents (60.0%) from NUL suggested that leadership for the revised system of performance appraisal should be democratic, participative, open and cooperative and should be genuine in decisions made. It should also be open to criticism. Five respondents (14.3%) suggested that a combination of leadership styles was essential to address different situations. They further suggested that a visionary leadership and a consultative style of leadership was essential. In addition, supportive leadership was considered necessary to provide resources when required. According to one of the respondents, "A university is a different system with intellectuals; you need a democratic, participatory system, then, you can get best results." Three respondents (8.6%) indicated that leadership should not be top-heavy.

7.9.6.4 A summary of recommendations with regard to the leadership for the suggested appraisal system

The findings from the three institutions regarding question 52 show that democratic leadership that allows for staff participation in decisions is required to ensure that the proposed developmental system thrives. The findings from LP indicate that the leader should provide an atmosphere for staff that is conducive to effectively achieve institutional objectives. The findings from NHTC reflect that a combination of styles of leadership is required. According to them, the style of leadership should vary to address different situations that confront a leader. The findings from NUL indicate that the required leader

should be consultative, people-oriented and should be focused on the job and the people.

According to literature, leadership is one of the factors that contribute to the success of a performance management system. The skills and styles of a leader can affect the implementation of the performance management system (see 5.4.3.1; 5.5.1). It must ensure that clear policies, purpose and procedures for the management of appraisal are established, adhered to and that staff understands them (see 3.2). The success of a performance management system lies in the competency of management to implement the system (see 3.2.2).

This thesis advocates a participative leadership, which allows that information for decisions on staff performance should flow from both the appraisees and appraisers. Such leadership could promote the development of scholarship necessary for the achievement of institutional strategic objectives.

The information was also gathered through the individual interviews. The following discussions focus on the responses of the participants during the interviews.

7.10 FINDINGS FROM INDIVIDUAL INTERVIEWS

Interviews were held with members of management and lecturers in the three institutions of higher learning studied, focused on the purpose, policies and procedures of performance appraisal. The interviewees were also asked to comment on the link between teaching, learning and research. In addition, they were to make suggestions for improvement on the existing appraisal system in their institutions.

7.10.1 LP participants' responses on the purpose of appraisal

The findings from interviews held with seven lecturers at LP indicated that the purpose of appraisal was punitive, since the appraisal policy emphasised that staff salaries would not be incremented if planned tasks were not achieved. There was no clear indication on how members of staff would be supported if they had not achieved targets.

The discussions that follow, focus on the responses of participants from NHTC on the purpose of appraisal.

7.10.2 NHTC participants' responses on the purpose of appraisal

The findings from four interviewees at NHTC reflect that the purpose of appraisal is punitive. These findings are similar to those of LP on the purpose of appraisal. Respondents from NHTC also indicated that the emphasis of the system was on the achievement of tasks and not on the development of staff skills. It seems the purpose of appraisal at LP and NHTC was to account to government's demand for efficiency with less focus on scholarship development, which was necessary to enhance the desired efficiency (see 2.2.4.2; 2.2.4.1; 4.3; 4.5).

7.10.3 NUL participants' responses on the purpose of appraisal

According to the interviews held with 14 lecturers at NUL, the purpose of appraisal was to provide management with information necessary for the decisions on staff promotion. It seems that the purpose is not punitive. The purpose of appraisal seems unclear to staff since the staff, are reluctant that students should evaluate their performance.

7.10.4 A summary of findings on the purpose of appraisal

According to the findings from LP and NHTC the purpose of appraisal seems to be punitive in these institutions, since it emphasises the achievement of results without considering the conditions under which staff perform. In addition, the system emphasises that staff will not be rewarded unless they achieve objectives. The policy does not emphasise the development of scholarship. Though the aim of the Lesotho government was to shift from the confidential to an open and participative form of appraisal system, as well as to promote efficiency in higher education institutions (see 1.2), in practice the system focuses mainly on the performance outcomes. Such a system may not achieve the developmental purpose of performance management.

According to literature, the policy of appraisal should clarify the purpose and underlying principles of appraisal. The policy should clarify whether appraisal is for the development of staff or mainly for purposes of accountability. In the cases of LP and NHTC, it seems that the emphasis of appraisal is on accountability to the stakeholders and less on accountability to the profession, since the system does not emphasise scholarship development (see 2.2.4.2; 2.2.4.1).

7.11 FINDINGS ON THE PROCEDURES ADOPTED IN PERFORMANCE MANAGEMENT

The findings from interviews held with seven LP lecturers and four NHTC lecturers show that performance appraisal is not managed as planned. According to plan, evaluation of performance has to be based on agreed work plans and it has to be conducted quarterly. The findings show that not all supervisors conduct the review on a quarterly basis. In addition, not all staff members had been appraised.

The findings from NUL show that the university uses the annual review system to evaluate the performance of academic staff. The evaluation of lecturers is based on output in teaching, research, community service and administrative assignments. The lecturers, who have satisfied promotion requirement, submit supporting documents to the Academic Staff Appointments Committee through their Head of Department. The supporting documents are mainly research publications or published books. The decisions on staff performance are not communicated to staff, except when a promotion has been granted. The findings reflect that management of appraisal is not continuous.

In the following section the findings from the interviews on the link between teaching and research are discussed.

7.11.1 Findings with regard to the nexus between teaching and research

The findings from LP indicate that, in its present status as an autonomous institution, academic staff promotions are based on research publications. Research is considered to have an impact on effective teaching, especially if it is relevant to courses that lecturers teach.

The findings from interviewed lecturers reveal that no emphasis is placed on research output at NHTC, though the lecturers recognise that research in their subjects of specialisation could enrich teaching.

The findings from the interviews held at NUL are that research is considered important, since it provides content for teaching. However, in practice the nexus between teaching and research does not happen due to a number of reasons. The first reason is that staff members undertake research in areas of their interest, but do not apply it when they teach. This happens more for students/lecturers who study overseas, since they select topics suitable to their studies, but whose findings are not applicable to the context in Lesotho. The second reason is that, in undertaking research, staff members might not find topics related to what they studied, as a result, their research becomes “irrelevant” to what they teach.

The findings further reflected that at times it is not possible to strike a balance between teaching and research. This is due to high workloads for staff to cope with research. Due to the increased student enrolments, staff workloads have increased (see 2.2.1). It is also expressed that motivation for research is low. This is because it took a long time for a lecturer’s research to be published. Also in an institution like NUL there are no immediate rewards for publishing. So, the low motivation for research at NUL cause staff to take up consultancy work, and not to have a desire to advance to professorship through research.

7.11.2 Suggestions for improvement on the existing appraisal system

The suggestions for improvement from five out of the eight lecturers interviewed at LP were that the purpose of appraisal should be reviewed, since it is primarily in nature punitive. In addition, the system must stipulate

how staff will be supported to achieve planned tasks. Written guidelines on how to implement the system of appraisal, as points of reference, should also be provided.

Four lecturers interviewed at NHTC suggested that the purpose of appraisal should be to empower staff. They suggested that additional training on the purpose and procedure of appraisal be provided to supervisors and all staff. They also suggested that the Human Resource Department of the Ministry of Health should follow up on the implementation of appraisal to establish if appraisal is conducted according to plan.

Seven staff interviewed at NUL suggested that the evaluation of performance should not only focus on promotion but should be an open, communicated and continuous procedure intended to develop staff competences. According to one lecturer: "Appraisal could enhance quality of staff performance if it focused on developing staff and if it is intended to rectify staff work problems." They also suggested that evidence on the performance of lecturers should be gathered from various sources (students, peers, external examiners and lecturers themselves).

Three Executive Deans interviewed suggested that the university had to solicit funding for research in order to motivate staff to engage in it. In addition, the Deans suggested that the university had to engage teaching assistants to reduce the lecturers' teaching load. Lecturers could have more time to conduct research. They expressed that the university did not have postgraduate students to use as teaching assistants.

Two lecturers interviewed in the Faculty of Science suggested that research output in various faculties should be weighted differently in the evaluation of staff performance due to the amount of time and effort needed for research in science compared to other faculties.

7.12 FINDINGS FROM FOCUS GROUP DISCUSSIONS

The focus group discussions held with six lecturers from the Institute of Distance and Continuing Studies were intended to determine the views of staff on the purpose of appraisal and criteria used to appraise performance. In addition the discussions were to find how the link between teaching and research could be enhanced. Members were asked whether appraisal improves performance of staff. In the last place, the members of the group were to suggest improvements for the existing performance management system.

7.12.1 Views from focus groups with regard to the link between teaching and research

The findings show that the evaluation of performance of lecturers at NUL is based on teaching, research, community service and scholarship (which was explained as the value that lecturers added to their profession). The members indicated that teaching was not as highly valued as research. The discussions reflected that the existing performance management (Annual Review) system was inadequate, since it focused on annual output and neglected staff performance throughout the year. They considered an ongoing performance assessment necessary to highlight problems and take corrective action on mistakes (see 5.9.3). According to the group assessment, performance was not formative; it based decisions for promotion on end results.

The findings on the relationship between teaching and research were that members thought a link existed. They indicated that a link also existed between consultancy work and teaching. They provided an example of a consultancy on the development of materials for small businesses in Lesotho. According to them, the reports on financial records were used as examples in the teaching of Financial Management. Through the study of the cases on small businesses, students became acquainted with the requirements of the real business world.

7.12.2 Views from focus group discussions on the importance of appraisal

The focus group members were asked to discuss the ways in which the performance appraisal system could improve quality in their institution.

The findings on the importance of appraisal on the improvement of staff performance were that appraisal was important for various reasons. According to them, it sensitises staff to tasks, because evaluation is based on tasks that staff members have to perform. They also indicated that it encourages innovativeness in teaching if staff taught new knowledge acquired from research.

7.12.3 Suggestions from the focus groups on the existing system of appraisal

The members of the focus group suggested changes to the existing system. Members of staff from LP expressed that the appraisal policies did not clearly indicate the process through which action would be taken to support staff. They proposed that it should be open; points given for teaching to attach value to it should be increased; and that there should be mutual consultation between the management of the university and the lecturers. They also indicated that a developmental appraisal system that promotes scholarship development could thrive under participative management.

7.13 CONCLUSION

This chapter focused on the presentation, analysis and the interpretation of the research data on performance management system, collected through quantitative and qualitative methods. The data was gathered from three institutions of higher education in Lesotho. These three institutions are LP, NHTC and NUL. The collected data covered personal and professional details of the respondents; the purpose, policies and procedures used in the implementation of the appraisal system in these institutions. The information included the views of participants on the nexus between teaching and research. Lastly, the chapter covered participants' perceptions on the type of leadership essential to promote a performance management system, whose

aim is to develop scholarship to ensure that higher education institutions address economic, social, political and international demands.

The next chapter focuses on summaries, discussion and recommendations on performance management.

CHAPTER 8

SUMMARIES, DISCUSSIONS AND RECOMMENDATIONS

8.1 INTRODUCTION

This thesis investigated the efficiency of performance management systems in institutions of higher learning in Lesotho. The investigation was conducted in the following institutions: Lerotholi Polytechnic (LP), National Health Training College (NHTC) and the National University of Lesotho (NUL). The purpose of this chapter is to provide a summary of the main points discussed in the thesis. It covers the aims of the study, the summary of the review of the literature from chapters two to five, the research design and methodology discussed in chapter six including the discussions on the research findings and the recommendations.

8.2 AIMS OF THE STUDY

The study aimed to elicit the following:

- The purpose and underlying principles of performance management system used in institutions of higher learning in Lesotho (see 5.3.3; 5.4; 7.5).
- The policies and procedures adopted in the implementation of performance appraisal system (see 7.5; 7.7; 7.9.3.4).
- The relation between scholarship and performance management (see 4.4; 4.5.2; 4.5.3; 7.11.1; 7.12.1; 7.12.3 and Table 4.3).
- Suggestions for the improvement of the existing appraisal systems (see 7.9.4; 7.9.5; 7.9.6; 8.6.1; 8.6.2; 8.6.3).

In order to find information on the issues mentioned above, the following questions were addressed:

- What is the purpose and underlying principles of appraisal systems in Lesotho higher learning institutions? (See 2.2; 3.2.2; 4.5.3; 5.4; 7.5).
- What are the policies, plans and procedures in the implementation of appraisal? (See 2.2; 3.2.1; 4.5.1; 4.5.2; 7.5; 7.7).

- Does scholarship relate to performance management? (See 4.4; 7.5; 7.10.11; 7.12.1).
- What recommendations can be made to the existing appraisal system used in higher education institutions of Lesotho to make the system a suitable mechanism for institutional efficiency? (See 7.9.4.1; 7.9.4.2; 7.9.4.3; 7.9.5.1; 7.9.5.2; 7.9.5.3).

In order to respond to the questions raised above, the researcher studied literature on performance management. In addition, a field study was undertaken to gather views about the performance management system. Below is a summary of international views on performance management from the consulted literature.

8.3 PERFORMANCE MANAGEMENT INTERNATIONALLY

The international views on performance management centre around the origin, purpose, principles, policies and procedures on performance management (see 3.2). The international discussions also focused on the influence of performance management on the link between teaching, learning and research (see 4.4).

8.3.1 International views on the origin, purpose and policies of performance management

Internationally the relevance of performance management system as a control measure for the performance of academic staff is highly debated. The introduction of performance management implies a change from the collegial to the managerial approach of managing academic staff performance. The managerial approach, imported from the business world is considered inappropriate in education, which has a different culture (see 2.2; 3.2.2). However, the changing context of higher education demands that it should adopt the principles used in business (see 2.2). The implication is that the business principles are to be adapted with sensitivity to the academic environment to ensure that the missions of higher education are achieved.

The performance management systems are not only criticised for its origin in industry, but it is also criticised for its purpose.

The purpose for which performance management is introduced seems to contribute to its success. Performance management could serve two purposes of development and judgement of staff performance. On the one hand, performance management systems, which emphasise judgement of staff performance, tend to be autocratic and place emphasis on external demands for accountability and quantifiable outcomes of performance (see 2.2.4). A performance management system that emphasises accountability is characterised by punishments and places less emphasis on staff support. Such a system may not motivate staff to be efficient; since it is threatening and does not aim to develop staff. On the other hand, a performance management system whose purpose is to develop scholarship may result in efficient performance of staff hence efficiency in higher education institutions. The success of a performance management system, which emphasises scholarship development (see 4.5.2), lies in its inclusion of the development of staff competences in institutional strategic plans (see 3.3; 3.4). It also ensures that staff are involved in performance management plans and procedures.

Performance management is considered essential for higher education since it provides staff with an opportunity to participate in planning decisions on matters that affect their performance. Participation leads to empowerment (see 5.2). There is an understanding that empowered, quality staff bring about efficiency (see 2.3). The assumption is that involvement and development of staff will result in efficient performance of higher education institutions.

It is imperative for management of higher education institutions to strike a balance between the judgemental and developmental purposes of performance appraisal system. Formal performance management was initially introduced with the aim to develop staff potential and improve staff performance (see 3.2.2). But bureaucratic and autocratic approaches to staff performance management did not result in desired improvement in staff performance; hence a shift in emphasis to a democratic approach is

considered necessary to improve efficiency of both the individual and the organization (see 4.5.1; 5.2). Though emphasis on performance management has shifted from judgement to development of staff, it is recommended that the two purposes should co-exist (see 5.2). The reason is that appraisal information is necessarily not only for formative but also for the summative personnel decisions.

The decisions on reward and punishment have to be based on clear policies. The formulation of clear policies is considered as the first step in the decisions on the formulation of a performance management framework (see 5.4.3). The policy and policy guidelines provide understanding on the purpose of appraisal as perceived by management. It is a basis from which performance management purposes and procedures are developed.

8.3.2 International views on the implementation of performance management

The implementation procedures focus on what is to be appraised, the criteria for appraisal and what to do with appraisal results. An appraisal system is intended to provide harmony between individual work objectives and institutional strategic objectives. Agreement between appraiser and appraisee on tasks to be appraised is an essential procedure since agreed tasks become a standard upon which decisions on performance are based (see 4.3; 4.5.2). They become the means of scholarship validation (see Table 4.1). In the case of higher education, evaluation of lecturers' performance should be based on the four forms of scholarship. This implies that the individual objectives have to relate to institutional strategic plans. The integration of performance management into individual and institutional plans indicates that performance management is considered an integral component of institutional strategic plans (see 3.3; 4.5.2). Nevertheless, the factors under which lecturers operate, like high teaching loads, lack of funding and the limited time make it impossible for the assessment of their performance to be based on all forms of scholarship (see 4.5.1).

In the formulation of the performance management system, it is important to know what the staff will be appraised on. Besides the content of appraisal, the criteria for performance management must be clear. There seems to be less agreement on common criteria for an evaluation of all forms of scholarship, though all forms are to be equally valued (see 4.5). The argument is that all forms of scholarship should be assessed by the standards that acknowledge what they share as scholarly acts. It is proposed that a decision on whether an activity is scholarly should be based on clear goals, adequate preparation, appropriate methods, significant results, effective presentation and reflective critique (see 4.5; 5.4.3.1). The concern is that only the scholarship of research qualifies under these criteria in the process of performance management, while other activities like teaching do not qualify. Not only should criteria for the evaluation of performance be clear, but also the methods used in the evaluation of performance.

The methods used in the evaluation of staff performance are also important to consider in the decisions on the performance management system. There is concern that the methods used in performance management can have an impact on the success of a performance management system (see 5.5.3). Appraisees doubt the validity and reliability of methods used to judge their performance while appraisers also do not trust data gathered through methods like self-evaluation. The dissatisfaction arises from the use of quantitative versus qualitative data. The former is criticised for its use of numbers, which do not reflect subtle aspects of lecturers' performance, while the latter – (a narrative account of events), is considered to be prone to subjectivity (see 5.5.3; 5.5.4). The decisions on rewards and punishments based on data collected through invalid and unreliable methods cannot be relied upon, and are considered to be bias. Since quantitative and qualitative methods have weaknesses, it is suggested that a combination of methods could counteract the weaknesses inherent in each method.

8.3.3 International perspectives on performance management and teaching, learning and research

Despite its benefits to the individual and the organization, performance management remains unpopular among academic staff. Scholarship development is considered as a factor that can change staff's negative perceptions towards performance management (see 4.5). The unpopularity is caused by high value attached to research output compared to other forms of scholarship; particularly teaching (see 4.4.2). Research is regarded as valuable since it enriches teaching content. However, views on the link between teaching and research vary. Some views consider that there is no link while others express that a link exists (see 4.4). Those who express that a link between teaching and research does not exist indicate that research undertaken in most cases is irrelevant to the courses taught (see 7.11.1). Research is mainly conducted for promotional purposes.

These proponents of a link between teaching and research express that research should be used to improve teaching and course content in order to ensure that it keeps the course in touch with the real world. The debates show that there is need to further investigate the link between teaching and research since there is no agreement on their link (see 4.4). The link is considered to be important for skill transfer. Therefore, lecturers are expected to undertake research in their areas of specialisation and their findings are to enrich subject content. Research on the process of teaching is also intended to inform and improve the practices of teaching.

8.4 THE VIEWS ON PERFORMANCE MANAGEMENT

The views on performance management are based on field research conducted at Lerotholi Polytechnic (LP), National Health Training College (NHTC) and National University of Lesotho (NUL). The views of respondents were on the purpose and principles, the policies and procedures performance management including views on the relation between scholarship and performance management. The participants also responded on the implementation procedures of performance management.

8.4.1 The views on the purpose of performance management

The summary of findings on the purpose of appraisal includes findings from LP, NHTC and NUL. The purpose of performance management as reflected from the findings of the three institutions seems to be judgemental.

8.4.1.1 Findings on the purpose and principles of performance management of LP and NHTC

The respondents from LP and NHTC asserted that the performance appraisal system had been instituted to ensure efficiency hence, accountability to the stakeholders and to assist personnel processes. The current emphasis in performance management is to highlight weaknesses in staff performance. According to the respondents from all three institutions, performance management is a threat instead of assistance to their performance. The purpose is to judge performance and to ensure accountability (see 2.2.4). The development aspect of performance management is not emphasised (see 7.4). It seems that the underlying principle is that staff should satisfy external demands for efficiency and effectiveness despite the conditions under which they operate.

8.4.1.2 Recommendations for LP and NHTC on the purpose of performance management

According to the consulted literature, a performance management system whose purpose is to develop staff scholarship is related to the mission and goals of higher education institutions (see 4.5.2). Hence it can effect a positive change in staff performance. Improved staff efficiency could result in improving the overall efficiency of the higher education institutions. Therefore, through a developmental performance management system, whose purpose is to develop scholarship, the higher education institutions strategic plans of teaching, research and community service could be achieved (see 4.5.3; 7.5.1). It is also noted that what is in plans may not be effected in practice (see 5.3.2). It is therefore recommended that LP and NHTC management should incorporate scholarships development in the implementation of their performance management systems. The emphasis should not only be in the policies but should also be reflected in practice.

8.4.1.3 A summary of findings from NUL on the purpose of performance management

The respondents from NUL seem to consider the purpose of appraisal as punitive and judgemental. According to the 12 NUL respondents (34.3%) the appraisal policy emphasised action that would be taken if staff did not meet expectations of the institution. According to NUL policy, staff who, did not publish in refereed journals cannot be promoted (see 7.5.3.3). The annually administered, point system used to evaluate NUL academic staff seems to be imposed by management (Hughes *et al.* 1997: 2 of 12). The respondents do not support the existing system since the managerial approach adopted by their management overrides the traditional collegial approach, which promotes academic independence. Nevertheless, respondents indicated that, while both the managerial and traditional approaches must be accommodated and respected, emphasis must be on the developmental approaches (Hughes *et al.* 1997: 2 of 12). Therefore, they do not regard evaluation by management necessary but as an interference of their academic autonomy (see 2.2.4.1).

According to NUL respondents, the annually administered point system used to evaluate staff performance is inclined more towards the judgement of performance rather than to staff support (see 7.5.2.3). According to respondents the performance management system is summative and values quantifiable output. Lecturer performance according to the respondents should not only be quantified but should include qualitative aspects of performance assessment. If a performance management system is judgemental, it may not gain staff support. The sustainability of the performance management system depends on staff support.

8.4.1.4 Recommendations for NUL on the purpose of performance management

It is recommended that, as the NUL management introduces a performance management system, it should emphasise staff support as the overarching purpose of performance management. This assumption is derived from the literature, which states that for performance management system to be

effective, its purpose should emphasise staff support and development (see 4.5.3).

8.4.2 Discussions and summary of findings on the performance management policy

The discussions in this section focus on the summaries of findings from LP, NHTC, and NUL with regard to policies guiding performance management.

8.4.2.1 *A summary of findings from LP and NHTC on the performance management policy*

According to the policy documents from LP and NHTC performance management is intended to continuously monitor staff performance to ensure that funds allocated to these institutions are efficiently and effectively spent (see 2.2.4.2). The Lesotho government considers staff performance as one of the major contributors to efficiency in performance of higher education institutions, hence the use of management by objectives (MBO) to assess if staff achieve the objectives of their institutions (see 5.5.4).

The findings from the respondents of both LP and NHTC support documentary evidence that the policy on performance management is to ensure staff accountability to the needs of the stakeholders. The respondents from both institutions expressed that their performance was to be assessed on how well they achieved the objectives of their institutions (see 5.3.2). However, 18 respondents (56.3%) from LP and nine respondents (60.0%) from NHTC disagree with their supervisors on performance objectives (see 7.6.3.1; and 7.6.3.2). Therefore, if supervisors and subordinates disagree on performance objectives, performance of staff may be difficult to assess, since the yardsticks for performance would be unknown. Also, if there is no agreement on performance objectives, the objectives of the institution may not be achieved.

The policies also have to indicate the frequency of performance appraisal (see 5.3.2; 7.5). The frequent appraisal of performance ensures that staff adjust and link their work objectives to the mission and strategic goals of their institution.

The findings on the frequency of appraisal indicate that 27 respondents (58.7%) from LP and 11 respondents (64.7%) from NHTC showed that their institutions' performance management policy stipulated that staff performance appraisal should be reviewed quarterly. However, they expressed that the performance was not reviewed on a quarterly basis, as planned (see 7.5.2.1). According to literature, for the performance management system to be effective, the staff performance review has to be frequent (see 5.9.3). It seems that the stipulated policy requirement of quarterly review is not adhered to at LP and NHTC. If the assessment of staff performance is not frequent, the system of performance appraisal may not effectively highlight performance deficiencies.

8.4.2.2 Recommendations for LP and NHTC on the performance management policy

The recommendations for LP and NHTC policy are that supervisors and subordinates should discuss and agree on performance objectives. Also, the assessment of performance should be conducted quarterly as stipulated in the policy.

8.4.2.3 A summary of findings from NUL on performance management policy

According to the findings from NUL on policy, it seems that NUL policy on performance management indicates that academic staff should be appraised annually. The findings from interviews also show that the Staff Appointments Committee conducts performance appraisal annually. The Committee assesses the staff's performance from documents that the staff submitted through the Head of the Department. The problem with the annual review is that it does not focus on the lecturers' continuous performance. A regular

review is considered essential to reflect on weaknesses, which should be corrected and strengths to build on.

NUL policy also stipulates that the appraisal of performance should be based on the activities of research, teaching including community service. Each of the academic activities is allocated points, with more points allocated to the research output. The reason for allocating more points to research as revealed from the interviews held at NUL including views from the focus group was that research is considered important since it enriches teaching content and improves the teaching practice (see 7.10.3; 7.11.1). It seems staff are dissatisfied with the status quo that research is valued much more, having a higher status and value compared to other academic activities.

8.4.2.4 Recommendations on the performance management policy for NUL

It is recommended that the review of academic staff performance should be conducted on a continuous basis and that all academic activities should be equally valued.

The discussions that follow are a summary of views from LP, NHTC and NUL on the implementation procedures of performance management.

8.4.3 A summary of views on the implementation procedures of performance management

Respondents from the above named institutions studied were unanimous that assessment of performance be based on teaching, research and community service. The reason advanced was that the efficiency of higher education was evaluated on the basis of achievement in these three activities. The respondents indicated that the performance of academic staff had to be linked to these three activities.

The response of LP and NHTC participants with regard to the procedure followed in the assessment of performance was that staff were not appraised quarterly as indicated in the appraisal policy. This is an indication that the

monitoring process was inefficient. Monitoring forms an integral part of a performance management system that focuses on development of scholarship. It highlights strengths for reward and weaknesses that need development. Without continuous monitoring of performance, weaknesses may not be recognised and corrected in time; hence the desired institutional efficiency and effectiveness may not be achieved.

With regards to the procedure of appraisal, fourteen respondents (40.0%) from NUL considered the criteria for the assessment of performance unrealistic particularly when the conditions under which they performed are considered. They expressed that due to the large numbers of supervised students including the large classes that they taught, they are unable to achieve the required research output for promotion. The NUL respondents were dissatisfied with the fact that research was allocated more units than teaching, yet they had to focus on teaching. Due to their focus on teaching, the staff had less time for research. The implication of this finding is that in planning a performance management system there is need to ensure that the assessment of performance considers the conditions and the context in which lecturers perform.

Besides the dissatisfaction with the high value attached to research compared to teaching, NUL respondents were also concerned about the limited funds allocated for research. According to them funds for research were not enough to cater for all lecturers to undertake research. The implication is that in order for staff to increase research output, management has to ensure that there is a corresponding increase in funds allocated for research.

Another concern by NUL respondents with regard to the appraisal procedure was that the procedure was confidential. According to them appraisees were seldom given feedback on their performance, particularly if the results were negative. If the appraisal procedure is confidential, it raises feelings of insecurity among staff. It therefore cannot be an effective motivator of staff performance.

8.5 THE VIEWS ON SCHOLARSHIP AND PERFORMANCE MANAGEMENT

Findings from the individual interviews and the focus group discussions indicate that management in the three institutions consider teaching and research as essential and interrelated (see 7.8.3). However, greater importance is attached to research (see 8.4.2.3). The emphasis of management on research as a criterion for promotion indicates the greater value it attached to research compared to teaching. These local findings support international views on the value that management attaches to research (see 4.4.2). The conclusion derived from both international and local findings is that excellence in academic staff performance is reflected mainly through research output. But in extending criteria for scholarship to all academic tasks, the negative attitudes of academics towards performance management could not be changed (Boyer 1990b: 11; see 4.4; 4.5.1; Table 4.1). If academics realise that all their contributions towards the achievement of institutional strategic goals are equally assessed and valued, their perceptions of appraisal as a punitive system might change (see 7.9.0). Therefore, according to the findings, the reward system has to consider teaching worthy of an equal reward to research (see 7.8.3).

8.6 POLICY RECOMMENDATIONS

The following recommendations are based on the findings on policy from LP, NHTC and NUL. The recommendations on policy and purpose of appraisal are next discussed. The respondents expressed that a clear policy on performance management did not exist. They therefore recommended that guidelines be prepared to explain the policy, purpose, process and criteria for performance management.

8.6.1 Recommendations on policy and purpose of performance appraisal

The recommendation on the policy and the purpose of appraisal at LP, NHTC and NUL are discussed in the paragraph that follows.

8.6.1.1 Recommendations on policy and purpose for LP, NHTC and NUL

The recommendations with regard to policy and purpose of appraisal for LP, NHTC and NUL were based on the responses of participants in the research.

- Staff is aware of the two essential roles of performance management (judgment and development), but favour appraisal that places emphasis on development, since it empowers them with skills and competencies to achieve institutional activities. Therefore, an appraisal policy has to emphasise staff development, not only in the plans but also during its implementation (see 7.6; 7.8).
- The performance appraisal policy should indicate what is to be evaluated, the criteria and the methods to be used in the assessment of performance (see 7.5).
- Performance appraisal system should be open, continuous, participative and developmental. It should emphasise research and adopt labour practices (see 7.7).

8.6.2 Recommendations on procedure of performance appraisal

The following recommendations are made on the basis of findings with regard to the procedure of performance appraisal.

- Policies, procedure and measures used for collecting evidence on performance should clearly be stipulated (see 5.3; 5.4; 7.6.7).
- Job descriptions should be reviewed and aligned with the institutional mission and goals (see 7.5).
- Subordinates should set standards and indicators of performance with their supervisors. Agreed goals will ease the process of appraisal and the final rating (see 7.6).
- The appraiser and appraisee should hold preliminary meetings before the formal appraisal meeting to agree on documents that should be available during the meeting and set dates for the meeting (see 5.8; 7.8).
- Provide prompt feedback and written communication on the results of appraisal (see 5.9.2; 7.9.2; 7.9.2.4).

- Performance-related pay should be implemented due to its motivational effects on staff performance. However, other forms of motivation like praise and acknowledgement for good performance are also important (see 7.9.1).
- Appraisers/supervisors are to be consistent in their ratings to motivate staff, as one of the purposes of appraisal is to motivate staff to perform (see 7.7.1).
- Grievance procedure should be written and communicated to all staff (see 7.9.3).

8.6.3 Recommendations on scholarship development to enhance performance management of academic staff

This section discusses recommendations on scholarship development from LP, NHTC and NUL. The recommendations relate to the value attached to each form of scholarship including the relation between teaching and research.

8.6.3.1 *The recommendations for LP on scholarship development*

According to policy all forms of scholarship are considered to be of equal value. However, in practice research and teaching seem to be highly valued compared to community service. It is therefore recommended that all forms of scholarship should be equally valued to enable staff to focus development in the scholarship of their choice (see 7.11.1).

The recommendation for LP with regard to the relation between teaching and research is that since research relates the subject content to the reality in the world and enriches it, resources such as time and funds should be allocated to it. This means that the load of teaching for staff engaged in research should be reduced.

8.6.3.2 *The recommendations on scholarship development for NUL*

According to the findings from NUL not all forms of scholarship are of equal value. Research is highly regarded despite the lack of funds and large teaching loads that make it difficult to conduct it (see 7.6.5.3; 7.11.2). It is therefore recommended that all forms of scholarship should be assessed equally and that more funds should be allocated to research (see 7.7.1.3).

The recommendation with regard to the relation between teaching and research is that lecturers should conduct research that relates to the subjects they teach (7.11.1). This procedure will ensure that their research relates to the subject content. In addition the lecturers are encouraged to reflect on their teaching in order to improve on their methodology. The assumption is that with the improved subject content and methodology students can acquire skills and knowledge that enable them to transform their communities.

8.6.4 Recommendations for future research in performance management

It is recommended that future research on performance management in the three institutions studied should focus on:

- Leadership and the management of staff performance in institutions of higher learning. The research would focus on the style of leadership in an institution and how it influences the implementation of performance appraisal. Literature indicates that leadership provides vision and builds staff confidence to enable them to achieved targets (see 5.5.1). Leaders decide on appraisal policy, purpose and implementation procedures. The study on the influence of leadership style on performance management could highlight styles of leadership that have negative influence on performance appraisal system.

The recommendations that follow relate to the interaction between appraiser and appraisee.

- **Appraiser-appraisee interaction:** It is also recommended that research on the relationship between the appraiser and the appraisee

should be conducted. According to the findings from LP and NHTC the relationship between the appraiser and appraisee seemed to contribute negatively towards the formulation of future plans. From LP, 31 respondents (67.4%), while eleven respondents (68.8%) from NHTC expressed that the appraiser-appraisee relations were one of the reasons for not formulating future plans (see 7.6.1).

Research on the interactions between appraiser and appraisee would reveal if the inter-personal relations contributed to the formulation of plans for the future as discussed in Chapter 5 (see 5.8). The research on inter-personal relations will reveal if the interaction was a problem and recommend improvement.

Interaction is associated with staff participation, which is regarded as a justified procedure in performance management (Fletcher 2001: 4; see 5.7.3). If the supervisor and supervisee have differing views on the strategies necessary to achieve the goals of their institutions, they may also not agree on future plans. The study on inter-personal relations would reflect whether or not the theory of staff involvement is put to practice in the implementation of performance management (Bratton & Gold 1999: 214) (see 3.2.2.2).

- **Contextual performance appraisal/management in higher learning-implications on performance appraisal schemes:**

The research in this topic could focus on different non-job-specific behaviours (dedication, cooperation, enthusiasm and persistence) in different jobs. The justification for this research is that the emphasis of this thesis is on individual intelligence, skill and experience that contribute to efficient performance (Fletcher 2001:3). Research on how the context influences staff performance is essential, since the context can influence staff contribution to the achievement of goals in an institution.

- **A research on the process of performance management and its implications on staff performance** (see 5.5; 5.9; 7.9.3). The appraisal processes determine the success of the performance management system, hence it is crucial that they should be incorporated in the appraisal policy and understood by implementers.
- **The contributions of leadership to the performance management system** (see 5.5.1; 7.9.5). Leadership provides the guiding policies for a performance management system. If a performance management system is supported by leadership, which perceives its importance as a lever of change in staff performance, it might be sustained within the organization.

8.7 LIMITATIONS OF THE STUDY

The researcher encountered problems in the collection of theoretical data and in the field research. With regard to theoretical data, the researcher was not able to find research on the performance management of the institutions studied. With regard to the field research, it was not possible to recruit lecturers at NUL for the focus group discussion. The student strike during the first week of September 2003 had disrupted lecturers' coverage of content. Lecturers were therefore too busy to find time for focus group discussions.

The use of focus group discussions posed some problems in the collection of data on staff perceptions regarding the system of appraisal in use in the institutions. The problem encountered was that only two focus group discussions were conducted, one at LP and the other at the IDCS. The researcher had the minimum required number of participants in the focus group discussions since the staff, particularly at IDCS-NUL were engaged in various activities that ranged from lecturing, to fieldwork. So it was difficult to have the required number of willing lecturers to participate in the discussions.

The focus groups were intended to assist the researcher to gather a variety of opinions within a short time. The researcher then resorted to the use of individual interviews, which the lecturers preferred. Individual interviews were

time consuming in comparison with the focus group discussions, though they enabled the researcher to elicit much information.

Another limitation was the general negative attitude of lecturers towards the completion of the questionnaire, in some departments. There was a general reluctance among lecturers to complete questionnaires. The researcher made several visits to conduct individual interviews and to collect completed questionnaires - most of which were eventually not completed. It seemed that one factor that contributed to lecturers' reluctance was the student unrest that had occurred in the previous months, which resulted in pressure on their part to cover content. Their attitude had a negative effect on the limited time the researcher had to analyse data and complete the report.

Similarly, the staff of the National Health Training College could not participate in focus group discussions. They were preparing examination papers and organising for the 2003 December graduation ceremony.

Lastly, the participation of the researcher in various activities at work, including the LP policy that academic staff are not to take leave during the course of the academic year, had detrimental effects to the completion of this study. The potential effects of this policy to this research were that the researcher was not able to integrate succinctly the research findings with literature, to edit the thesis effectively and to make a critical reflection of the whole thesis.

8.8 CONCLUSION

The conclusion is presented according to the aims of the study.

8.8.1 The purpose and underlying principles of performance management

The conclusion in relation to the purpose and the underlying principles of performance management in all the institutions studied is that the purpose and underlying principles of the performance management system appear to be punitive. The conclusion is developed from the finding that an appraisal

system is intended to detect weaknesses in performance, yet there is no clear policy indication on how staff will be assisted to eliminate their shortcomings. The policy clearly indicates that, if staff do not achieve the desired efficiency, they do not receive reward in the form of promotion. Also, the system emphasises output in the form of performance indicators without placing importance on the processes that lead to outcomes. The focus of appraisal is on accountability without considering the factors that contribute towards it which are the development of scholarship, the increase in funding to enable staff to conduct research and the availability of teaching materials.

Without the afore mentioned scholarship development and the availability of resources, lecturers might not achieve the expected efficiency in higher education. Literature also supports that the system of performance management that does not consider staff development and the availability of resources as essentials for the efficiency in higher education may not be sustainable (see 4.5.2). Since the system of performance management at LP, NHTC, and NUL focus more on accountability than the development of staff capabilities to be efficient, they may not be sustainable and may not result in the desired change in academic staff performance.

This thesis argues that the purpose of performance appraisal system should be to highlight performance problems with the aim of developing staff scholarship and rewarding outstanding performance. This thesis perceives scholarship development to be a lever of change in the implementation of the performance management system. The present systems of performance appraisal in the institutions of higher learning studied neither incorporate a scholarship plan nor indicate how the staff will be supported. Without a scholarship plan to equip staff with the requisite skills, it seems the system of performance management cannot bring about a change in academic staff performance, hence no corresponding change in the performance of the Lesotho higher education institutions studied.

8.8.2 The policies and procedures adopted in the implementation of performance management system

The policy is that staff should be appraised on a quarterly basis by supervisors. The appraisal has to be based on a performance plan. The aim is to make staff realise that their performance is crucial in making higher education responsive to the demands of society. The findings indicate that quarterly appraisal is not conducted at LP and NHTC as indicated in the policy document (see 7.9.4.1; 7.9.4.2). If the quarterly appraisal is not conducted it means that the continuous monitoring of staff performance may not be fully effected. Continuous appraisal of performance is intended to ensure that staff perform the tasks as planned and justification is provided for deviations from the set standards (see 5.9.3). This is also the case at NUL where appraisal is annual. Without the regular checks, faults may not be realised in time for corrective measures. Therefore a performance management system at LP, NHTC, and NUL, which does not ensure regular monitoring of performance, is unlikely to pick up some irregularities in staff performance timely (see 7.7.1.1; 7.7.1.2; 7.7.1.3).

Another finding with regard to procedure was that the standards and indicators of performance at times were not agreed between supervisors and subordinates (see 7.6.3.1; 7.6.3.2; 7.6.3.3). The two parties have to agree on standards and align them to the objectives of the institution. If there is no agreement it means there might be lack of congruency between individual standards and the standards set by the institution (see 5.3.2). Agreement on standards and indicators, as a performance management procedure determines the ultimate achievement of institutional standards. In the case of the Lesotho institutions of higher education studied, the lack of agreement between the supervisors and supervisees on standards and indicators might result in an inefficient performance management system, since the aim of the system in aligning individual to institutional standards would not be realised.

Another finding on the procedure was the unclear policy on rewarding outstanding and underperformance (see 7.9.1.4; 7.9.2.4). According to literature the uncertainty on the provision of rewards and punishments can de-

motivate staff (see 5.9.7). Similarly, in this case one concludes that the system of performance management in the institutions studied might not achieve its aim of motivating staff to perform efficiently if it does not stipulate a clear procedure for rewards and punishments.

8.8.3 The relation between scholarship and performance management

In the institutions studied not all forms of scholarship are equally valued. Boyer's (see 4.5.1; 5.4.3.1) contention that all forms of scholarship be given a similar weighting is not considered and research is highly valued for its contribution to subject content and teaching methodology (see 7.11.1; 7.12.1). Respondents were dissatisfied with the value attached to research for the reason that research was inadequately funded and also that they had high teaching loads which did not give them an opportunity to conduct research.

8.8.4 The type of leadership for the suggested appraisal system

In the case of the type of leadership necessary for the suggested system, the responses from LP reflect that a supportive leader is essential for the success of the system (see 7.9.6.1). On the same question, NHTC participants require a leader who could adapt to situations and cope with staff demands (see 7.9.6.2). The responses from NUL indicate that, leaders whose focus is on the job and the development of staff would ensure the success of the system of appraisal (see 7.9.6.3).

This thesis advocates for the appraisal system whose purpose is the development of scholarship and which adopts participative, 360-degree procedure in the management of staff performance. The role of leadership in this type of system is to ensure that performance management system is founded on clear policy, principles, purpose and procedures (see 5.3; 5.3.1; 5.5.1). The recommendations from the institutions support that, for a system of performance management to bring about a change it must be founded on clear policies and procedures. Above all, it must be linked to scholarship development.

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APPENDIX A

COVERING LETTER TO THE VICE-CHANCELLOR OF NUL

Lerotholi Polytechnic
PO Box 16
Maseru 100
Lesotho
8 September 2003

The Vice-Chancellor
National University of Lesotho
Roma 180

Dear Sir

REQUEST TO UNDERTAKE RESEARCH IN YOUR UNIVERSITY AND ITS SATELLITE INSTITUTIONS

I hereby request your permission to undertake research in your institution, including its satellite institution, The Institute of Extra-Mural Studies and its affiliate institution, The National Health Training College. My research topic is "Academic staff performance management system in Lesotho higher education institutions". I will first distribute questionnaires and then follow-up with focus group discussions with a group of not more than 12 academic staff members in each institution. The information provided will be used for purposes of this research and will be treated with confidentiality. Your assistance in this matter will highly be appreciated.

Yours faithfully

Ts'ebetso 'M'amokheseng Mpooa (Mrs)

APPENDIX B

A LETTER TO THE EXECUTIVE DEANS AND THE DIRECTOR OF THE HEALTH TRAINING COLLEGE

Lerotholi Polytechnic
PO Box 16
Maseru 100
Lesotho
1 October 2003

The Executive Dean
National University of Lesotho
Roma 180

Dear Sir/Madam

REQUEST TO ADMINISTER A QUESTIONNAIRE TO THE ACADEMIC STAFF IN YOUR FACULTY

I would hereby like to request your permission to administer a questionnaire in your faculty and to follow it up with focus group discussions. The questionnaire is intended to obtain staff opinions on performance management. This information is needed to fulfil the requirement of the Ph.D. research programme undertaken at the University of the Free State. My research topic is "Academic staff performance management in Lesotho higher education institutions". The information you provide will be treated confidentially.

I would also like to request your permission to interview you during the week starting on 6 October 2003 if it is convenient to you. The interview will cover the following questions:

1. What is the purpose of assessing the performance of academic staff?
2. What are the existing principles, policies and procedures regarding staff performance appraisal systems in your institution?

3. What is the relation between scholarship and academic staff performance management?
4. What are the essentials of an ideal staff performance appraisal system?
5. What kind of improvements could you suggest for the implementation of the existing appraisal system? Why would you suggest such changes?
6. How will the institution assist academic staff members whose skills have been identified as inefficient, to achieve the tasks assigned to them?
7. How can performance management strengthen the link between teaching and research?
8. What type of leadership is suitable for higher education?

Your assistance in this matter will be highly appreciated.

Yours faithfully

Ts'ebetso 'M'amokheseng Mpooa (Mrs)

APPENDIX C

A LETTER TO THE ACADEMIC STAFF MEMBERS OF LP

Lerotholi Polytechnic
PO Box 16
Maseru 100
Lesotho
11 September 2003

The Academic Staff Member
Lerotholi Polytechnic
PO Box 16
Maseru

Dear Sir/Madam

COMPLETION OF ACADEMIC STAFF PERFORMANCE MANAGEMENT QUESTIONNAIRE

I would hereby like to kindly request you to complete the attached questionnaire. This questionnaire is intended to obtain your opinion with regard to the performance management system used in your institution. The exercise is an academic study conducted for the fulfilment of a Ph.D. study undertaken at the University of the Free State.

The information that you will provide, will be treated confidentially and your responses to the questions will be considered anonymous. Your assistance in this matter will be highly appreciated.

Yours faithfully

Ts'ebetso 'M'amokheseng Mpooa (Mrs)

APPENDIX D

A LETTER TO THE ACADEMIC STAFF MEMBERS OF NHTC

Lerotholi Polytechnic
PO Box 16
Maseru 100
Lesotho
11 September 2003

The Academic Staff Member
National Health Training College
Private Bag A189
Maseru

Dear Sir/Madam

COMPLETION OF ACADEMIC STAFF PERFORMANCE MANAGEMENT QUESTIONNAIRE

I would hereby like to kindly request you to complete the attached questionnaire. This questionnaire is intended to obtain your opinion with regard to the performance management system used in your institution. The exercise is an academic study conducted for the fulfilment of a Ph.D. study undertaken at the University of the Free State.

The information that you will provide, will be treated confidentially and your responses to the questions will be considered anonymous. Your assistance in this matter will be highly appreciated.

Yours faithfully

Ts'ebetso 'M'amokheseng Mpooa (Mrs)

APPENDIX E

A LETTER TO THE ACADEMIC STAFF MEMBERS OF NUL

Lerotholi Polytechnic
PO Box 16
Maseru 100
Lesotho
11 September 2003

The Academic Staff Member
National University of Lesotho
PO Roma

Dear Sir/Madam

COMPLETION OF ACADEMIC STAFF PERFORMANCE MANAGEMENT QUESTIONNAIRE

I would hereby like to kindly request you to complete the attached questionnaire. This questionnaire is intended to obtain your opinion with regard to the performance management system used in your institution. The exercise is an academic study conducted for the fulfilment of a Ph.D. study undertaken at the University of the Free State.

The information that you will provide, will be treated confidentially and your responses to the questions will be considered anonymous. Your assistance in this matter will be highly appreciated.

Yours faithfully

Ts'ebetso 'M'amokheseng Mpooa (Mrs)

APPENDIX F

A QUESTIONNAIRE FOR THE ACADEMIC STAFF

			For office use only
			1 2-5
EMPLOYEE PERCEPTION SURVEY: PERFORMANCE MANAGEMENT (APPRAISAL)			
This survey is an academic study intended to assess the opinion of academic staff on performance management (appraisal). Its results will form an input on efforts to modify appraisal procedures to take into account the nature of performance in higher learning institutions in Lesotho.			
Please complete the questionnaire by circling the appropriate number, by placing a tick in a block representing the answer closest to your view, or by writing your answer in the space provided. If insufficient space is provided, please feel free to provide additional information on the additional sheet attached to this form.			
The information you provide will be treated confidentially and your responses to questions will be considered anonymous.			
SECTION A: PERSONAL AND PROFESSIONAL DETAILS			
1. What is your gender?			
Female	1		
Male	2		6
2. What is your present post title?			
			7-8
3. In which Faculty/Department/Division are you presently employed?			
			9-10
4. For how many years have you been employed in this institution?			
1 year or less	1		
1-10 years	2		
10-20 years	3		
20 years or more	4		11
5. For how many years have you been employed in your present position?			
1 year or less	1		
1-10 years	2		
10-20 years	3		
20 years or more	4		12
6. Write down your present qualification			
		13-14
7. Circle your age group			
18-25 years	1		
26-30 years	2		15
31-35 years	3		
36-40 years	4		
41-45 years	5		
46-50 years	6		
51-55 years	7		
56 or older	8		

SECTION B: VIEWS ON INSTITUTIONAL STRATEGIES AND OBJECTIVES									
8.	Do you know the mission statement and goals of your institution?	Yes		1		16			
		No		2					
		Unsure		3					
9.	Does the institution have a performance appraisal/management policy?	Yes		1		17			
		No		2					
		Unsure		3					
10.	What is the existing procedure on performance management? Write in the space provided.					18			
11.	Does the performance appraisal/management policy stipulate action plans for staff who cannot or will not meet the expectations of the institution?	Yes		1		19			
		No		2					
		Unsure		3					
12.	Does the policy document identify the process through which performance problems are identified, documented and solved?	Yes		1		20			
		No		2					
		Unsure		3					
13.	Commend on your response in question 12 above.								21-23
									24-26
									27-29
14.	Is there a written statement indicating how staff will be supported and assisted to achieve objectives of their jobs?	Yes		1		30			
		No		2					
15.	Commend on your response to question 14 above.								31-33
									34-36
									37-39
16.	Which of the following statements constitute your understanding of the purpose of performance appraisal/management?								
16.1	A system aimed to develop staff to perform effectively				1				40
16.2	A system intended to diagnose skill requirements for hiring across units.				2				41
16.3	A system that serves as a key input for formal organisational reward (promotions, merit pay).				3				42
16.4	It is intended to establish general organisational requirements of the ability to discriminate effective from ineffective performance.				4				43
16.5	All of the above.				5				44
16.6	I am not sure.				6				45
17.	The process of staff performance appraisal/management is inevitable in all organisations due to the current legal climate and requirement for staff to perform competently. Tick your response below, where 1 indicates "strongly disagree", 2 indicates "disagree", 3 indicates "agree" and 4 indicates "strongly agree".								
		1	2	3	4				46
18.	Commend on your response to question 17.								47-49
									50-52
									53-55

SECTION C: PERFORMANCE AGREEMENT PLANS					
19. When performance appraisal/management was introduced, did you and your supervisor review your job description? Commend:	Yes	1			56
	No	2			
20. Did you and your supervisor agree on tasks that you are to perform?	Yes	1			57
	No	2			
21. Commend on your response to question 20 above.					
					58-60
					61-63
					64-66
22. Did you and your supervisor set standards that you were to achieve in your job?	Yes	1			67
	No	2			
23. Commend on your response to question 22.					
					68-70
					71-73
					74-76
24. Did you and your supervisor agree on the set indicators as a basis for the evaluation of your performance?	Yes	1			77
	No	2			
25. Commend on your response to question 24 above.					
					78-80
					81-83
					84-86
26. Are the objectives of your job clearly related to the standards of performance that you are expected to achieve?	Yes	1			87
	No	2			
	NA	3			
27. Commend on your response to question 26 above.					
					88-90
					91-93
					94-96
28. Are the objectives of your job SMART (stretching, measurable, agreed, realistic/relevant and time-related)?	Yes	1			97
	No	2			
	NA	3			
29. Commend on your response to question 28.					
					98-100
					101-103
					104-106

30.	On what is the assessment of your performance based? Tick your response below.							
30.1	Teaching output			2				107
30.2	Research output			3				108
30.3	Community service			4				109
30.4	Personality traits			5				110
30.5	Uncertain			6				111
31.	What type of performance measure is used to assess your performance (tick your response from the statements presented)?							
31.1	Merit rating (being rated on a numerical or an alphabetical order e.g. 1-5 or A to E as in A-outstanding; B-satisfactory; C-fair; D-poor)			1				112
31.2	Behaviourally Anchored Scales (BARS, which refers to a statement that describes a particular value. Example: He is tolerant and supportive to colleagues and respects others' point of view.)			2				113
31.3	Management By Objectives (MBO which is an assessment based on whether staff has attained agreed objectives)			3				114
31.4	Other (please specify):			4				115
SECTION D: CONTINUOUS PERFORMANCE MANAGEMENT THROUGHOUT THE YEAR								
32.	Who assesses your performance throughout the year?							
32.1	Students			1				116
32.2	Customers/clients			2				117
32.3	Colleagues			3				118
32.4	Supervisor			4				119
32.5	Other (please specify):			5				120
33.	Has the concept of performance appraisal/management been understood by staff in your institution?							
	Yes			1				
	No			2				
	Uncertain			3				121
34.	Commend on your response to question 33.							
								122-124
								125-127
								128-130
35.	How effective has performance appraisal/management been in developing skills and competences of staff in your institution? Tick your response below, where 1 indicates "highly ineffective", 2 indicates "ineffective", 3 indicates "effective" and 4 is "highly effective". If you are not aware of any development, mark the NA block.							
		1	2	3	4		NA	131
36.	Commend on your response to question 35.							
								132-134
								135-137
								138-140
37.	How effective has performance appraisal been in motivating staff to improve its performance? Tick your response below, where 1 indicates "highly ineffective", 2 indicates "ineffective", 3 indicates "effective" and 4 indicates "highly effective". If you are not aware of any motivation, mark the "NA" block.							
		1	2	3	4		NA	141
38.	Commend on your response to question 37.							
								142-144
								145-147
								148-150
39.	Have performance ratings been consistently applied to all staff by your supervisor?							
	Yes			1				

	No	2					
	Uncertain	3					
40.	Commend on your response to question 39.						151
						152-154	
						155-157	
						158-160	
SECTION E: FORMAL PERFORMANCE REVIEW MEETINGS							
41.	Do you and your supervisor hold a preliminary meeting to prepare for the formal performance review meeting?		Yes	1	161		
			No	2			
42.	If your response is "yes", what do you normally discuss? If "no", commend on your response.						
						162-164	
						165-167	
						168-170	
43.	Please indicate in the space provided whether you agree or disagree with regard to the following statements related to a formal appraisal review meeting:		Agree	Disagree			
43.1	Self-appraisal documents are important for the formal review meeting.		1	2		171	
43.2	The information discussed is available before the formal review meeting.		1	2		172	
43.3	My supervisor's criticism is constructive.		1	2		173	
43.4	My supervisor listens attentively.		1	2		174	
43.5	Both of us are sensitive to each other's concerns.		1	2		175	
43.6	At the end of the meeting we reach agreement on future targets of my job.		1	2		176	
43.7	The review meeting ends with a plan.		1	2		177	
43.8	At the end of the meeting my supervisor rates my performance.		1	2		178	
44.	Commend about what happens between you and your supervisor during the formal performance review meeting in the space provided.						
						179-181	
						182-184	
						185-187	
SECTION F: PROVISION OF REWARDS AND PUNISHMENTS							
45.	Do you think performance-related pay (merit-pay) motivates you to perform effectively?		Yes	1	188		
			No	2			
46.	Commend on your response to question 45 above.						
						189-191	
						192-194	
						195-197	
47.	How have supervisors dealt with underperformers?						
						198-200	
						201-203	
						204-206	
48.	Is there an appeal procedure for staff who are not satisfied with appraisal results? Yes 1 No 2						
49.	If your answer is "yes", briefly explain the procedure.						

50.	What are the essentials of an ideal performance appraisal system?
51.	What improvements do you suggest to the existing appraisal system in order to create an efficient staff performance appraisal system in your institution?
52.	Under what type of leadership can your suggested improvements on the performance appraisal system thrive?

THANK YOU FOR YOUR CO-OPERATION.

APPENDIX G

AN INTERVIEW AGENDA FOR THE FOCUS GROUP DISCUSSIONS

1. What is the purpose of assessing the performance of academic staff?
2. What are the existing principles, policies and procedures regarding staff performance appraisal systems in your institution?
3. In what way can a staff performance appraisal system improve quality in your institution?
4. What are the essentials of an ideal staff performance appraisal system?
5. How can performance management strengthen the link between teaching and research?

APPENDIX H

RESPONSES FROM INTERVIEWS AND FOCUS GROUP DISCUSSIONS

1.1 INFORMATION GATHERED THROUGH INTERVIEWS FROM NUL RESPONDENTS

1.1.1 Responses on the purpose of assessing academic staff performance

- Staff are evaluated primarily for management to make decisions on promotion.
- It is intended to reveal staff performance.

1.1.2 Principles, policies and procedures of assessing academic staff performance

Responses reflect that staff performance is evaluated annually. Their assessment is based on the point system whereby the tasks of academic staff are allocated points (see Appendix I). The underlying principle was that staff whose performance was not up to the expected standard might not obtain an annual increment or might not be promoted. Participants' concern was that teaching was allocated fewer points compared to research. Their concern centred on the point that much of their time was spent on teaching. Some of the concerns raised with regard to the value of teaching compared to research were the following:

- According to the policy teaching is considered as valuable as research. In practice the situation is that there has arisen a debate in the institution on whether we are a research or teaching university since one can be expelled if one has not taught.
- Research output is required in my assessment; research is conducted "outside". The policy is that anything that you do outside has to be done through permission; some of the research can be conducted "outside" the university. The question is whether we are to get

permission to conduct research “outside” the university yet we are evaluated on its output. (The inverted commas are the researcher’s).

- They indicate that we are to teach yet they place more value on research output. In particular refereed journals.
- NUL is predominately a teaching university since more time is allocated to teaching, but staff are promoted mainly on the basis of research output. Therefore the university has to allocate more money and time for research. The Research and Publications Committee does not have enough funds for all staff who would like to conduct research. The library has to purchase additional books and computers.
- The policy does not take into consideration the number of students that one teaches, the three points allocated for teaching are given across all programmes irrespective of the loads per lecturer. In the Development Studies Programme a lecturer has 260 students in the first year; 160-190 in the second year; 80-90 students in the third year; and not less than 40 students in the fourth year. Supervision of undergraduates is not allocated point. Supervision is allocated points at the masters’ level. Some departments have decided not to offer research at the undergraduate level since the point system does not recognise it. The existing form of evaluating staff demoralises us. We bank on the transformation that it might bring about change.
- How can we be equally assessed while we have differing loads? There are staff members who do not teach first part at all (in the Sciences). They know that the first year students’ numbers are high and the foundation is poor from high school. The first year students in Physics do not perform well compared to third years, but the appraisal system applies similarly to the lecturer who teaches first year and to that who teaches third year. Also the effort placed in preparation for teaching by the Science lecturer is different from that of the Sesotho lecturer. The amount of effort and time spent in such preparations are not considered in this system. Laboratory work is consuming and requires a lot of energy. The reward system has to reflect the differences in effort.

- The Staff Appointments Committee conducts the evaluation of staff performance. The evaluation is based on the information from the Head of the Department. The committee evaluates staff members in their absence.

According to the respondents, part of the procedure of performance evaluation was that students were to evaluate lecturers' performance. It seemed from the responses that some respondents did not approve of that procedure. According to one Executive Dean, the staff had refused to be evaluated by students. At the time of the interview the evaluation of teaching by students was optional. The evaluation form was being circulated for comments. The intention was to make the evaluation of teaching by the students compulsory starting 2004/2005 academic year. The point that the system of students appraising lecturers was not in use throughout the institution is supported by this comment: "Not everyone uses the student feedback". In addition some respondents indicated why they disapproved that students should appraise them: "Lecturers are not eager to be assessed by students who dodge classes. I suppose management might get something out of that evaluation, but staff is not happy about it".

One comment showed that the evaluation instrument used by students to assess lecturers' performance was not universally adopted. The new one "which is university driven " (which implies that it is imposed by the university management), had not yet been implemented.

There were also concerns on the evaluation by External Examiners as reflected in this comment: "External Examiners consider content not its delivery. Basically they deal with students' scripts and course outline. The method of delivery which, examiners do not evaluate may not be good". This respondent went further to indicate that several factors contributed to the efficient performance of a lecturer. Such factors were student lecturer ratio; availability of equipment; accessibility of instruments to students; including the desire of students to learn. The computer laboratory was sighted as an example of insufficient equipment for the increased number of students. It was

also expressed that there had been no parallel increase of students and facilities in the Science laboratory. According to the respondent, “due consideration has to be given to glassware and space, other forms of laboratory equipment and consumables”.

Some respondents expressed that it was not enough to have evaluation conducted by supervisors as indicated in this comment: “supervisors should not be the only appraisers – students and peers should contribute the feedback on performance. A collegial type of assessment is preferred. Presently the system is closed, things are done in secrecy, you may be lucky to get a letter informing you that you have not been considered for promotion after you had applied”. Another comment was: “Presently the supervisor does not discuss performance with staff. A lecturer submits a curriculum vitae to the supervisor”.

Respondents expressed that research outcome was easily evaluated while teaching was not.

According to one of the Executive Deans appraisal of academic staff was conducted throughout the year.

1.1.3 In what way can performance appraisal system improve performance in your institution?

Respondents expressed that through the appraisal system the existing workloads could be revealed so that action should be taken. But according to some respondents it would be difficult to regularise loads since the intake of various courses varied, giving an example of the History Department where the enrolment was six students or at times few students were enrolled in the programme. The following responses indicate the views of participants on how the appraisal system could improve performance in their institution:

- Appraisal could enhance quality of staff performance if it is focused on developing staff and also if it is intended to rectify staff work problems.

- Appraisal could highlight the various activities that a lecturer performs, show that they are the core of what a lecturer does.

1.1.4 What are the essentials of an ideal staff performance appraisal system?

The following were some of the responses:

- In an ideal system one should have objectives, a plan to follow that relates to the university's mission and goals. Presently here there is no relationship between appraisal and development – appraisal is done to determine promotion.
- The ideal performance appraisal system should consider the conditions under which lecturers perform. Presently there are not enough classrooms and the equipment is not enough, as a result our laboratories cannot be available for community-based research, which can be used to find some cures for a number of diseases including AIDS.

1.1.5 How can performance management strengthen the link between teaching and research?

The following were some of the responses from participants:

- The system is not in operation. The appraisal instrument is still being worked upon.
- Ensure that staff who teach have both content and pedagogy. Indicate the importance of professional training, that lecturers should have the teaching profession. Presently not all lecturers have been exposed to training on teaching.
- Lecturers need to be encouraged to conduct research in their fields of study, so that the new knowledge they have acquired should filter to students through their teaching. This can be done to enhance the status of teaching.
- Accept the evidence of teaching, which may be through self-evaluation and peer evaluation. Presently some staff do not accept self-evaluation since it is administered by the lecturers themselves. In the

United States they use self-evaluation and student evaluation for self-criticism and to improve. Lecturers who have been through the American system are not afraid of being evaluated.

- Teaching and research can be integrated, for example, postgraduates are taught research; how to interpret results; how to write reports; and how to publish in journals.

2.0 INFORMATION GATHERED THROUGH FOCUS GROUPS AT LP AND NUL (IDCS)

2.1 What is the purpose of performance appraisal?

The respondents expressed the purpose of appraisal to be promotional, which means that according to them appraisal was intended to provide information that would assist decision-makers to select staff suitable for promotion. In one of the participant's own words: " appraisal is for promotion, to assess performance of lecturers and to find out about the activities they are engaged in".

2.2 WHAT ACTIVITIES ARE LECTURERS ENGAGED IN?

The responses were that lecturers were engaged in teaching, research, and community service including administrative work.

2.3 DO YOU CONSIDER TEACHING, RESEARCH AND COMMUNITY SERVICE ACCEPTABLE FOR EVALUATING ACADEMIC STAFF?

The responses were as follows:

2.3.1 The criteria are not acceptable for the purpose of promotion since one may not perform well in all the activities.

2.3.2 The criteria are demanding and not flexible. Most of the times they do not consider effort that one put in teaching. They only consider the number of publications but not good teaching. The criteria were not adequate also because the performance is not assessed throughout the year. The criteria

are not flexible because academic staff members' performance is based on all not one task in which they may excel.

2.4. WHAT ARE THE PROCEDURES FOLLOWED IN THE APPRAISAL OF STAFF?

The LP respondents expressed that appraisal was based on work plans that staff members had prepared and that the plan was to conduct appraisal quarterly. The participants from NUL expressed that appraisal was based on teaching, research and community service. With regard to who their appraisers were, respondents from both institutions expressed that their supervisors appraised them. They added that appraisal of their performance "lacked student input".

Respondents from both institutions expressed that they did not receive feedback on the evaluation of their performance. This concern is reflected in this statement: "The assessment is not transparent to the appraisee. No feedback to the appraisee".

According to the respondents an ideal performance appraisal system should be characterised by openness; the provision of feedback; mutual consultation; performance criteria be based on the activities of research; teaching; community service; including scholarship (which they defined as value to the profession). Consultancies were considered as part of community service. Members expressed concern that consultancies were not seriously considered as part of community service. They gave an example that justified that they were in the following statement: " in the development of materials for small businesses in Lesotho, one can use information gathered through reports on the performance of small businesses as a case study in the teaching of entrepreneurial skills".

2.5 HOW DOES PERFORMANCE APPRAISAL SYSTEM CONTRIBUTE TO YOUR INSTITUTION?

The following were some of the responses:

- That it sensitises staff to tasks and encourages them to be innovative.
- It ensures that staff should improve performance and can reduce student negativity to teaching since lecturers are expected to be effective in their teaching.

The participants from NUL (IDCS) had a concern that the appraisal system was under review. They added that suggestions had been requested from staff and students. They also indicated that the success of the appraisal system depended on regular monitoring and feedback, however, staff were considered to be professionals who did not need close monitoring as shown in this statement: “the system can succeed if there is regular observation and feedback from the supervisor at intervals, not once a year. Management can assist staff by mounting regular workshops and through coaching new staff”.