An evaluation of the staff appraisal practices at the Lesotho College of Education (LCE)

by

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DECLARATION

I, Palo Gabriel Khachane, hereby declare that the dissertation handed in for the qualification Magister Artium in Higher Education Studies at the University of the Free State is my own work and that I have not previously submitted the same work for a qualification at/in another university/faculty. I further concede copyright to the University of the Free State.

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DEDICATION

A PRAYER

"O Holy Ghost, I offer Thee the Eucharistic Heart of Jesus, His most precious blood; the sorrowful, humble, pure, obedient and immaculate heart of Mary, to repair for all my offences and negligences. I consecrate myself unreservedly to Thee. I place all my trust in Thee. Amen."

I dedicate this script to `Mapheello, my beautiful wife who always keeps me from falling apart during my endless hours of reading and writing. Thanks for being a caring partner and being there for me during my most trying, painful moments. To my lovely daughter, Philomena, who always encourages me with her smiles to go on during my hard days. To all my brothers and sisters at home for being understanding. To all my brothers- and sisters-in-law for their understanding. Finally, to my parents, Mr Tsotelo and Mrs.`Mamohau Khachane, for they taught me lessons about working hard, uncritical acceptance, and also for their boundless understanding and their many sacrifices and encouragement.

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SUMMARY

Performance appraisal (PA) is a management concept that is meant to improve individual and, concomitantly, organisational performance. Although performance appraisal systems have come under a plethora of criticism, they continue to be a platform of human resource management and development systems. Performance appraisals are utilised in an attempt to measure employee performance in organisations. Oftentimes the outcomes of these appraisals affect the employee's retention, promotion, or salary. An effective performance appraisal system should improve the morale, motivation, and overall productivity of an organisation by identifying employees' strengths and addressing areas that need improvement.

This research study presents an investigation in as far as the evaluation of the staff appraisal practices at the Lesotho College of Education (LCE) are concerned.

The methodology employed in this investigation includes a literature study on human resource management and development; performance management; and performance appraisal in the context of higher education. An opinion survey among academic staff was undertaken by means of semi-structured interviews and a quantitative closed-ended questionnaire with enhancement by means of qualitative, open-ended questions.

The results of the survey were finally interpreted in terms of four research questions pertaining to the problem being investigated. Despite the strengths of the staff appraisal practices identified at the LCE, there are also critical weaknesses in the appraisal system such as poor communication between supervisors and subordinates. The researcher therefore concluded that the staff appraisal practices at the LCE are undoubtedly problematic in nature and can, at best, only be partly effective.

Finally, a number of recommendations were formulated under the following five headings: Design, Policy Formulation and Documentation of the system; Dissemination of the system; Implementation of the system; Staff Development; and Review of the system.

KEY WORDS:

- Human resource management and development.
- Performance management.
- Performance appraisal.
- Staff appraisal.
- Academic staff.
- Lesotho College of Education.

LIST OF ACRONYMS

BARS   Behaviourally anchored rating scales

HR   Human resources

HRM   Human resource management

HRMD   Human resource management and development

LCE   Lesotho College of Education

LIPAM   Lesotho Institute of Public Administration and Management

MBO   Management by objectives

NTTC   National Teacher Training College

PA   Performance appraisal

Ph.D.   Philosophiae Doctor

PM   Performance management

PMS   Performance management system

TQM   Total quality management

USA   United States of America

CHAPTER 1

INTRODUCTION AND ORIENTATION TO THE STUDY

1.1   INTRODUCTION

Academics and human resource management professionals have identified several human resource activities that are critical for organisational survival. Survival is enhanced because of the ability of effective human resource management to attract, retain, motivate and retrain employees. These goals have become particularly important over the past decade because of the rapidly changing environmental forces such as global competition. For human resource to be effective, however, it requires that activities are to be performed effectively, but also that the human resource departments in organisations need to play several roles and that those in these departments need to have a broader and deeper range of competencies than previously required (Poole and Warner 1998:122).

World-wide higher education institutions are undergoing major transformation that, in some cases, irrevocably affects their long-standing nature, images, notions and traditions. These changes are the result of a paradigm shift towards vocational training with more emphasis on accountability and quality (Gibbons 1998:4-5). According to Redelinghuys (2003:2), critical evaluation of academic programmes, students, management and staff is therefore emphasised. Increasing demands for accountability put these institutions squarely within the field of performance management and academic staff appraisal. It has become evident that most of these institutions approach the field of academic staff appraisal with great circumspection (Bitzer 1987:69).

Grobler, Warnich, Carrell, Elbert and Hatfield (2002:260) see performance management as a broader term that gained popularity with the emergence of total quality management (TQM). Martinez (2001:4) indicates that performance

management – in its infancy – focused on the tools required for performance management, while current approaches focus more on how the most effective tools can be combined to produce an integrated performance management system. Performance management focuses on the interaction and integration between various aspects in the organisation (Grobler *et al.* 2002:260; Martinez 2001:4). Martinez (2001:6) summarises performance management as the process that involves:

- setting strategic objectives and targets for the organisation and for its different units before attempting to establish individual staff performance targets;
- identifying and implementing tasks to achieve those objectives and aligning individual targets to the fulfilment of those needs;
- monitoring performance of those tasks at organisational, unit and individual levels; and
- reviewing objectives and targets in the light of the outcome.

Teaching, like many other professions, has regulating rules. Its professional ethics are mainly concerned with efficiency (Buchel 1995:257). In higher education, lecturers are the key figures when it comes to giving guidance to the learners. The way in which knowledge is taught to learners determines how they learn it and use it to solve problems. Furthermore, education is actualised through teaching. In most cases, however, the lecturers lack interest in staff appraisal and feel that there is nothing to be gained from it. According to Fourie, Oberholzer and Verster (1995:2-3), performance appraisal of staff is a systematic process of subjective appreciation with the specific aim of determining a person's work performance in the light of job evidence collected from observation. Performance appraisal of staff is comprehensive and it involves personal judgements based on facts. It is an important factor to improve confidence, performance and morals for the effectiveness of the lecturer in the teaching and learning situation.

Most organisations have a need for a formal performance appraisal system, even though appraisal is typically the one managerial activity that generates the least enthusiasm amongst the participants in the process (Travaglinoe and Marshall 2000:182). It is in the areas of the development, implementation and maintenance of such systems that the human resource specialist has to play a leading role (Swanepoel, Erasmus, Van Wyk and Schenck 2000:405).

Effective appraisal is actually at the heart of successful management. Management ought to understand how the appraisal process works and recognise how a well-managed system benefits employees and organisations. Regular review and feedback develop staff and help academic staff to achieve their objectives. Therefore management needs to create an environment in which people welcome continuous feedback and use the appraisal interview as a formal round-up of these ongoing, informal reviews (Langdon and Osborne 2001:5-6).

An effective appraisal model has the potential to enhance performance and thus quality education at institutions and serves as a basis for making career and other determining decisions regarding staff and their performance.

1.2   STATEMENT OF THE PROBLEM

The existence of efficient staff appraisal practices as a basis for performance management is also of major importance at the Lesotho College of Education (LCE) where academic staff members have distinctive and significant roles in the socio-economic development of the country, including training the Basotho at tertiary level. Performance management at the LCE could also be more successful if staff could see the appraisal process as a part of their professional development for effective teaching and learning.

Many organisations are still struggling with the implementation of an effective performance management system. Perhaps the single reason for this failure lies

not so much in the technologies being applied, as it is a consequence of the human factor in the performance process. The central question becomes one of understanding why management, despite an advanced system, still fails to execute its competence in the domain of performance management (Arumugam 2001:24).

Academic staff members, however, often display negative attitudes about appraisal, because to them appraisal is seen as interference in their work and an indication of them having no competence. In the light of this possible unpopularity of staff appraisal, this study is intended to evaluate the staff appraisal practices at the LCE; identify the possible strengths and weaknesses of these practices; and recommend ways in which the weaknesses identified, can be improved.

1.3   RESEARCH QUESTIONS

The research problem explained in the previous paragraph led to the following overarching research question to be investigated:

What are the strengths and weaknesses of the staff appraisal practices employed at the Lesotho College of Education and how can the weaknesses be improved?

This research question was then divided into the following subsidiary research questions:

- What are the characteristics of human resource management and development, performance management and performance appraisal and how do they relate to one another?
- What are the perceptions of academic staff members about the following aspects of the staff appraisal practices at the LCE:

    ➢ Design, policy formulation and documentation of the system.
    ➢ Dissemination of the system.

➢ Implementation of the system.

➢ Review of the system.

➢ Its relation to staff development.

- What are the strengths and weaknesses of the staff appraisal practices at the LCE?

- How can the weaknesses identified, be improved?

1.4   SIGNIFICANCE OF THE RESEARCH

This study may contribute by improving staff appraisal practices at the LCE and may serve to empower academic staff (lecturers) to work in a new organisational culture in which effective and appropriate staff appraisal practices play an important role in enhancing academic performance and improving the quality of education. The guidelines provided may also assist the management of the LCE with the induction of newly qualified lecturers. The study may furthermore serve to stimulate other teaching professionals to research widely on identified variables of performance management and the appraisal of staff in higher education.

1.5   AIM AND OBJECTIVES

The aim of this study was to evaluate the staff appraisal practices employed at the Lesotho College of Education (LCE) and to formulate guidelines to address the possible shortcomings identified.

The above aim was realised by pursuing the following objectives:

- To undertake a literature study on human resource management and development; performance management in general; and staff appraisal in particular.

- To investigate how academic staff members perceive the current staff appraisal practices at the LCE in terms of the following aspects:

- ➢ Design, policy formulation and documentation of the system.
- ➢ Dissemination of the system.
- ➢ Implementation of the system.
- ➢ Its relation to staff development.
- ➢ Review of the system.

- To analyse staff appraisal practices at the LCE in terms of its possible strengths and weaknesses.
- To formulate guidelines in order to address possible shortcomings of the current staff appraisal practices at the College.

1.6   CLARIFICATION OF CONCEPTS

The following concepts need clarification:

1.6.1 Performance management (PM) and performance appraisal (PA)

According to Marshall (2000:184), performance management is a more broadly framed and integrative view than performance appraisal, where performance ratings are de-emphasised, relative to the planning, reviewing, allocating of resources, and problem-solving aspects of that process. Within the context of performance management, appraisal is acknowledged as one of several planning and accountability systems in an organisation. Many of the outcomes of performance appraisal feedback are critical to ongoing strategic planning, as well as departmental business and objective setting. The outcomes of appraisal feedback provide further opportunity to identify programmes and functions to be part of a corporate plan. Performance management, therefore, is a process of management behaviour and an organisational intervention strategy.

Performance appraisal is intended as a means of measuring and enhancing individual and institutional performance; fostering professional development and career growth; determining merit increases; and meeting internal and external

demands. Performance appraisal is therefore a crucial activity of the personnel function and the management of human resources. A comprehensive appraisal system can provide the basis for key managerial decisions such as those relating to, for instance, allocation of duties and responsibility, pay, delegation, level of supervision, promotions, training and development needs (Mullins 1993:584).

1.6.2 Staff appraisal

"Staff appraisal" is the term used for the process by which an employee and his or her superordinates meet to discuss the performance of the employee (Fidler and Cooper 1988:62). Many writers prefer to see staff appraisal in education as either concerned with accountability or with development. In non–educational organisations staff appraisal is concerned with both individual development and accountability or evaluation. It is precisely this combination which gives appraisal such central importance and makes it so difficult to accomplish. The appraisal process is a combination of reviewing the past year's work (evaluation) and planning training or setting targets for the coming year (development). In designing a particular staff appraisal system, it is important to be clear about the extent to which it should lead to individual development. According to Mullins (1993:584), there is huge variety of terms used – performance appraisal, performance review, and staff reporting.

1.6.3 Evaluation

Evaluation is a process of measurement/judgement used to gather information about the value of something. The process is about making judgements about quality – in other words, how good the behaviour or performance is. Evaluation involves an interpretation of what has been gathered through measurements, and in which value judgements are made about the effectiveness and efficiency of something (McMillan and Schumacher 2001:10). In the context of this study, evaluation involves identifying the strengths and weaknesses of the staff appraisal

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system and recommending ways in which the identified weaknesses can be improved.

1.7 RESEARCH DESIGN AND METHODOLOGY

The study was based on a quantitative non-experimental survey research design, focusing on the evaluative model of inquiry, with qualitative enhancement by means of literature reviews/document analysis as well as semi-structured interviews. The academic staff members (lecturers) at the LCE were selected as a sample of this investigation.

Data reporting commenced with a literature review on human resource management and development, performance management and performance appraisal, followed by an analysis of the main features of the current staff appraisal practices employed at the LCE. Documents, reports and informal interviews with at least five academic staff members at various levels formed the basis of the initial analysis. The information gathered led to the compilation of a structured questionnaire, which was employed in a survey of the perceptions of academic staff members on the current staff appraisal practices at the institution. The quantitative data was analysed, interpreted and reported in terms of percentages of the total number of responses, while categories of meaning were searched for in the qualitative data.

1.7.1 Population and sample

The population for this study was staff members at higher education institutions in Lesotho. Because of its accessibility to the researcher, the researcher conveniently selected the LCE for the purpose of the investigation. In order to ensure that the sample used for the investigation would be knowledgeable and informative about appraisal practices at the College, the researcher purposefully decided to include all the academic staff members (lecturers) at the College. The

sampling can therefore be typified as purposeful and convenient in nature (McMillan and Schumacher 2001:176).

Of the 30 academic staff members at the College, 25 eventually returned their questionnaires, ensuring a response rate of 83%. Additionally, a sample of five academic staff was selected purposefully for the initial interview survey.

1.7.2   Data collection techniques

The tools that were used to collect data included interviews and a questionnaire. The interviews were conducted by making use of an interview schedule consisting of a number of open-ended questions (see Appendix A). The questionnaire in turn consisted mainly of closed questions, enhanced by a number of open-ended questions (see Appendix B). According to Newton (2000:178), a questionnaire survey is adequate in providing the perceptions of lecturers and current practices in as far as staff appraisal is concerned.

1.7.3 Data analysis and reporting

Initially five members of academic staff were interviewed in order to obtain in-depth information about the staff appraisal practices at the LCE. The interviews were transcribed and analysed by identifying categories of meanings. The completed questionnaires were personally distributed among academic staff members at the college and collected in two weeks` time. The analysis of the closed and open questions in the questionnaire was analysed by calculating frequencies of the responses and expressing these as percentages of the total number of responses. All the data were eventually reported in terms of the phases of staff appraisal system development as identified in Chapter 4, as well as its relationship to staff development.

1.8   DEMARCATION OF THE STUDY

The study falls within the field of higher education and deals specifically with the issues of performance management and staff appraisal practices, which are aspects of educational management. The study focuses on one institution, namely the LCE, a teacher-training college in Maseru, the capital of the Kingdom of Lesotho. The sample includes all academic staff at the LCE.

1.8.1 Limitations of the study

Among others, the limitations of this study include that the researcher was affected during the pilot questionnaire study due to the fact that most of the academic staff went to a funeral at the time the research was piloted. Another limitation could be that the academic staff might have responded to questions without analysing them, hoping that they were the same questions from the pilot study or the interviews. A further limitation was the negative and reluctant attitudes of lecturers in some departments towards the completion of questionnaires. Eventually, some of the questionnaires distributed were uncompleted or not completed thoroughly. This attitude had a negative effect on the limited time the researcher had to analyse data and complete the whole dissertation.

The researcher has argued the trustworthiness of this study in terms of its credibility, transferability, dependability and conformability of the initial interview survey as well as the validity and reliability of the questionnaire survey in Chapter 5 (see 5.9.2 and 5.9.3).

1.9   DIVISION OF CHAPTERS

In order to evaluate the staff appraisal practices at the LCE, the following division of chapters was planned:

Chapter 1 presents an introduction to the study and includes a brief discussion of the research design and methodology employed.

Chapter 2 provides a literature review on human resource management and development.

Chapter 3 includes a literature review on performance management of staff.

Chapter 4 represents a literature review on performance appraisal of staff in higher education.

Chapter 5 describes the research design and methodology employed in this investigation in more detail.

Chapter 6 provides a report on the results of the empirical investigation undertaken.

Chapter 7 includes the conclusions, recommendations and a summative perspective in as far as the study is concerned.

1.10 SUMMARY AND CONCLUDING REMARKS

Performance appraisal is a system of review and evaluation of individuals or of team performance. People should be managed in a humane and effective way so that knowledge, motivation and skills should not be lost and the morale of the staff should also be kept high. In addition, performance appraisal is an integral part of performance management in higher education institutions. Appraisal data are potentially valuable for use in human resource management and development.

This chapter provides a background to the research in as far as the introduction, the statement of the problem, the aim, as well as the objectives of the study are concerned. The chapter also describes all the steps followed when conducting the study.

The next chapter is the first of three literature review chapters and focuses on human resource management and development. Recent trends in performance management and performance appraisal are covered in the next two literature chapters.

CHAPTER 2

HUMAN RESOURCE MANAGEMENT AND DEVELOPMENT

2.1 INTRODUCTION

In developed and developing countries, the world of work has changed. Today people live in world of rapid and unpredictable change. Human resource management helps to shape and is shaped by this environment of change. It is essential to take stock of this changing world of work. Organisations need to face the reality that the future is uncertain and therefore it is necessary to develop the skills, knowledge and attitudes to cope with this period of change (Minty and Bennett 2001:22).

According to Caudron (2000:30-32), organisations are undergoing dramatic changes with significant implications with regard to how human resources are managed. Perhaps the most important of these changes is the rapid deployment of information technology and the increasing amount of knowledge work that organisations do. Also important are the rapidly changing organisational environment and the increasing complexity of modern organisations. These and others factors have created a growing consensus that effective human resource management and development is critical to the success of an organisation. Institutions are moving into a much different world and cannot survive tomorrow by using the same approaches used yesterday, let alone those that are used today (Caudron 2000:30-32).

Work occupies a central part of life. Generally, adult people have to engage in some form of work activity to earn a living. Most do so within the context of some organisation, or another in which they are employed. Such people can be classified as the "human resources" of an organisation. The quality of the human resources of any organisation can make a major difference in its competitiveness.

Research has proved that successful management of human resources has a definite positive relationship with the performance of organisations (Sherman, Bohlander and Snell 1998:29). This is why it is so beneficial to study human resource management and development - an interesting, dynamic and challenging field of study (Swanepoel, Erasmus, Van Wyk and Schenk 2000:3).

2.2 HUMAN RESOURCE MANAGEMENT AND DEVELOPMENT

Human resource management and development (HRMD) encompasses those activities designed to provide for and coordinate the human resources of an organisation. The human resources (HR) of an organisation represent one of its largest investments. In fact, reports show that approximately 80 per cent of income is used to compensate employees. The value of an organisation's human resources frequently becomes evident when the organisation is sold. Often the purchase price is greater than the total value of the physical and financial assets. The difference, sometimes called goodwill, partially reflects the value of an organisation's human resources. In addition to wages and salaries, organisations often make other sizable investments in their human resources (Byars and Rue 2000:3; Mondy and Noe 2005:3-4).

"Human resource management and development" is a modern term for what has traditionally been referred as personnel administration or personnel management. However, some experts believe human resource management differs somewhat from traditional personnel management. They see personnel management as being much narrower and more clerically-oriented than human resource management (Byars and Rue 2000:3). In fact, Schuler (1995:5) states that human resource management and development is the use of several activities to ensure that human resources are managed and developed effectively for the benefit of the individual, the society and the organisation.

2.2.1 The historical development of human resource management and development

According to Poole and Warner (1998:122), managing and developing human resource effectively has become vital to organisations of the twenty-first century. The increased levels of global competitiveness have alerted all originations to the fact that all their resources must be utilised better than before. Human resource management and development has received much attention recently because of the recognition that much more could be gained from a better handling of the field. Consequently academics have begun to devote more attention to the topic.

Moreover, academics and human resource management and development professionals have together identified several human resource activities that are critical for organisational survival. Survival is enhanced because of the ability of effective human resource management and development to attract, retain, motivate and retrain employees. These goals have become particularly important over the past decade because of the rapidly changing environmental forces such as global competition. For human resource to be effective, however, it requires particular activities to be performed effectively; that human resource management and development in organisations needs to play a leading role; and that management need to have a broader and deeper range of competencies than previously required (Poole and Warner 1998:122).

According to Ivancevich (1995:5), the history of human resource management and development can be traced to England, where masons, carpenters, leather workers, as well as craftspeople organised themselves into guilds. They used their unity to improve their working conditions. The field further developed with the arrival of the Industrial Revolution in the latter part of the eighteenth century, which lay the basis for a new and complex industrial society. In simple terms, the Industrial Revolution began with the substitution of steam power and machinery for time-consuming hand labour. Working conditions, social patterns, and the

division of labour were significantly altered. With these changes also came a widening gap among employees.

The drastic changes in technology, the growth of organisations, the rise of unions, and government concern and intervention concerning working people resulted in staff development. There is no specific date assigned to the appearance of the first personnel department, but around the 1920s in England more and more organisations seemed to take note of and do something about the conflict between employees and management. Early personnel administrators were called welfare secretaries. Their job was to bridge the gap between management and employees; in other words, they were to speak to employees in their own language and then recommend to management what had to be done to achieve the best results from employees (Ivancevich 1995:5).

According to Ivancevich (1995:5), the early history still obscures the importance of the human resource management and development function to management. Until the 1960s, the human resource management and development function was considered to be concerned only with blue-collar or operating employees. It was viewed as a record-keeping unit that handed out 25-year tenure pins and coordinated the annual organisational picnic. The job of personnel was "partly a file clerk's job, partly a housekeeping job, partly a social worker's job, and partly fire fighting, heading off union trouble."

Currently the human resource management and development function is concerned with much more than simple filing, housekeeping, and record-keeping. When human resource management and development strategies are integrated with the organisation, human resource management and development plays a major role in clarifying the organisation's human resource problems and developing solutions. It is oriented toward action, the individual, world-wide interdependence, and the future. Nowadays it would be difficult to imagine any organisation achieving and sustaining effectiveness without efficient human

resource management and development programmes and activities (Mondy and Noe 2005:5).

According to Ivancevich (1995:7), the function of human resource management and development had for years not been linked to the corporate profit margin or what is referred to as the bottom line. The role of human resource management and development in the organisation's strategic plan and overall strategy was usually couched in fuzzy terms and abstractions. Human resource management and development was merely a tag-along unit with people–oriented plans, but was not a major part of the planning and strategic thinking process. Today, because of the recognition of the crucial importance of people, human resource management and development has become a major player in developing strategic plans. Organisational and human resource plans and strategies are inextricably linked. The human resource management and development strategies must clearly reflect the organisation's strategy regarding people, profit, and overall effectiveness. The human resource manager, as well as any manager, is expected to play a crucial role in improving the skills of employees and the organisation's profitability. In essence, human resource management and development is now viewed as a "profit centre" and not simply a "cost centre".

Today's human resource problems and opportunities are enormous and appear to be expanding. Institutions dealing with human resource management matters face a multitude of challenges, ranging from a constantly changing workforce to ever-present government regulations and a major technological revolution. Furthermore, global competition has caused institutions to be more conscious of cost and productivity. Because of the critical nature of human resource management issues, these matters are receiving major attention from upper management (Mondy, Noe and Premeaux 2002:2-3). The strategic importance of human resource management and development means that a number of key functions must be applied. Some of these functions are:

- Analysing and solving problems from a profit-oriented, not just a service-oriented point of view.

- Assessing and interpreting costs or benefits of such human resource management and development issues as productivity, salaries and benefits, recruitment, training, absenteeism, overseas relocation, layoffs, meetings, and attitude surveys.

- Using planning models that include realistic, challenging, specific, and meaningful goals.

- Preparing reports on human resource management and development solutions to problems encountered by the organisation.

- Training staff and emphasising the strategic importance of human resource management and development and the importance of contributing to the organisation's profits

(Mondy, Noe and Premeaux 2002:17-8).

The increased strategic importance of human resource management and development means that human resource specialists must show that they contribute to the goals and mission of the organisation. The actions, language, and performance of the human resource management and development function must be measured, precisely communicated, and evaluated. The new strategic positioning of human resource management and development means that accountability must be taken seriously. Furthermore, global competition has forced both large and small organisations (institutions) to be more conscious with regard to a multitude of challenges, ranging from a constantly changing workforce to ever-present government regulations (Mondy and Noe 2005:4).

2.2.2 The contribution of human resource management and development to organisational effectiveness

According to McKenna and Beech (1995:13-14), the contributions that human resource management and development makes to organisational effectiveness include the following:

- Helping the organisation reach its goals.
- Employing the skills and abilities of the work-force efficiently.
- Providing the organisation with well-trained and well-motivated employees.
- Increasing to the fullest the employees' job satisfaction and self-actualisation.
- Developing and maintaining a quality of work life that makes employment in the organisation desirable.
- Communicating human resource management and development policies to all employees.
- Helping to maintain ethical and socially responsible behaviour.
- Managing change to the mutual advantage of individuals, groups, the enterprise, and the public.

For individuals to improve performance, people must see justice in the rewards given. Reward good results, but do not reward people who do not perform. Make the goals and how they are measured clear with no room for side issues like whether someone's a nice person. The main effectiveness measure for human resource management and development lies in the way it succeeds in providing the right people at the right place of performing a job, at the right time for the organisation (Ivancevich 1995:9).

2.3 CURRENT TRENDS IN HUMAN RESOURCE MANAGEMENT AND DEVELOPMENT

According to Poole and Warner (1998:134), the trends in the field of human resource management and development are currently nothing short of revolutionary. The organisational function of human resource management and development is becoming more important than ever. Management is becoming involved in human resource management, while human resource management and development practitioners are becoming members of the management team. In addition, because of human resources of organisations, virtually everyone in the organisation can make a contribution to the management of people and the success of the organisation at the same time (Poole and Warner 1998:134).

Poole and Warner (1998:135) go on to say that, in comparison with the past, today's and tomorrow's characterisations of human resource management reflect the more intense levels of national, regional and global competitions; projected demographic and workforce figures and anticipated legal and regulatory developments. Translated through major changes in organisational strategy, structure, shape and technology, these environmental forces require speed, quality, innovation and globalisation for an organisation firm wishing to survive the battlefield of international competition. The environmental forces are giving rise to strategic human resource management and development.

The major trends and characteristics of human resource management and development are discussed in the following sub-paragraphs.

2.3.1 Human resource philosophy

This is a statement of how the organisation regards its human resource, what role the resource plays in the overall success of the business, and how human resources are to be treated and managed. The statement is typically very general,

thus allowing interpretation at more specific levels of action within an organisation. The human resource philosophy of an organisation provides guidelines for action on people-related business issues and for the development of human programmes and practices based on strategic needs (Schuler and Huber 1993:69-70).

2.3.2 Human resource policies

According to Carrell, Kuzmits and Elbert (1992:12-3), the term "human resource policy" does not only mean human resource policy manual. While a policy manual may contain statements of general guidelines, employees often perceive the manual as a "rule book" prescribing very specific actions permitted in very specific situations. Human resource policy here means general guidelines that aid the development of more specific human resource programmes and practices. Human resource policies can be written for each of the several human resource activities like compensation and training. Using a policy such as pay for performance, local units can then craft specific human resource practices consistent with the policy (Schuler and Huber 1993:139).

2.3.3 Human resource programmes

Shaped by human resource policies, human resource programmes represent coordinated human resource efforts specifically intended to initiate, disseminate and sustain efforts towards strategic organisational change necessitated by the strategic needs of an organisation. These efforts may begin at the top of the organisation and filter down or they may begin elsewhere. Human resource programmes can be initiated, disseminated and sustained for many types of strategic organisational change efforts. These efforts, however, have several elements in common. First, they receive their impetus from the organisation's strategic intentions and directions. Second, they involve human resource management and development issues, that is to say they represent major people-

related business issues that require a major organisational change effort to address. They also share the reality of having strategic goals against which a programme's effectiveness can be measured (Schuler and Huber 1993:139).

2.3.4 Human resource practices

One way to approach human resource practices is from the framework of roles. Generally speaking, the roles that individuals assume in organisations fall into three categories, namely leadership, managerial, and operational. In each case, behaviours associated with a given role should support strategic needs. Leadership roles include establishing direction; aligning people; motivating and inspiring individuals; and causing dramatic and useful change. Managerial roles are traditional roles of planning, directing, delegating, organising and coordinating. Operational roles are the roles needed to deliver services or make products. In essence, they are "doing" roles and as such their content is far more specific than for the other roles (Schuler and Huber 1993:31; Poole and Warner 1998:137).

Once the role of behaviours, whether leadership, managerial, or operational, is identified, human resource practices can be developed to cue and reinforce role behaviour performance. While many human resource practices are used in organisations without regard to organisational strategy, some practices tie role behaviour directly to strategic needs. Consider, for example, a company that has defined a need to improve quality. Human resource practices might provide cues for topics such as group participation in problem-solving and training in statistical measures of quality control (Poole and Warner 1998:137).

2.3.5 Human resource processes

Human resource processes deal with exactly how all the other human resource activities are identified, formulated and implemented. Thus they are significant strategic human resource management and development activities. Human

resource processes vary along a continuum of extensive participation by all employees or no participation by any employees. Two continua could be used to differentiate between the formulation and the implementation stages of human resource management and development, for example high participation/involvement in formulation and implementation. However, it appears that there is a need for consistency across these two process dimensions (Poole and Warner 1998:137).

This need for consistency becomes evident across all the strategic human resource management and development activities. The need arises because all such activities influence individual behaviour. If they are not consistent with one another, that is, if they are not sending the same messages about what is expected and rewarded, it hardly provides a situation for the successful implementation of strategic institutional needs. Recognising this need for consistency is an important component. This need, along with an awareness of the other aspects of strategic human resource management and development, translates into a greater need to be systematic. Strategic human resource management and development therefore requires consistency and a systematic orientation (Poole and Warner 1998:137).

2.3.6 The goals of human resource management and development

According to Poole and Warner (1998:126), the very success of an organisation can certainly be regarded as an important goal of human resource management and development. It is a rather broad concept. Several specific goals contribute to this overall achievement of success and are important. The three general goals or purposes traditionally associated with human resource management and development are attracting applicants, retaining desirable employees, and motivating employees. Interestingly, another goal can be added, namely retraining employees.

The heightened attention paid to how an organisation manages its human resources is attributed to the recognition that effective management of human resources has a positive impact on the organisation's success and, ultimately, its survival. The term "human resource management" refers to the organisation's survival, growth, profitability, competitiveness and flexibility in adapting to changing conditions. Human resource management and development positively affects the bottom line through improving productivity; improving the quality of work life; and increasing the organisation's legal compliance flexibility. These are more specific goals of managing and developing human resources (Poole and Warner 1998:126).

2.3.7 The human resource approach

The emerging trend in human resource management is clearly towards the adoption of the *human resource approach,* through which organisations (in the case of this study, higher education institutions) benefit in two significant ways, namely an increase in organisational effectiveness and the satisfaction of goals and employees' needs. Rather than addressing organisational goals and employee needs as separate and exclusive, the human resource approach holds that organisational goals and human needs are mutual and compatible: One set need not be gained at the expense of the other (Grobler, Warnich, Carrell, Elbert and Hatfield 2002:8).

According to Grobler *et al.* (2002:8), the human resource approach is relatively new in the management of people. The term became popular in the 1970s as research in the behavioural sciences showed that managing people as resources rather than as factors of production, or as human beings who act solely on the basis of emotions, could result in real benefits to both the organisations and the employees. As important as the approach has become, the term "human resource approach" – like many other terms in management literature – is hard to clearly

define. Nonetheless, a number of principles provide the basis for a human resource approach:

- Employees are investments that will, if effectively managed and developed, provide long-term rewards to the organisation in the form of productivity.
- Policies, programmes and practices must be created that satisfy both the economic and the emotional needs of employees.
- A working environment must be created in which employees are encouraged to develop and utilise their skills to the maximum extent.
- Human resource programmes and practices must be implemented with the goal of balancing the needs and meeting the goal of both the organisation and the employees

(Grobler *et al.* 2002:8).

2.3.8 Strategic human resource management and development

In a fast-paced global economy, change is the norm. Environmental, social and technological change; the increased internalisation of organisation; and the long-term planning are risky, but essential. How do organisations make decisions about their future in this complex, rapidly changing world? This can be done through a process called *strategic management*. It involves making decisions that define the overall mission and objectives of the organisation; determining the most effective utilisation of its resources; as well as crafting and executing the strategy in ways that produce the intended results (Grobler *et al.* 2002:8).

A strategy is management's game plan. Without one, management would have no roadmap to follow and no action plan to produce desired results. Strategic human resource management and development activities (which gained popularity during the 1980s) address a wide variety of people issues relevant to the organisation strategy. Human resource management and development crosses all the

functional areas and is fully integrated with all the significant parts of the organisation, namely operations, marketing and finance. Lastly, the process is led and coordinated by top management (Grobler *et al.* 2002:12).

2.4 THE ROLES AND FUNCTIONS OF THE HUMAN RESOURCE MANAGEMENT AND DEVELOPMENT DEPARTMENT OF AN ORGANISATION

Human resource departments in effective organisations in highly competitive environments today must play many roles in the organisation. The more roles they play, the more likely it is that they will be effective in improving the organisation's productivity, enhancing the quality of work life in the organisation, complying with all the necessary laws and regulations related to managing human resources effectively, gaining competitive advantage, and enhancing workforce flexibility (Poole and Warner 1998:129).

According to Poole and Warner (1998:127) and Byars and Rue (2000:4), the activities performed by the human resource management and development department of an organisation include scanning and analysing the environment; planning for human resource needs; staffing the human resource needs of the organisation; appraising and managing employee behaviour; compensating employee behaviour; improving the work environment; and establishing and maintaining effective work relationships. Not all human resource departments of organisations currently perform all these activities, but the trend is clearly in that direction. Certainly they are performed in the most effective organisations in highly competitive environments today.   Furthermore, it is also necessary to ensure that all human resource management and development activities are effectively linked with the role of the organisation.

2.4.1 Scanning and analysing the environment

Increasingly, the success in managing human resources depends upon scanning and analysing the environment, both internal and external. A particularly important aspect of the external environment is the extensive set of legal considerations. These legal considerations affect virtually all human resource activities. Other aspects of the external environment that are important to scan and analyse include levels of domestic and international competition, workforce and demographic changes, and general economic and organisational trends. Important aspects of the internal environment include the strategy of the organisation, its technology, the goals and values of top management, the size of the organisation, its culture and its structure. Understanding these internal and external environments and scanning them constantly ensure that the needs of the organisation are being served and that the demands of the environment are being considered in human resource management and development decisions (Schuler and Huber 1993:32).

2.4.2   Planning for human resource needs

According to Gerber, Nel and Van Dyk, (1998:15-6), the human resource planning function of an organisation within the organisation framework refers to a number of functions carried out in order to achieve the goals of an organisation. Human resource planning involves two major components: planning and forecasting the organisation's short-term and long–term human resource requirements (the macro component), as well as analysing the jobs in the organisation to determine the skills and abilities needed (the micro component). These two components are essential if the other human resource management activities are to be performed effectively. They indicate the following: What types of employees (namely, what competencies) and how many of them are needed today, as well as tomorrow; how employees will be obtained (for example, from outside recruiting or by internal transfers and promotions); and the training and development programmes

the organisation may need. In fact, the aforementioned two components of planning can be viewed as the major factors influencing the staffing, training and development activities of the entire organisation (Poole and Warner 1998:128).

2.4.3 Staffing the organisation's human resource needs

Once the organisation's human resource needs have been determined, they are filled by means of staffing activities. The staffing activities include recruiting job candidates and selecting the most appropriate job applicants for the available jobs. Both activities must be carried out in accordance with legally mandated fair employment practices and with attention to how they can affect the overall direction of an organisation. The organisation must cast a wide net in recruiting potential employees in order to ensure a full and fair search for job candidates. After the candidates have been identified, they must be selected. Common procedures used in selection include obtaining completed application forms or resumes; interviewing the candidates; checking education, background, experience and references; and administering various forms of tests (Poole and Warner 1998:128).

Breauch (1992:4) defines staff recruitment as follows: "Employee recruitment involves those organisational activities that influence the number and/or the types of applicants who apply for a position and/or affect whether a job offer is acceptable." Furthermore, according to Robbins and Makerji (1990:407), recruitment reflects the process of locating, identifying and attracting suitable applicants. To a great degree, the effectiveness of an organisation depends on the effectiveness of its employees. Without a high-quality labour force, an organisation is destined to have mediocre performance. For this reason, the external recruitment of human resources is a critical human resource function. Recruiting and selecting a qualified labour force involves a variety of human resource activities, including analysis of the labour market, long-term planning, interviewing, and testing (Grobler *et al.* 2002:11).

Once employees are placed in their posts, it is important that they be introduced to the organisation, their tasks, superiors and co-workers. This process is known as induction, socialisation or orientation. Besides the recruitment of employees from outside the organisation, the internal movement of employees by means of promotions and transfers is also important (Grobler *et al.* 2002:11).

2.4.4 Appraising and managing employee behaviour

The performance of employees must be appraised and effectively managed. If employees are not doing well, it is necessary to diagnose the reasons. It may show that employee training is necessary or that some type of motivation should be provided, such as more rewards, feedback, or a redesigned job. All of this is often accomplished by the human resource department cooperating with line managers in gathering performance appraisal information and utilising performance appraisal information in managing employee performance (Poole and Warner 1998:128).

Not all employees are "good" ones. Some may be continually absent, some may be alcoholics, or some may be late for work all the time. With the rise of employee rights, the greater concern for social responsibility and the increasing cost of replacing employees, however, some organisations find it preferable to retain employees and improve their performance rather than dismiss them. This means that employees should be told when they are not doing well and offered help to improve. This can be referred to as the process of performance management. Performance appraisal, as a component of performance management, can also be helpful in identifying training needs and determining employee compensation (Poole and Warner 1998:128).

2.4.5 Compensating employee behaviour

Employees are generally rewarded on the basis of the value of the job, their personal contributions and their performance. Although providing rewards based on the level of performance can increase an employee's motivation to perform, rewards are often given only according to the value of the job. Other rewards (namely indirect fringe benefits) are provided just for being a member of the organisation. Compensating activities include administering direct compensation; providing performance-based pay; and administering indirect benefits (Poole and Warner 1998:128).

2.4.6 Improving the work environment

According to Gerber *et al.* (1998:491), one cannot solve problems by merely improving better staff selection or training techniques. The organisation must take into account both the nature of the job (technical system) and the nature of the people (the social system) the institution has.

According to Poole and Warner (1998:129) therefore, improving the work environment is a crucial activity of human resource management. As domestic and international competition increases, organisations have to improve their competitiveness. This may mean implementing organisation improvement programmes, the purposes of which are to train employees and provide management development opportunities; to raise the level of product of service quality; to enhance innovation; or to reduce cost. This may also mean redesigning jobs and improving communication with employees. All these programmes fall under the activity of organisational improvement. Making these programmes available to employees can result in more employee satisfaction and better retention rates. They can also ensure that the organisation has the necessary employee competencies and flexibility.

2.4.7 Establishing and maintaining effective work relationships

According to Stredwick (2000:197), an organisation will not operate effectively unless it has a stable and relatively harmonious relationship with its employees. Conflict and disaffection will (almost inevitably) lead, to high staff turnover, poor attendance, lack of involvement, and other indicators of poor performance. This function is therefore composed of the following sets of activities: Respecting employee rights; providing a safe and healthy workplace; understanding the reasons and methods used by employees when organising; and bargaining and setting grievances with employees and the organisations representing them.

A crucial activity here is improving the physical and socio-psychological workplace to maximise employee safety and health. Failure to improve conditions for health and safety can be illegal and very costly. Increasingly, employees are gaining more rights. Consequently, employment decisions such as dismissals, layoffs and demotions must be made with care and evidence provided. It is important that the managers of the organisation be aware of all employee rights. The human resource manager is in an excellent position to inform line managers of these rights (Stredwick 2000:197).

This function of the human resources department is particularly important for organisations with employees belonging to unions. Unions can for example, be instrumental in developing new programmes for the improvement of human resources (which results from joint union-management programmes) (Poole and Warner 1998:129).

2.4.8 Linking human resource management and development to the role of the organisation

Traditionally, many human resource departments had a relatively limited involvement in the total organisation's affairs and goals. Human resource

management and development was often concerned only with making staffing plans or programmes. Consequently, human resource management and development was concerned only with the short-term, operational and managerial – perhaps day-to-day – human resource needs (Poole and Warner 1998:129).

With the growing importance of human resource management and development to the success of the institution, human resource management and development departments are becoming more involved in the organisation and establishing a partnership with management in their organisations. Human resource managers get to know the needs of the organisation, where it is going, where it should be going, and are helping it to get there. As a consequence, human resource management and development departments are nowadays playing many roles-linking human resource management to the organisational role is one of the latest and most important of these (Poole and Warner 1998:130).

2.5   SUMMARY AND CONCLUDING REMARKS

Human resource management and development is aimed at constantly enabling employees and their employing organisations to be in agreement, as far as possible, about the nature of their working relationships and their reciprocal expectations, as well as at ensuring that these agreements are fulfilled as far as possible. Human resource management and development is based on the belief that employee commitment to an organisational success is largely dependent on the employees` perception of the extent to which their own needs and personal objectives will be met through their continuous commitment to the success of the organisation. Only human resource management and development practices which are underscored by this belief of the reciprocal dependence between employee and employing organisation (for organisational success on the one hand and individual success and happiness on the other) can hope to achieve an optimal fit or match between employees and organisations by means of a wide spectrum of

typical human resource management and development activities and functions (Swanepoel *et al.* 2000:17).

This chapter has provided a background to a research in as far as human resource management and development is concerned. For institutions to perform well, the human resource management and development, unit/department/function is a very important issue in educational management in a higher education. Academic staff members should be managed in a human and effective way so that knowledge, motivation and skills should on the one hand not be lost, and morale of the staff should on the other hand also be kept high. The study highlighted the fact that the importance of effective human resource management and development could be employed in institutions.

The next chapter, Chapter 3, will be the second of the two review chapters in which performance management of staff will be discussed. It starts by explaining what performance management of staff is; moreover it shows how performance management and the human resource management and development are related.

CHAPTER 3

PERFORMANCE MANAGEMENT OF STAFF

3.1   INTRODUCTION

According to Bacal (1999:4), performance management is an ongoing communication process undertaken in partnership between an employee and the management of an organisation. It involves establishing clear expectations and understanding about jobs to be done. A performance management system (PMS) is intended to add value to the organisation, management and staff. Performance management, therefore, is a process that significantly affects organisational success by having the management and employees work together to set expectations, review results as well as reward performance (Mondy, Noe and Premeaux 2002:282).

3.2   WHAT IS PERFORMANCE MANAGEMENT?

According to Armstrong (2001:469), performance management is a means of getting better results from the organisation, teams and individuals by understanding and managing performance within an agreed framework of planned goals, standards and competence requirements. It is a process for establishing shared understanding about what is to be achieved, as well as an approach to managing and developing people. Performance management aims primarily at the individual or work group level, the ultimate purpose of which is to improve organisational effectiveness. Performance appraisal is a process at the centre of performance management. The new systems approach, however, means that individual or group performance is being assessed based on an "organisational purpose" perspective. In addition, assessment information is extended to multiple

uses such as employee feedback, promotions, succession planning, terminations, and compensation (Smither 1998:4-5).

According to McLagan (1994:23), performance management (PM) has many meanings to different people. To some people it is linked to evaluation, pay and promotion. To others it is a means of bringing rationality and order to individual work. Still others see it as the entire management system of an organisation. Performance management is an integral part of an effective human resource management and development strategy; it is an ongoing process in which the employee and the employer together strive constantly to improve the employee's individual performance and his or her contribution to the wider objectives of the organisation (RSA DoPSA 1997:42; Van der Westhuizen and Maharasoa 2004:48). According to Herholdt and Ungerer (2000:2), the emphasis in most performance management schemes is on helping individuals to improve their performance in their present jobs. Performance management implies that that potential is identified and developed.

3.2.1 The relation of performance management to human resource management and development and performance appraisal

The quality of institutional outcomes depends fundamentally on the work of staff, individually and collectively. Systematic performance management procedures are generally assumed to comprise an important part of quality management and development in higher education institutions. Past approaches to performance appraisal and/or performance management in higher education have had limited and confused purposes and their contribution to enhanced institutional performance and quality has been minimal. In some cases, the impact has been negative. For performance management to be relevant to the management and development of quality in the twenty-first century, the spotlight needs to fall on the manner in which organisational units are managed and led, on the nurturing of teams, as well as on the management of individual performance. A shift in

emphasis from management to leadership will be required so that performance management becomes a central element in the leadership of change and provision of transformational leadership (Lonsdale 1998:1).

According to Lewis and Smith (1994:86), quality is fundamentally dependent on the work of individuals; the energy, commitment, competence and the performance of everyone in the organisation determine the quality of an institution and its outcomes. Management plays a central role in shaping organisational culture-both at the institutional level and within organisational units-in as far as motivation, creativity, innovative behaviour and teamwork are concerned.

In most of the developed and many developing countries, the application of performance management activities has become widespread practice in as far as the institutions are concerned from the early nineties. Accountability and an overall improvement of research, teaching, and service to the community are common goals of performance management. At institutional level the issues of performance management and accountability are addressed mainly through criteria for efficiency and effectiveness (Mapesela and Strydom 2004:1-2).

An organisation is judged by its performance. In the private sector, performance is measured mainly by its profits and the growth in value of its shares; in the public sector, measures are more controversial but sets of various performance indicators in health, education and other public services give a general overall view of how well the organisation is performing in comparison to its peers (Stredwick 2000:236).

In recent years there have been strong signs that a new approach is spreading which focuses much more on the whole performance management system rather than on appraisal as a single activity. Appraisal can too often be regarded as a once a year ritual, whereas performance management is a total organisational system, built into all human resource activities-recruitment training, reward and

relations. Performance management is more concerned with looking to the future, to improvements, challenges and opportunities. Performance management is a continuous process, integrated totally with the way the organisation is run (Stredwick 2000:236).

While performance appraisal systems are often no more than a system of measurement (that is, specific form together with certain written rules and procedures controlling its use), the concept of performance management signifies an attempt to entrench performance appraisal as a legitimate and integral part of a manager's job of getting subordinates effectively to achieve the results and goals expected of them. Swan (1991:11) expresses this idea as follows:

Performance management (PM) means more than assessing an employee's performance at regular intervals (i.e. performance appraisal). It unites a number of related tasks: monitoring, coaching, giving feedback, gathering information, and yet assessing an employee's work. It accomplishes those tasks in the context of objectives – the immediate objectives of the department and the overall goals of the organisation. And it carries them out automatically, throughout the year. For different organisations the actual means may differ, but regardless of the procedures used to implement it, the basic strategy is the same and the benefits are the same.

The same idea is expressed by Marshall (2000:184) as follows:

The concept of performance management is a more broadly framed and integrative view of performance appraisal, where performance ratings are de-emphasised, relative to the planning, reviewing, allocating of resources, and problem solving aspects of that process. In performance management, appraisal is acknowledged as one of several planning and accountability systems in an organisation. Many of the outcomes of appraisal feedback within performance management are critical to ongoing strategic planning, as well as departmental

business and objective setting. The outcomes of feedback provide further opportunity to identify programmes and functions to be corporate in plan. Performance management, therefore, is a process of management behaviour and an organisational intervention strategy.

3.2.2 The need for performance management

Performance management is conducted to assist individual members of staff in the development of their careers; to improve staff performance; to identify changes to the institution which will enable individuals to improve their performance; to identify and develop potential for promotion; and to improve the efficiency and effectiveness with which the institution is managed (Van der Westhuizen and Maharasoa 2004:53).

According to Stredwick (2000:237), organisations exist in an increasingly competitive environment. It therefore becomes more and more important for employees (academic staff) to have clear guidance and direction towards the organisation's aims and objectives. The performance management system sets out to communicate the link between an organisation's mission and strategic direction and the required employee performance. Performance management also acts as a measure of the effectiveness or efficacy of the workforce. Organisational plans can be shared; appraisal discussions can be frank within a realistic context; and means of improving performance can be encouraged and openly evaluated.

Moreover, Stredwick (2000:238) states that employees always have a higher motivation towards goals with which they agree or have had some input. The performance management system provides the opportunity for employees (lecturers) to have a voice in the process through the individual performance plan.

Gerber, Nel and Van Dyk (1998:3) rightfully say that labour (human resource) is the only resource in an organisation, in this case the institution, that reacts when

acted upon. This means that, with the exception of human resources, all the resources of an organisation are static.

Swanepoel *et al.* (2000:405) state that, on a daily basis, management and supervisors ought to continuously assess, and on an informal basis, how well their subordinates are doing their work. Such informal assessment enables the management or supervisors to make the necessary decisions regarding the most effective utilisation of staff, motivating those who perform well and rectifying substandard performance.

Furthermore, appraisal - which usually results in an overall impression of worker efficiency and effectiveness - often operates satisfactorily in small organisations where the management knows and interacts with all employees. However, even though it may be argued that effective supervisors continually provide informal feedback to their subordinates, the information generated through an unsystematic, informal evaluation has limited value for making valid justifiable human resource management development decisions in a large organisational context. Moreover, in such a context, accurate performance data obtained through standard processes are required for activities such as workforce planning, training and development, compensation, career development and succession planning. Most organisations therefore have a need for a formal performance appraisal system, even though appraisal is typically the one managerial activity that generates the least enthusiasm in the process (Travaglinoe and Marshall 2000:182). It is in the areas of the development, implementation, maintenance and use of such systems that the human resource specialist has to play a leading role (Swanepoel *et al.* 2000:405).

3.2.3 The process of performance management

Spangenberg (1994:29) describes performance management as: "an approach to managing people that entails planning employee performance, facilitating the

achievements of work-related goals, and reviewing performance as a way of motivating employees to achieve their full potential in line with the organisation's objectives."

According to Swanepoel *et al.* (2000:410), the theoretical foundations of performance management approach may be operationalised within an integrated cycle of separate but related managerial processes. Performance management is often treated as if it were just a matter between management and the individuals reporting, but it can also enhance teamwork by asking teams to identify interdependencies, set team objectives and by getting their members jointly to review progress in achieving them. Setting overlapping objectives for different members of a team can also enhance teamwork as shown by Armstrong's diagram as depicted in Figure 3.1.

Figure 3.1: The performance management circle
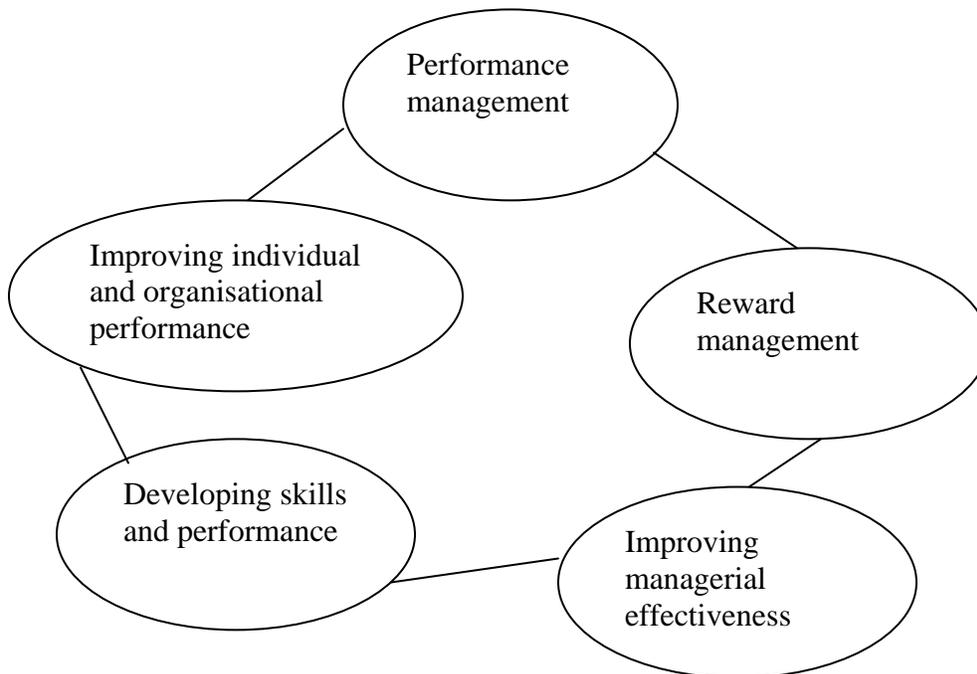
Source: (Armstrong 1994:27)

According to Nel, Gerber, Van Dyk, Haasbroek, Schultz, Sono and Werner (2001:530), performance management is a process for strategy implementation, a vehicle for cultural change. Performance management is a method of helping employees and management to deliver lasting improvement. It does this by ensuring that individuals, teams, and –ultimately-the organisation, know what they should be doing; how they should be doing it; and take responsibility for what they achieve. Performance management is about placing emphasis on managing, supporting and developing staff at all levels within the organisation. An integral part of this is the need to monitor performance, reward staff who perform well, and challenge those who do not. For performance management to work well, it is crucial that senior management is able to communicate effectively across the organisation and ensure that employees fully understand the management's key corporate objectives and the reasons behind them.

3.2.4 Requisites, conditions and guidelines for effective performance management

According to Herholdt and Ungerer (2000:3), the success of a performance management system can be ensured by focussing on the following goals:

- Outputs (results) from individual team members and their teams need to improve all the time.
- The alignment of individual and team goals with the strategic goals of the organisation. If people are aware of the organisations' strategic direction and understand how they can contribute to achieving them, they integrate their own and their teams' goals and objectives with the organisations' goals.
- Individuals and teams need to be developed to their own advantage as well as to that of the organisation.

- The organisation's values and culture need to be supported and promoted by all performance management activities to enable people in their daily work practices.
- The skills, personality and behaviour of all employees must be directed towards outputs that they are best suited for.
- The information obtained must be useful for processes such as remuneration, training, development and succession planning.
- The process must conform to all legal requirements.

Herholdt and Ungerer (2000:5) also mention the following points that are important to consider:

- Team members should know what they are expected to do, because they will work more effectively and with greater enthusiasm.
- Individuals and teams must know what outputs (results) should be produced. These outputs must add value to the organisation's product or service. There should also be clarity about the quality (and standards) required.
- When people are involved in deciding what they have to achieve, the outputs excite them and are usually meaningful to them. This will motivate them and help focus their energy.
- Performance should have consequences. In other words, good performance should be rewarded appropriately and poor performance not.

According to Van der Westhuizen and Maharasoa (2004:49-50), performance management has a number of requisites, which are outlined below. Performance management must have the following characteristics:

- *It must be results-oriented:* The primary focus of the human resource management and development framework is the attainment of results. In order for institutions to realise expected outcomes, work plans should be

collaboratively developed by the employee and the employer. These work plans, which should specify clear timeframes, should form the basis of the employee's performance appraisal.

- *It should address training and development:* Following performance appraisal, the employee's training and development needs are identified. These should be fortified by a well-designed and clearly stipulated development plan, bearing in mind that the intention is to improve the performance of the employee concerned.

- *It should reward good performance:* The value of acknowledging outstanding employee performance cannot be overemphasised. The White Paper proposes monetary rewards as a form of performance-related pay.

- *It should manage poor performance:* Lack of synchronisation between output and expected results equals poor performance. The undemocratic, traditional way of dealing with poor performance involves "booting" the underachieving staff member out of the organisation. However, labour practices now call for the management of poor performance. Enquiries into possible causes for the poor performance are followed by a clearly articulated improvement plan. Dismissals are not recommended, but considered as a last resort.

- *It should be open, fair and objective*: Transparency and objectivity are the order of the day for most transformation ventures. Honest and clearly articulated observations about the staff member's performance emerge as features aiding the process of performance management. Employer/employee objectivity has the potential for enabling improvement, while the lack of objectivity could manifest in grievances and disagreements.

Smither (1998:6) states that the effects of performance management systems could be more positive if and when certain prescriptions that have generally not been heeded by practitioners are followed.

These prescriptions are:

- Strive for as much precision in defining and measuring performance dimensions as is feasible. Define performance with a focus on valued outcomes. Outcome measures can be defined in terms of relative frequencies of behaviour. Prescription applies regardless of corporate strategy. Define performance dimensions by combining functions with aspects of value (that is, quantity, timeliness, cost-effectiveness, the need for supervision, or interpersonal impact). Incorporate the measurement of contextual performance into the performance management system.

- Link performance dimensions to meeting internal and external customer requirements. Internal customer definitions of performance should be linked to external customer satisfaction.

- Incorporate the measurement of situational constraints into the performance management system.

- Focus attention on perceived constraints on performance through self- and supervisory rating process.

Harrison (1993:253) asserts that a performance management system can only be defined as being in operation when the following conditions are met by the institution:

- It communicates a vision of its objectives to all employees.
- It sets departmental and individual performance targets which are related to wider objectives.
- It conducts a formal review of progress towards these targets.
- It evaluates the whole process in order to improve effectiveness.

Harrison (1993:254) also states that performance management focusses very much on the future. A major contribution of performance management is to place great emphasis on:

- Setting key accountability.
- Agreeing on future objectives in each of these key accountability areas.
- Agreeing on measures and standards to be attained.
- Assigning timescale and priorities.

3.2.5 Performance management and teams

A particular trend in the 1990s that has had a major influence on jobs has been the introduction of teams in organisations. The best practices benchmarking studies in the South African context appear to indicate that team-based structuring is set to remain a key element of the "organisation of the future" (Swanepoel *et al.* 2000:429).

Common purpose and approach and mutual accountability are typical elements distinguishing team orientations from traditional individually-oriented effectiveness criteria. Naturally, such a shift in desired new outputs and behaviours needs to be appropriately reflected in the design of performance management systems. Robbins (2001:269-271) highlights the problem of individual resistance in this process. Good performance as a team member may rather include aspects such as the ability to communicate openly and honestly, the ability to confront differences and resolve conflicts; the capacity to sublimate personal goals for the good of the team; and emphasising cooperation rather than competition (Swanepoel *et al.* 2000:429).

Performance dimensions to be reflected in and appraisal instruments focussed on teams may therefore be deduced from the conceptualisation of team effectiveness as proposed by Sundstrom and McIntyre (in Ancona, Kochan, Scully, Van Maanen

and Westney 1999:37). According to them, team effectiveness comprises four components:

- *Performance*: How well team members produce output, measured in terms of quality, quantity, timeliness, efficiency and innovation.
- *Member satisfaction*: How well team members create a positive experience through commitment, trust and meeting individual needs.
- *Team learning*: How well team members acquire new skills, perspectives and behaviours as needed by changing circumstances.
- *Outsider satisfaction*: How well team members meet the needs of outside stakeholders such as suppliers and customers.

3.2.6 The link between performance and development

The appraisal and development process is an essential element in the ongoing process of performance management. The link between performance and development has always been a central part of the scheme and hence conducting a review of performance is an essential part of the process. According to Armstrong (2001:470), this will involve:

- Reviewing past performance.
- Recognising an individual's achievements and contributions.
- Identifying an individual's strengths and weaknesses.
- Setting feasible performance objectives.
- Planning staff development and improvements in performance within the framework of organisational needs.
- Continuous feedback.
- Management that is open and honest and encourages two-way communication between the supervisors and the subordinates.

3.3   PROBLEMS ASSOCIATED WITH PERFORMANCE MANAGEMENT

Performance management has a major role to play in today's organisations. But, in the form practised in most organisations, performance management is in trouble. Some experts have gone as far as advising that it should be abandoned altogether. It is therefore obvious that organisations need to re-educate, design and actively use performance management processes that are appropriate to the changing times. Many of the organisation's and individual's most pressing needs for change require, and will benefit from taking a new approach (McLagan 1994:25).

McLagan (1994:23) alleges that the beleaguered legacy of performance management has left most organisations with:

- Low trust due to poor management and erosion of self-esteem.
- Downward pressure on performance due to a reluctance to set challenging goals.
- Reduced willingness to communicate errors or problems.
- Reduced incentives to work as a team.

According to Middlewood and Lumby (in Mapesela and Strydom 2004:14), the reason why performance management is seen as problematic in higher education is often linked to the following issues:

- It provides unsustainable expense in financial and human terms.
- It tends to be bureaucratic with a great deal of paperwork.
- It leads to a lengthy delay between identification of needs and interventions.
- It offers solutions, which work in simulated situations but are difficult to apply in the academia as workplace.

- It threatens the relationship between the line manager and the managed.
- It is reliant on the perceived expertise of staff developers who are not easily accepted by academics.

McLagan (1994:23) states that the corruption of performance over time requires a change in the way organisations manage the performance of people. But there is another, perhaps more compelling reason why performance management is problematic: The needs of organisations have changed. Flexibility, quality, external focus, innovation and continuous improvement, waste elimination, global awareness and competitiveness are among the key success factors for organisations today. Underlying all these is a new view of people as being the key to achieving organisational goals. Before new methods can be designed for managing people, some major issues need to be considered. These include:

- The role of organisation processes in determining performance.
- The need for constant attention in nurturing processes that are installed.
- The need for intrinsic rewards from challenging work, meaningful influence and accountability.
- The need to manage entropy and chaos by ensuring that people within organisations share values and goals.
- The need to develop a culture of trust and development in providing the environment with effective performance management

(McLagan 1994:23).

3.4 THE BENEFITS OF PERFORMANCE MANAGEMENT FOR STAFF AND SUPERVISORS

The benefits of performance management are vast. Since much attention will be paid to the benefits of performance appraisal in the next chapter, it suffices to

only mention a few benefits of performance management for staff and supervisors here. Mullins (1993:585) states that, for the individual staff member and the supervisor, participation in performance management provides an opportunity to achieve the following:

- Reinforce links between the goals, values and the contributions made by individual staff members.
- Clarify expectations of roles and responsibilities.
- Discuss work-related issues and develop solutions.
- Formally review performance and achievement of agreed goals and objectives.
- Provide two-way, face-to-face feedback.
- Link individual performance to broader strategic plans and key objectives.
- Discuss goals and objectives and career development.
- Recognise good performance and achievements.
- Convey the message that staff is valued.
- Identify training and development needs.
- Focus on coaching and supporting development of staff.

3.5   SUMMARY AND CONCLUDING REMARKS

If performance management is a process done in partnership with staff, management needs to address how it benefits staff members. After all, it is hardly realistic to expect employees to participate in a partnership if there are no payoffs for them. Performance management helps employees understand what they should be doing and why; it gives employees a degree of empowerment - the ability to make day-to-day decisions. Finally, a critical part of performance management is figuring out how to improve performance, even if there are no current performance problems. This provides an opportunity to help employees develop new skills and is more likely to identify barriers to better performance,

such as inadequate resources. Employees benefit from better understanding their jobs and their job responsibilities. If they know their limits, they can act more freely within parameters (Bacal 1995:7-8).

This chapter has provided a background to a research whereby the relationship of performance management and human resource management and development is concerned. The study highlighted the importance of performance management as a process done in partnership with staff so that the staff know what to do and when to do it.

The next chapter, Chapter 4, will be the third of the two review chapters in which the performance appraisal of staff in higher education will be discussed. It starts by explaining what performance appraisal of staff is and, moreover, it shows how performance management and the human resource management and development are related. It also shows the different types of appraisal systems that can be employed in institutions.

CHAPTER 4

PERFORMANCE APPRAISAL OF ACADEMIC STAFF IN HIGHER EDUCATION

4.1   INTRODUCTION

In the context of this study performance appraisal or staff appraisal refers to a formal process of periodic review and judgement of an individual staff member's or a team's job performance. While performance of teams should also be evaluated, the focus of performance appraisal in most organisations remains on the individual employee. Regardless of the emphasis, an effective system assesses accomplishments and evolves plans for development. An appraisal system must be designed and implemented in a way to maintain and build employees' self-esteem. Performance appraisal system that results in brutally frank descriptions of performance, may demotivate employees. On the other hand, ignoring deficiencies in performance may hinder an individual's opportunity to improve and achieve his/her potential (Mondy, Noe and Premeaux 1999:336).

4.2   WHAT IS PERFORMANCE APPRAISAL?

According to Mondy, Noe and Premeaux (2002:279), performance appraisal is the ongoing process of evaluating and managing both the behaviour of staff members and the corresponding outcomes in the workplace. Organisations use various terms to describe this process, for example "performance review", "annual appraisal", "performance evaluation", "employee evaluation", "staff appraisal" and "merit evaluation" . According to Gerber *et al. (*1998:169), performance appraisal provides the opportunity for the institution to evaluate and take stock of its human resources. It also provides information so that important decisions can be taken and gives feedback for the further development of staff. It gives management the

opportunity for communication with staff; to clarity expectations; and to take part in the development of each staff member.

The institution's ability to use appraisal to develop and motivate employees is a core management skill. Regular, constructive feedback on performance is vital if members of staff are to build on their strengths, achieve their full potential, and make the maximum contribution to their organisation. Appraising academic staff equips the academic staff and management with all the skills and techniques needed to conduct successful appraisals. An appraisal system should help the academic staff to build confidence and deal with performance problems (Langdon and Osborne 2001:5).

The world of education is much concerned with the idea of appraisal. Organisations in further and higher education sectors are beginning to take the idea seriously, although it is the work organisations sector, which has so far attracted most attention. The world of teaching and of lecturer education is undergoing radical change. The importance of appraisal in this context should not be underestimated. It is widely seen as a way in which performance in the classroom may be judged and poor lecturers given remediation to help them improve (Blake and Jacque 1990:32).

According to Cenzo and Robbins (1996:322) a generation ago appraisal programmes tended to emphasise employee traits, deficiencies, and abilities, but modern philosophy also stresses employee participation in mutually setting goals with the supervisor. Thus the three hallmarks of modern appraisal philosophy are performance orientation, the focus on goals or objectives, and mutual goal-setting between the supervisor and the employee. The underlying philosophy behind mutual setting of goals is that people will work harder for goals or objectives that they have participated in setting. Two decades ago appraisal was designed primarily to tell employees how they had done over a period of time and to let them know what pay increase they would be receiving. Contrary to that,

currently there are other reasons for appraisal. Appraisal should specifically evaluate and also address development and documentation.

Performance is the outcome of work activities and must also be subject to measurement. In the course of their daily managerial activities, supervisors and management ought to continuously assess on an informal basis how well their subordinates are doing their work. Such informal assessment enables the individual to make the necessary decisions regarding the most effective utilisation of staff, to motivate those who perform well, and to rectify substandard performance. Performance management is often a source of dissatisfaction within organisations. Normal curves in performance reviews guarantee that most people are rated average or below. This has a demotivating effect on employees (McLagan 1994:23).

An appraisal system, which usually results in an overall impression of employees' effectiveness, often operates satisfactorily in small organisations where the management knows and interacts with all employees. However, even though it may be argued that effective supervisors continually provide informal feedback to their subordinates (Robbins 1995:229), the information generated through an unsystematic, informal evaluation has limited value for making valid and justifiable human resource management decisions in a large organisational context. In such a context accurate performance data obtained through true standard processes is required for activities such as workforce planning, training and development, compensation, career development, and succession planning. Most organisations therefore have a need for a formal performance appraisal system and it is in the areas of development, implementation, maintenance and utilisation of such systems that the human resources specialist has to play a leading role (Robbins 1995:229).

According to Langdon and Osborne (2001:6), regular feedback develops staff and helps them to achieve their objectives. One has to create an environment in which

people welcome continuous feedback and use the appraisal interview as a formal round-up of these ongoing, informal reviews.

According to Collins (1992:41), performance appraisal, more commonly embedded in performance management, can be effective, in spite of its intrinsic hazards and the increasing complexities of our environment. The characteristics which have been able to make it effective in the past still apply namely:

- Keep the system simple and flexible.
- Train managers and their subordinates thoroughly.
- Manage it on principles of openness and honesty.
- Make it part of the corporate culture and reward system.

Appraisal held on a regular basis with team members is a culmination of continuous informal feedback. If ongoing feedback has been effective, formal meetings will not contain any surprises for appraisees and the atmosphere should be positive. There are two parts to formal appraisal, namely the performance review and the developmental review. The performance review enables management to gain agreement from an employee on how well he/she has done in achieving objectives, as well as in developing skills and knowledge, during the period under review. The developmental review is aimed at pinpointing what needs to be done in future to sustain achievement or meet new objectives. This part of the appraisal helps to continuously improve employees' capabilities and prepare them to take on more responsibility (Langdon and Osborne 2001:7).

Appraisal of academic staff expects that a particular process to lead to particular outcomes. Assessment and appraisal have to be seen in the context of the accountability movement where the institutions are expected to ensure efficiency and effectiveness (Moses 1996:80). For assessment, normally all academic functions are assessed. "Objective" criteria are used against explicit expectations of what an academic in a particular discipline at a particular level of appointment

should be achieving and researching. Academic staff is compared in their level of performance against both "objective" standards and the performance of their colleagues (Moses 1996:81). The appraisal process is usually formal and in line with equal opportunity legislation. A formal application, often following a prescribed format, is used in many universities, followed by an interview which addresses the explicit and public criteria, for example for promotion or tenure (Moses 1996:85).

All the attention paid to performance appraisal in general bears testimony to its potentially pivotal role in influencing organisational performance and effectiveness. Thus it is unfortunate that neither concern about nor passion for subject matter can be directly translated into operational recommendations that are guaranteed to succeed. Central to this perspective is the view that the most effective performance management systems recognise that appraisal is not an end in itself; rather, it is a critical component of a much broader set of human resource practices that should be clearly linked to business performance, personal and organisational development, and corporate strategy and culture (Smither 1998:7).

Performance management, a broader term than performance appraisal, became popular in the 1980s as total quality management (TQM) programmes emphasised using all the management tools, including performance appraisal, to ensure achievement of performance goals. Tools such as reward systems, job design, leadership and training should join performance appraisal as part of a comprehensive approach to performance management (Grobler *et al.* 2002:260).

4.2.1 The need for a performance appraisal system

According to Mullins (1993:584), one way to review the performance and potential of staff is through a system of performance appraisal. It is important that members of the staff know exactly what is expected of them, as well as the yardsticks by which their performance and results will be measured. A formalised

and systematic appraisal scheme will enable a regular assessment of the individual's performance, highlight potential, and identify training and development needs. Most importantly, an effective scheme can improve the future performance of staff. The appraisal scheme can also form the basis of a review of financial rewards and planned career progression.

Performance appraisal is therefore a crucial activity of the personnel function and the management and development of human resources. A comprehensive appraisal system can provide the basis for key managerial decisions such as relating to, for instance, allocation of duties and responsibility, pay, delegation, level of supervision, promotions, training and development needs (Mullins 1993:584).

4.2.2 The role of performance appraisal within performance management as a function of human resource management and development

Performance appraisal (PA) is a formal and systematic process, by means of which the job-relevant strengths and weaknesses of employees are identified, observed, measured, recorded and developed. Performance appraisal provides the opportunity for the organisation to evaluate and take stock of its human resources. It provides information so that important decisions can be taken and gives feedback for further development of staff. It gives management the opportunity for communication with staff; to clarify expectations; and to take part in the development of each staff member. For the employer it gives the opportunity to discuss with the employees their performance and career goals for the future (Doris 1994:161).

According to Baird (1992:143-144), performance appraisal is the process of identifying, measuring and developing human performance. Performance appraisal must not only accurately measure how well an employee is performing a job, but

there should be mechanisms for reinforcing strengths, identifying deficiency and feeding such information back to employees so that they can improve future performance. Furthermore, Cascio (1995:275) sees performance appraisal as the systematic description of the job-relevance strengths and weaknesses of an individual or a group. Of all the activities in the human resources management and development cycle, performance appraisal is arguably the most contentious and least popular among those who are involved.

The above definition captures the essential components of what the process of performance appraisal should ideally entail (Cardy and Dobbin 1994:2). These components can be summarised as follows:

- *Identification* refers to the determination of the performance dimensions to be examined.
- *Observation* indicates that all appraisal aspects should be observed sufficiently for accurate and fair judgements to be made.
- *Measurement* refers to the appraiser's translation of the observations into value judgements about the appraisee's performance.
- *Recording* concerns the documentation of the performance appraisal process outcomes.
- The *development* component indicates that appraisal is not simply an assessment of the past, but that it should also focus on the future and on the improvement of individual performance

(Gomez-Mejia, Balkin and Cardy 2001:225).

According to Swanepoel *et al.* (2000:406), performance appraisal finds its true definition only by its application, or the purpose it serves in the attainment of organisational goals. In establishing the role of performance appraisal within human resource management and development, management needs to consider the typical purposes for which appraisals can be used and the relationships that

may exist between the appraisal system and other human resource management factions in an organisation.

Since performance of individual employees primarily determines the attainment of the goals and objectives of an organisation, the measurement or appraisal of performance rightfully deserves a central position in any human resource management and development programme. Performance appraisal, (often referred to as performance evaluation, merit rating, staff appraisal or performance review, etc.), is also the human resources function most often criticised and whose systems carry the greatest risk of either failing, falling into disuse or degenerating towards a meaningless, paperwork exercise (Swanepoel *et al.* 2000:406).

**Figure 4.1: Swanepoel's model of performance appraisal and
performance management**

Rewards

Enabling equitable
allocation of rewards

Selecting and
placing good
performers

Allocating
rewards to
motivate
performanc

Decision making
for administrative
purposes
Decision making
for
developmental
process

Selection
Placements

Performance

Appraisal

Differentiates
levels of
performance and
predicts
development
potential

Training and

development to

improve

Training
Development
Career planning

Development to
prepare for future
placement in new
jobs

(Swanepoel *et al.* 2000:406).

Figure 4.1 shows a model of performance appraisal in human resource
management and development that could be used by institutions. The model
shows that, for good performance, there are rewards for motivational purposes.
For poor performance, training for development is essential. The model also shows
a shift in emphasis from performance appraisal to performance management
(Swanepoel *et al.* 2000:408).

According to Spangenberg (1994:29), performance management can be regarded as an ongoing process that involves the planning, managing, reviewing, rewarding and development of performance, as illustrated in Figure 4.2.

Figure 4.2: Spangenberg's model of performance appraisal and performance management

Performance planning
- Setting unit's mission
- Defining roles and duties
- Establishing goals and performance standards

Performance managing
Ongoing process of:
- Maintaining progress
- Feedback
- Counselling

Performance appraisal
Appraising performance outputs against expectations

HR department application
(System linkages)
- Reward processes
- Training and development
- Succession planning
- Disciplinary procedures
- Reviewing and maintaining appraisal system and process

(Spangenberg 1994:24)

Figure 4.2 shows a model of performance management which puts emphasis on planning processes, performance management, performance appraisal, and system linkage to reward processes, training and developmental needs and reviewing and maintaining the appraisal system and process (Swanepoel *et al.* 2000:409).

4.3   THE PURPOSES AND OBJECTIVES OF PERFORMANCE APPRAISAL

On the one hand performance appraisal provides information to support other human resources activities, while on the other hand it serves as a communication channel between the employer and the employee through which clarity is obtained with regard to what exactly each party expects of the other (Gerber *et al.* 1998:171). Many uses and purposes of performance appraisal have been advanced, but generally these can be categorised under the headings of administrative purposes and development purposes.

The question that arises is: Why should management use performance appraisal if, indeed, they are often considered unpleasant and time-consuming processes? There are several important purposes of a performance appraisal that cannot be achieved by any other means. Performance appraisal is a key element in the use and development of an organisation's most vital resource – its employees. Appraisal is used for a wide range of administrative purposes such as making decisions about pay, promotion and retention. Effective appraisals can also significantly contribute to the satisfaction and motivation of employees - if they are used correctly (Grobler *et al.* 2002:263).

The purposes of appraisal, naturally, are to provide information about work performance. This information, again, can serve a variety of purposes, which can generally be categorised under the two main headings of administrative purposes and developmental purposes (Gomez-Mejia *et al.* 2001:226).

4.3.1 Administrative and evaluative purposes

As far as employees are concerned, one of the primary purposes of performance appraisal is looking at past performance. The most common decisions based on evaluative objectives concern compensation, which includes merit increases, employees' bonuses and other increases in pay. Thus, the term "merit review", or "merit evaluation" can be found in an organisation using performance appraisal to determine pay increases. PA normally has a two-part effect on future pay. In the short run, it may determine merit increases for the following years; in the long run, it may determine which employees are promoted (Grobler *et al.* 2002:266).

Administrative purposes concern the use of performance data as bases for personnel decision-making, including the following aspects:

- *Human resource planning*, for example compiling skills inventories, obtaining information regarding new positions to be created, and developing succession plans.
- *Reward decisions*, including salary or wage increases and/or merit bonuses (or the withholding thereof).
- *Placement decisions* such as promotions, transfers, dismissals and retrenchments.
- *Personnel research*, for example validating selection procedures by using appraisals and criteria or evaluating the effectiveness of training programmes

(Graham and Bennett 1993:233).

4.3.2   Developmental objectives

The second type of objective of performance appraisal - developmental objectives – encompasses developing employee skills and motivation for future performance. Performance feedback is a primary developmental need because almost all

employees want to know how their supervisors feel about their performance. Their motivation to improve their current performance increases when they receive feedback that specifies goals, which in turn enhances future career moves. Developmental performance appraisal is mainly focused on employees' direction for future performance. Such feedback recognises strengths and weaknesses in past performance and determines what direction employees should take to improve. It is important that employees should want to know specifically how they can improve. Because performance appraisal is designed to cope with the problem of poor employee performance, they should be designed to develop better employees (Grobler *et al*. 2002:266).

The results of appraisal influence decisions about the training and development of employees. Below average evaluations may signal areas of employee behaviour that may be strengthened through on- and away-from-the job training. Not all performance deficiencies may of course be overcome through training and development (Grobler *et al*. 2002:266).

Developmental purposes of performance appraisal can focus on developmental functions at the individual as well as the organisational level. For example, appraisals can serve individual development purposes by:

- providing employees with *feedback* on their strengths and weaknesses and on how to improve future performance;
- aiding *career planning and development*; and
- providing inputs for *personal remedial interventions*, for example referral to an employee's assistance programme (performance impairments may be due to factors outside the work environment)

(Swanepoel *et al*. 2000:406).

Organisational development purposes may include the following aspects:

- Facilitating organisational diagnosis and development by specifying performance levels and suggesting overall training needs.
- Providing essential information for affirmative action programmes, job redesign efforts and multi-skilling programmes.
- Promoting effective communication within the organisation through ongoing interaction between superiors and subordinates

(Swanepoel *et al.* 2000:406).

4.3.3 Appraisal, training, development and career management

The growth of an organisation is closely related to the development of its human resources. When employees fail to grow and develop in their work, a stagnant organisation will most probably result. A strong employee development programme does not guarantee organisational success, but such a programme is generally found in successful, expanding organisations (Grobler *et al.* 2002:8-12).

One important developmental function of an employee development programme is the appraisal of employee performance. During an appraisal process, employees become aware of any performance deficiencies they may have and are informed of what they must do to improve their performance and thus become promotable. For many organisations, the heart of the development is composed of on-the-job and off-the-job activities that teach employees new skills and abilities. Because modern managers recognise the benefits derived from the training and developmental process, expenditures for employee education have been accompanied by growing professionalism in the training per field and a demand for competent, qualified trainers (Grobler *et al.* 2002:8-12).

The essence of an employee development programme revolves around gathering and processing performance assessments on individual employees involving

persons such as customers (both internal and external to the organisation), suppliers, peers and team members, superiors, subordinates, as well as the person assessed. The data collection process normally includes aspects like formal and structured interviews, as well as informal discussions, surveys and observations. The assessment information is used as feedback to the employee and serves as important inputs for career development and management and training development. Because of the use of multiple sources, a broader perspective can be developed of an individual's strengths and weaknesses. This enhances self-insight in the process of developing to one's full potential. Employees can more comfortably cope with the latest trends in leadership thinking and with strategies emphasising aspects such as empowerment, self-responsibility and teamwork. Using multiple data sources can also go a long way towards helping to make performance appraisal fairer, simply because elements of subjectivity are lessened and a more balanced view of a person's actual work performance can be created (Ivancevich and Matteson 2002:191-192).

According to Armstrong (2001:505), accurate training needs are to be analysed in order to draft more realistic personal development plans. The latter also provide a rich source on which to base one-to-one developmental processes like mentoring and coaching. It furthermore serves the purpose of opening up communication and information flows in the organisation, so that in this way it supports more transparent and democratic management. Because it may involve students and communities, it is also a valuable means of demonstrating to the students and communities that the organisation is really customer-focussed. Personal development is based on two key assumptions, namely that awareness of any discrepancy between how we see ourselves and how others see us increases self-awareness and that enhanced self-awareness is the key to maximum performance as a leader, thereby becoming a foundation block for management and leadership development programmes.

According to Robbins (2001:488), owing to limitations regarding low levels of agreement with supervisory evaluations and employees often rating themselves too leniently, the application of self-appraisal is found to be more appropriate for personal growth and developmental purposes.

4.4   TYPES OF PERFORMANCE APPRAISAL

Appraisal is the process of reviewing and making decisions about past performance with the performer, prior to planning for the future. Both appraisal and assessment are central to performance management and are best seen as a continuous process (Harrison 1993:264). There are four distinct types of appraisal, each involving a different approach to evaluating performance. These are top-down, peer, self and 360-degree appraisals (Langdon and Osborne 2001:8).

4.4.1 Peer appraisal

According to Langdon and Osborne (2001:8), in this type of appraisal, people at the same level appraise one another, their peers, so that each appraiser can use his or her expert knowledge of the appraisee's role and responsibilities to give an authoritative opinion on their skills. Peer appraisal is often used in the professions where specialist knowledge of issues such as ethics or technical competence is important. By monitoring colleagues as part of the appraisal process, changes in practice can be fed back to the profession and improvements made to the way in which members behave and carry out their work. Moreover, Grobler *et al.* (2002:293) state that peers may be in the best position to evaluate their fellow-peer's performance. Peers can sometimes provide the information that the organisation could not obtain from the employee's supervisor due to lack of direct contact between the supervisor and the employee.

The following points have to be remembered when using peer appraisal:

- Peer appraisal enables colleagues to act as mentors to one another, helping to improve performance all round.
- The exchange of open feedback among staff must be actively encouraged to ensure the effectiveness of peer appraisal.
- A combination of top-down appraisal and peer appraisal is often used to broaden the scope of feedback

(Langdon and Osborne 2001:8).

4.4.2 Self-assessment

Self-assessment encourages employees to play an active role in the appraisal process. The fact that people tend to be hard on themselves in self-assessment can make the appraisal more successful. If their management is likely to be less harsh, appraisal can focus on positive aspects, praising achievements and strengths. Self-assessment questions should be framed to ensure that they help the appraisee to analyse his/her performance effectively. Answering the questions set should enable the appraisee to prepare for the formal appraisal itself and to uncover any need for change. The self-assessment tool is typically given to the employee two weeks prior to the evaluation discussion. The form should be completed by the employee and then brought to the review meeting for discussion (and later included in the evaluation documentation). One should avoid posing questions designed to lead an appraisee to giving evidence to support one's own preconceived opinions. This will not result in constructive appraisal. Self-assessment helps staff to feel included in the appraisal process. It prompts them to consider where they are going and how they are doing (Langdon and Osborne 2001:9; Mondy and Noe 2005:260).

Employees should therefore be encouraged to complete a self-assessment of their performance and discuss the information with their supervisor during the evaluation meeting. Self-assessments should ask the employee to:

- assess his/her level of success in demonstrating how standards have been met;
- describe his/her level of progress towards achieving goals that were set during the last review;
- describe accomplishments for the past review period;
- set three to five goals for learning and/or improvement for the next review period; and
- identify barriers to success and suggest ideas how to overcome them (Grobler *et al.* 2002:295).

Inclusion of self-appraisal in the formal performance management process has been found highly prevalent in South African organisations. Using self-evaluations in performance feedback is reported to lead to more constructive evaluation interviews, less defensiveness during the appraisal process as well as an even higher level of commitment to organisational goals (Nelson and Quick 2002:176).

4.4.3 Top-down appraisal

According to Langdon and Osborne (2001:8), top-down appraisal means that the appraisee's immediate manager, who knows the appraisee best, is responsible for his/her appraisal and has the authority to agree to a development plan for the future. Some companies use a "matrix" approach in which one manager appraises individuals in terms of their contribution to a specific office or region, while another manager appraises their input to their specific area of work. A human resources specialist, for example, would be assessed by a manager with human resources or legal expertise.

4.4.4 360-degree appraisal

Another approach that has gained increasing popularity is the so-called 360-degree performance appraisal technique. Essentially this approach appraises multiple performances. Benchmarking data in the United States of America suggests a high prevalence of 360-degree feedback. According to Armstrong (2001:502), 360-degree feedback involves the systematic collection and feedback of performance data on an individual or a group derived from a number of the stakeholders on their performance. The data are usually fed back in the form of ratings against various performance dimensions. 360-degree feedback is also referred to as multi-source assessment or multi-rater feedback. Performance data in a 360-degree feedback process can be generated for individuals, direct reports, from peers and from external and internal forces (Bacal 1999:151-2).

360-degree feedback is an excellent tool that an employee can use to obtain feedback to promote professional and/or personal development. This form of assessment requires employees to select individuals with whom they regularly interact such as peers, customers, colleagues in other departments, or direct reports and ask them for feedback on a regular basis (typically at six-month intervals). Individuals who are selected complete anonymous, confidential questionnaires or surveys and they appraise the employee based on specified criteria. These questionnaires should also provide the selected individuals with the opportunity to make constructive comments and suggestions relative to the criteria. The 360-degree feedback method may provide a more objective measure of a person's performance. Multiple sources result in a broader view of the employee's performance and may minimise biases that result from limited views of behaviour (Mondy and Noe 2005:251).

There are three main types of 360-degree feedback, namely:

- *Direct report feedback*: Also called upward feedback, a manager or supervisor can request feedback from staff that report to them. It is important for the feedback to be confidential so that staff can be honest and candid.

- *Peer feedback*: Co-workers of the employee (typically within the same department) are an excellent source of feedback relative to competencies such as customer service or teamwork. To reduce bias, it is important to have more than one peer review of the employee's performance.

- *Customer feedback*: This can be feedback from external or other internal customers who are not direct reports or peers. Since student services is one of the university's core competencies, obtaining feedback from students or the community on the level and quality of service is important for any employee

(Stredwick 2000:263).

4.5   APPRAISAL RATING TECHNIQUES

Performance evaluation is usually categorised into relative and absolute judgements. Rating techniques can be categorised in a similar manner. Appraisal techniques may be categorised according to the type of criteria utilised, namely:

- Trait-oriented methods (for example trait scales).

- Behaviour-oriented methods (for example critical incidents in a behaviourally anchored rating scale).

- Results-oriented methods (for example management by objectives [MBO]) (Swanepoel *et al.* 2000:421).

Alternatively, techniques may be classified according to the main purpose that the procedure serves, namely:

- Comparative purposes (relative standards).
- Developmental purposes (absolute standards)

(Swanepoel *et al.* 2000:421).

4.5.1 Relative and absolute rating techniques

To evaluate performance the techniques that can be used are categorised into relative and absolute techniques. Rating techniques can be categorised in a similar manner. According to Gomez-Mejia, Balkan and Cardy (1998:205), absolute rating systems avoid creating conflict among employees and are generally harder to defend when legal issues arise.

Cascio (1995:290) states that the fundamental requirement for any appraiser is that an adequate opportunity is made available for performance to be observed over a reasonable period of time. This offers the possibility of several different choices of rating.

4.5.2 The essay method

Nel, Gerber, Van Dyk, Haasbroek, Schultz, Sono and Werner (2001:525) state that the appraiser is required to write a report on each employee, describing individual strengths and weaknesses. The format of the report may be left entirely to the discretion of the appraiser, or certain specific points of discussion may have to be addressed. This is generally a time-consuming method, the success of which is very much dependent on the writing skills of the appraiser. If done well, however, it may prove valuable as a feedback tool for the appraisees (Grobler *et al.* 2002:277).

4.5.3 Critical incidents

Nel *et al.* (2001:525) state that this technique requires the supervisor to continuously record actual job behaviours that are typical of success or failure as they occur. Whilst this method focusses on behaviour rather than on traits as a basis of appraisal and thus has the potential for meaningful feedback, the recording of incidents is both time-consuming and burdensome for supervisors. This obstacle may often lead supervisors to try to recall and document incidents only towards the end of the review period, thereby confounding objectivity and opportunities for timely feedback.

4.5.4 Behavioural checklists

According to Gerald, Rosen and Barum (1995:477), this format provides the appraiser with a list of descriptions of job-related behaviours, which have to be marked if they are descriptive of the individual being appraised. In a variant of this format, namely the summated ratings method, the behavioural statements are followed by a Likert-type scale of response categories, each of which is weighted, for example, "strongly agree" = 5 to "strongly disagree" =1. The weights of the checked response for each item are then summed and represent the overall performance score of the individual (Gerber *et al.* 1998:177-8).

4.5.5 Management by objectives (MBO)

Management by objectives is a system of management that focusses on setting and integrating individual and organisational goals, but-due to its process can also be used for evaluating performance (Dransfield, Howkins, Hudson and Davies 1996:187). Harvey and Brown (2001:345) describe MBO as a technique to identify organisational goals at all levels and to encourage participation in setting the standards for evaluating subordinates' performance. Participation in the goal-setting process allows managers to control and monitor performance by

measuring results against the objectives employees helped to set. This method typically entails:

- Supervisors and employees mutually establishing and discussing specific goals and formulating action plans.
- Supervisors aiding and coaching their employees to reach their set goals.
- Each supervisor and employee reviewing at a preset time the extent to which objectives have been attained

(Harvey and Brown 2001:345).

As a results-based method of appraisal, MBO typically does not address the how of performance and is therefore unable to appraise whether achievements are really the outcome of individual excellence or of external factors (Swanepoel *et al.* 2000:427).

MBO has been practised for the past 30 years and, although its popularity has severely declined due to mixed results and unrealistic expectations, similar goal-setting programmes are still often found in stable organisations, settings and where incentives are associated with goal achievement (Nelson and Quick 2002:171-172). The elements of emphasis on mutual goal-setting, opportunities for participation as well as regular supervisor-employee interaction are valuable components that are applied in many contemporary performance management systems.

4.6 CRITERIA FOR EFFECTIVE PERFORMANCE APPRAISAL

The requirements for an appraisal system as a criterion for judging the work performance of individuals are as follows: relevance and validity, reliability, discriminability or sensitivity, freedom from contamination, practicality, and acceptability (Swanepoel *et al.* 2000:410).

4.6.1 Relevance/validity

The question of validity addresses the "what" and "how well" an instrument measures and whether it really measures what it is supposed to measure. In terms of design the use of irrelevant performance criteria or reliance on personality trait measures may compromise validity, whilst certain appraiser biases may detract from validity during the evaluation process (Swanepoel *et al.* 2000:412).

The requirement of relevance refers to the question: "What is really important for success in this job and this organisation?" The appraisal system must therefore be directly related to the objectives of the job and the goals of the organisation. Cascio (1998:304) suggests three necessary processes to ensure relevance:

- Establish clear links between the performance standards of all jobs and the organisational goals.
- Establish clear links between the critical job elements of each job (as determined through job analysis) and the performance dimensions to be rated on the appraisal form.
- Ensure the regular maintenance and updating of job descriptions, performance standards and appraisal systems.

4.6.2 Reliability

The system must produce evaluations or ratings that are consistent and repeatable. The requirement of reliability does not only refer to the psychometric properties of the measuring instrument itself, but also to the need for judges who carry out the rating process both competently and consistently and who have opportunity to observe the behaviour that is to be appraised (Swanepoel *et al.* 2000:410).

Reliability in assessment refers to the consistency and stability of the measurement process. Szilagyi and Wallace (1990:535) suggest four approaches for improving reliability in performance measures:

- Increasing the number of items in the rating instrument that measures the same performance dimension.
- Using more than one evaluator in order to obtain multiple observations.
- Increasing the frequency of observations.
- Standardising the administration of the appraisal process.

4.6.3 Discriminability/sensitivity

Despite being highly relevant and reliable, the system will still be of no use if it is unable to distinguish between good performers and poor performers. If the appraisal system gives rise to similar ratings for both effective and ineffective employees through design deficiencies (for example insufficient performance categories) or rating errors (for example central tendency), results cannot be used for developmental or administrative decisions (Swanepoel *et al.* 2000:410).

4.6.4 Freedom from contamination

The staff appraisal system should be able to measure individual performance without being contaminated by extraneous factors that are outside the employee's control, for example material shortages, inappropriate equipment or procedures (Swanepoel *et al*. 2000:411). The presence of such factors will also decrease the validity of the appraisal process.

4.6.5 Practicality

This requirement implies that an appraisal system should be easy to understand and to use by managers and subordinates alike. It should thus be "user-friendly" and manageable in terms of the amount of administration (time and paperwork) it

requires and in terms of its cost-effectiveness. In making design decisions relating to the practicality and utility of an envisaged system, the practitioner may have to make some compromises, since an increase in practicality usually comes at the expense of measurement precision. Conversely, technically advanced systems, such as behaviourally anchored rating scales (BARS), may perhaps be superior in meeting requirements of relevance or validity, reliability and discriminability, but they are also complex and expensive to develop and implement (Swanepoel *et al.* 2000:411).

4.6.6 Acceptability

The acceptability of the appraisal system is an extremely important prerequisite, since the support and perceived legitimacy a system receives from both management and employees (academic staff) will probably carry more weight in determining its success than its inherent technical soundness. To establish a positive attitude towards the appraisal system, it would be prudent to utilise all possible means of involving the eventual end users in its development, implementation and maintenance; academic staff (lecturers) must also be made to feel that they are the actual owners of the appraisal system (Swanepoel *et al.* 2000:410-411).

4.7 THE DEVELOPMENT AND IMPLEMENTATION OF AN EFFECTIVE PERFORMANCE APPRAISAL SYSTEM

Whilst the foremost criteria for any effective appraisal system would be a tailor-made design and process that fit the specific needs and environment culture of the organisation, there are a number of basic steps common to any successful system. According to Anthony, Prerrewe and Kacmar (1991:369), typical strategic choices or questions can be addressed to ensure appropriate customised appraisal systems are highlighted at each development step. However, the specific steps

followed in developing a performance appraisal system will vary somewhat from organisation to organisation.

4.7.1 Planning and designing the system

An effective performance management system should enable and empower line management to implement the strategy and objectives of the organisation successfully. If an institution, for example, changes the emphasis of its strategy from growth to product quality, the focus of its existing systems and criteria should likewise be changed from high daily outputs to the encouragement, development, reinforcement and reward of those behaviours that contribute to the elimination of errors, wastage and comebacks (Swanepoel *et al.* 2000:118).

The pertinent questions to be addressed during the initial planning phase relate directly to the typical problems and fundamental system requirements discussed elsewhere, for example:

- Who will be involved in appraisals (direct supervisor, peers, etc.)?
- What will the overriding purpose (developmental or judgemental)?
- How will the results be used?
- What organisational factors need to be taken into account (size, dispersion of branch offices, prevalent culture or management style, etc.)?
- Should evaluations be individual or group based?

(Swanepoel *et al.* 2000:118).

The gathering of job-related information is done through appropriate job analysis techniques and results in the writing of job descriptions. Analysing job duties and responsibilities should be part of supervisor-employee interaction. HR practitioners should only provide expert advice and the necessary training in writing job descriptions in the style or format chosen by the organisation. Agreement must be

reached between supervisor and subordinate on the job requirements (Swanepoel *et al*. 2000:419).

The planning and design process should be informed about the characteristics required of performance management for academic staff in order for the system to be viewed as effective and efficient. Van Tonder and Hay (2004:392-393) for example state that any performance management system (and therefore the appraisal system as well) has to be realistic, well - structured, user-owned, equitable, developmental, flexible, contextualised, career-, output- and reward-orientated, and must maintain a fine balance between the demands for accountability and academic freedom.

The different steps in the planning and design phase of a system are subsequently highlighted in the sub-paragraphs that follow.

4.7.1.1 *Performance requirements, standards and criteria*

In the design process, administrators must determine what skills, outputs and accomplishments will be evaluated during each appraisal. These may be derived from specific job descriptions or they may be a uniform set of employee requirement included in all performance appraisal. Policy-makers must determine exactly what areas of performance are going to be reviewed and how these areas are related to the organisation's goals (Grobler *et al*. 2002:267).

Performance standards describe the conditions for total satisfactory performance. Performance standards should be mutually agreed upon and provide details as to:

- the worker action or output that will be assessed;
- the criteria to be used for the assessment;
- how performance will be measured

(Swanepoel *et al*. 2000:419).

Setting appropriate criteria that meet the requirements is a crucial component of the entire system and a key determinant of its success. Criteria are the measures of "what a person has to do to be successful at performing his/her job" and may be obvious in certain jobs (Swanepoel *et al*. 2000:419).

4.7.1.2 *The format of and the sources of information for the appraisal process*

Several methods may be used to appraise performance; no one method is best for all organisations. The manner in which a supervisor conducts the performance appraisal is strongly determined by the method. Within an organisation, different appraisal methods may be used for different groups, such as production, sales and administrative employees (Grobler *et al.* 2002:267).

Decisions on the format of the appraisal instrument and the sources that should generate the ratings (that is, the direct supervisor, peers, subordinates, consultants, etc.) must again be the outcome of thorough deliberation on many factors such as the overall objectives, potential advantages and disadvantages and organisation-specific circumstances (Swanepoel *et al*. 2000:419).

4.7.1.3 *Policy and documentation*

Once the above-mentioned decisions have been made, the appraisal forms have to be designed and a user guide or policies and procedure manual for managers must be prepared (Swanepoel *et al*. 2000:419).

4.7.2 Dissemination of the system

According to Mondy *et al*. (2002:299), a good appraisal system provides highly desired feedback on a continuing basis, as well as continuous communication between management and the employees. Most employees have a strong need to know how well they are performing. A common deficiency in appraisal is that the

evaluators seldom receive training on how to conduct effective evaluations. The training for evaluators should be an ongoing process in order to ensure accuracy and consistency. Moreover it should cover how to appraise employees and (for the supervisors) how to conduct appraisal interviews.

4.7.2.1 *Training supervisors as appraisers*

A critical step in the performance appraisal process is training supervisors (or other appraisers) so that they prepare fair and accurate appraisals and effectively communicate the evaluation to the employee. Unfair ratings may result in charges of discrimination, loss of employee morale and productivity, or inaccurate appraisals, which lead to poor compensation or staffing decisions (Grobler *et al.* 2002:267).

The content of training evaluators may be determined by the level of users' involvement during the development phase, the complexity of the specific system and the existing competence in performance management of the supervisors.

According to Grobler *et al.* (2002:298), there is disagreement about whether effective appraising flows from the appraiser's trained or natural ability. It is similar to the continuing argument about whether selection for hiring is a skill or an ability. Appraisal processes and techniques are often included in training supervisors and the topics normally include the following:

- The purposes of appraisal.
- How to avoid problems - halos, bias, central tendency.
- How to conduct non-discriminatory appraisal.
- The ethics of appraisal.
- How to conduct effective appraisal interviews.

Although familiarisation and appraiser training may take on many forms, ranging from mere information provision to "dry-run" conferences and intensive

workshops, a few basic aspects need to be covered to ensure its success. The following are some of the important components of effective appraiser training:

- A training format which allows for the active involvement of appraisers in the training process, for example modelling, role-play and group discussions.
- Thorough familiarisation with the measurement instrument and scales.
- Developing appraiser consensus regarding the interpretation of performance standards and relative levels of behaviour effectiveness (for example, how does "superior" effort differ from "good" effort?).
- Encouraging the recording of specific examples of behaviour.
- Allowing for experiential exercises and practice.
- Providing appraisers with feedback regarding their own rating behaviour (for example, comparison with expert ratings).
- Reinforcing desirable appraiser behaviour through periodic follow-up training

(Swanepoel *et al.* 2000:420).

4.7.2.2 *Discussing the appraisal methods with employees*

Prior to the implementation of the appraisal process, supervisors should discuss with the employees the method that will be used. The discussion should specify which areas of performance are evaluated; how often; how the evaluation takes place; and its significance to the employee (Grobler *et al.* 2002:267). Van Tonder and Hay (2004:409-416) stress the need for preparing the relevant stakeholders in the process and informing them about the process before implementation. This may involve making use of open communication channels as well as staff and management development and training.

4.7.3 Implementing the system

Supervisors and line managers must ensure successful implementation of the performance appraisal system in different faculties/departments/units. According to Van Tonder and Hay (2004:421-423), the task of line managers and supervisory staff when implementing the system is as follows:

- To ensure that the system is implemented according to policy, and is consistent, objective, open and fair.

- To ensure that academic staff workload allocations are made according to job specifications and are realistic, equitable, fair and strategically aligned.

- To make use of a staff portfolio system as the basis for performance agreements with academic staff, and ensure that these agreements are signed.

- To ensure that academic staff are given the opportunity to receive career counselling and engage in career planning.

- To maintain an equitable balance between performance appraisal and staff development in the performance agreements established with academic staff.

- To create frequent opportunities for academic staff to attend staff development and training sessions which include training on the performance management system.

- To provide continuous support and communication of PMS-related information to academic staff via open communication channels.

- To manage poor academic staff performance by motivating staff to avail themselves of staff development and training opportunities geared towards addressing areas of weakness and refrain, as far as possible, from employing punitive measures.

- To implement the system according to policy, and within time frames determined by senior management.
- To be proactive and prepare academic staff for the system prior to implementation.

According to Grobler *et al.* (2002:266), a variety of appraisal techniques are available to measure employee performance. In creating and implementing an appraisal system, administration must first determine what the performance appraisal will be used for, and then decide which process should be used. These decisions are just as important as how the appraisal is conducted or the actual content of the appraisal. If employees believe that appraisal was undertaken lightly or haphazardly, they may take the process less seriously than they should. Possible legal ramifications exist whenever management is not consistent in its performance appraisal procedures. A loss of morale or employee productivity may also result from poorly administered performance appraisals.

4.7.3.1 *Preparing for the appraisal process*

According to Bacal (1999:114), the appraisal process is seen as a joint exercise in which contribution from both appraiser and appraisee is critical to the successful operation of the scheme.

Careful preparation by both parties is essential in achieving constructive and meaningful appraisal. The scheme should be founded on self-evaluation by the appraisee, but the process will not be successful unless the appraiser can also make an accurate and informed contribution. Working within the guidance contained in the faculty scheme of implementation, the appraiser should therefore gather information; make an initial judgement; and be prepared to present this to the appraisee at the appraisal meeting (West, Hopkins and Bollington 1993:10).

West *et al.* (1993:10) state that, when preparing for the appraisal meeting, appraisees and appraisers should also:

- seek the views of appropriate programme leaders and module leaders and other appropriate staff prior to the meeting;
- seek views from serviced faculties about the contribution of the appraisee, as well as consult with the relevant staff about issues which should be included in the appraisal discussions and which may form part of the action plan, in addition to assembling to appropriate information relating to the observation of the teaching process; and
- assemble structured student feedback.

4.7.3.2   *The appraisal meeting and discussion*

It is intended that the meeting should be a thorough and well-structured review carried out in a positive manner. The discussion should be as full and frank as possible so that the conclusions reached are clear to both parties. Thus an agenda should be agreed on at the start of the meeting. All issues should be addressed in as constructive a manner as possible. There may be legitimate differences of opinion but a positive appraisal meeting provides an opportunity for addressing such issues in a constructive way (Bacal 1999:114-115).

The appraiser should remember the following points when conducting the appraisal meeting:

- Set the climate and focus.
- Use the performance plan or the rating form to evaluate.
- Begin a performance diagnosis.
- Plan for the future.
- Document the conversation

(Bacal 1999:114-115).

Mondy *et al.* (2002:299) state that a good appraisal system provides highly desired feedback on a continuing basis. In addition to the need for continuous communication between the management and employees, a special time should be set aside for a specific discussion of the employee's performance. Appraisal discussions should be set in the context of the institution and the academic definition and its implementation within the faculty. This requirement implies the expectation that all academic staff should contribute to both teaching and research or teaching and professional practice development.

A critical aspect of performance appraisal is the use of goal-setting. How specifically or rigidly these goals are to be pursued is determined by the appraisal method used. Even if goals are only broadly discussed, setting goals for the employee's future appraisal period is critical in the discussion. The employee should feel comfortable knowing how past performance has been viewed and what needs to be accomplished to meet future expectations (Grobler *et al.* 2002:267-268).

4.7.4 Reviewing and maintaining the appraisal system

Van Tonder and Hay (2004:424) recommend that performance system reviews should be initiated during the planning phase and that self-evaluation measures should already be implemented during the planning process. To ensure that the system is effective and well accepted by its users, it should be frequently reviewed. Periodic reviews are absolutely necessary for system effectiveness and efficiency. The review process itself should also be transparent, participative, consultative and evolutionary.

4.8   PROBLEMS ASSOCIATED WITH PERFORMANCE APPRAISAL

Appraisal has many strong points when it is well conceived and executed as a process for providing systematic judgements to support pay reviews transfers and

the provision of feedback on actual performance, with pointers to performance improvement through changes in attitudes, behaviour and skills (McKenna and Beech 1995:124).

The performance appraisal should evaluate the employee's work according to predetermined work requirements. Composition with specific requirements indicates what the employee has or has not done well. The supervisor's feelings about the employee should not affect the appraisal. Feelings cannot be evaluated; they are only mental constructs and may be biased. By discussing the employee's behaviour that has been observed and documented, the supervisor focusses the appraisal on concrete, actual performance by the employee (Grobler *et al.* 2002:268).

A vast amount of research has focussed on identifying the shortcomings of the performance appraisal process and of finding possible solutions to these problems. The literature abounds with lists of reasons why appraisal systems fail and in practice many problems are experienced (Swanepoel *et al.* 2000:411).

According to Smither (1998:3), the Society of Human Resource Management concluded that over 90 per cent of appraisal systems are unsuccessful; most employers expressed "overwhelming" dissatisfaction with their performance management (PM) systems: "In almost every major survey, most employees who get ... evaluations and most supervisors who give them rate the process a resounding failure".

Lawler (1994:16) summarises this dissatisfaction as follows: "The problem – and it is well documented – is that most performance appraisal systems do not motivate individuals nor guide their development effectively." In fact, reviews of the appraisal and the performance management literature indicate that, regardless of a programme's started purpose (for example, employee feedback, development, compensation, and so on), few studies report positive effects.

Perhaps as a result of all this dissatisfaction, some practitioners argue that traditional top-down supervisory appraisal is not an effective tool for performance management purposes and, in particular, for performance improvement purposes. At least one survey reports an increase in the use of non-traditional appraisal approaches, such as appraisal-by-exception-only, or no standardised narrative reviews (Smither 1998:4).

According to Spangenberg (1993:30-34), some of the major problems in performance management are:

- Lack of a culture of productivity and quality.
- Insufficient line management support.
- Employees' mistrust of the goals of performance review.
- Performance management systems becoming mechanistic and control-oriented.
- Dwindling enthusiasm due to long implementing periods.
- Difficulties in linking other systems, for example the appraisal and reward system, to the performance management system.
- Technical issues in the system itself (choice of format, administration procedures and purpose for which it is designed).
- Human issues related to the interaction process between supervisor and subordinates.

McKenna and Beech (1995:124-126) also mention the following problems that can possibly be associated with performance appraisal:

- Poorly designed appraisal forms compounded by some irrelevant items.
- Insufficient time being devoted to preparing for the event, completing the appraisal forms and ensuring that the necessary training is undertaken.

- Feedback given to subordinates that is deficient in a number of respects.

- Actions strategies (training) that stem from the appraisal but are not seriously entertained.

- Unreliable judgement because of subjectivity on the part of the appraiser.

- Where the appraiser acts as both judge and counsellor, this could give rise to confusion as well as leading to certain difficulties for the appraisee.

4.8.1 Problems related to appraisal system design

There is not a single method or format of performance appraisal that is not subject to some limitations. Indeed, the very fact that there are so many different formats of varying complexity from which to choose, is a direct result of trying to overcome deficiencies of previously conceived formats. Such deficiencies in the design of performance appraisal instruments are mostly related to concerns regarding their reliability and validity as basic psychometric requirements for any measuring instrument (Swanepoel *et al.* 2000:412).

With research pointing towards the limited impact a specific format or technique may have on the actual ratings (Kreitner and Kinicki 1995:404), human resource practitioners must bear in mind that the technical soundness of an appraisal system alone does not ensure its success. In practice, frustrations result from the imperfect nature of appraisal systems in organisations to modify or totally redevelop their currents systems. Naturally this is more often than not a futile exercise, which does little for establishing the credibility of the appraisal process or convincing management of its essential purposes. Consequently, human resource practitioners face demands for more effective appraisal, and should not approach the dilemma purely by adopting more technically advanced and complex techniques, but by focussing on the proper implementation and improvement of

the process as such – that is, by adopting a performance management perspective (Kreitner and Kinicki 1995:404).

4.8.2 Problems related to conflicting purposes and roles

With the many possible purposes that performance appraisal may serve, it should be clear that no single general method could be appropriate for all purposes. For the two general categories of purposes, which were distinguished (namely administrative [or evaluative]) and developmental), the basic objectives are usually in direct conflict. Administrative objectives focus on the evaluation of the past performance of employees to enable management to make decisions regarding the deferential award of pay increases and candidates for promotion. To allow supervisors to make comparisons between employees, an appropriate system will have to utilise some relative rating format such as ranking procedures (that is, listing employees in some order of merit). However, the nature of such employee-to-employee comparison methods does not only make the process of appraisal feedback difficult, but also provides little information for the identification of individual performance deficiencies and how to address them in terms of training and development interventions (Swanepoel *et al.* 2000:413).

According to Swanepoel *et al.* (2000:414), in order to address the developmental objective, an appraisal system needs to focus on absolute rating formats where each individual is evaluated against several specified performance standards, for example rating scales, or against specific objectives (for example, management by objectives). Since these formats require the appraiser to evaluate the employee without direct reference to other employees, valid comparisons across individuals or groups are not possible and administrative purposes can thus not be effectively served.

The two purposes also force management to fulfilling conflicting roles during appraisal interviews – that is, simultaneously serving as both judges and

counsellors. Naturally management feel uncomfortable about first criticising an employee (and possibly having to justify an unpopular decision about salary increases or other employee expectations that have not been met) and then trying to set a positive tone for constructively discussing future improvement and setting new performance goals. It is accepted that single interviews attempting to serve both purposes of informing and justifying administrative decisions and then providing feedback and counselling are less effective than interviews addressing these purposes separately (Swanepoel *et al.* 2000:414).

In keeping with the philosophy of the performance management approach, the best way to resolve the judgement versus development dilemma would probably be the emphasis on developing effective and ongoing supervisor-subordinate interaction. If a supervisor manages performance on a daily basis, all subordinates will have a reasonable idea of where they have succeeded and where they have failed and no formal appraisal session will hold unexpected surprises. However, if this is not done, the supervisor will have to lump together all the praise, criticism, blame and advice into one mixed bundle, the annual delivery of which will hold little joy for either the supervisor or his/her subordinates. Therefore any formal annual appraisal interview should essentially be a summary of previous formal and informal discussions (Swanepoel *et al.* 2000:414).

4.8.3 Problems related to the human interaction process

The very notion of evaluation – as well as the appraisal process itself – may often be a highly emotional issue for both appraisers and appraisees alike. Appraisers who feel uncomfortable about any confrontation with subordinates may, for instance, assign average ratings where poor ratings would have been appropriate; appraisees facing even the most accurate and objective criticism may resist or trivialise findings if they perceive the assessment as a blow to their self-esteem. Moreover, many situational factors (such as stress, sexual and racial biases and

leadership style) have also been implicated in contaminating accurate and valid ratings (Cascio 1991:91-97).

Clearly not even the most advanced and complex technique could possibly hope to control all such possible international problems. The importance of fostering effective supervisor-employee relations in the daily performance management process can therefore not be overemphasised.

4.8.4 Rating errors/judgemental biases

Performance appraisal requires the supervisor to observe and judge behaviour as objectively as possible. Since both these processes are conducted by humans, the appraisal process is necessarily prone to distortions and biases, which confound any attempts at a total objectivity. In order to evaluate the effectiveness of an employee's behaviour, the supervisor must first have observed such behaviour. Unless the appraiser is able to observe his/her subordinates continuously and to provide regular evaluative feedback, annual appraisal judgements will have to be based on a limited sample of observed performance events (those which the supervisor still remembers). Management may simply not have the time or the inclination to practice "management by walking around" and observing their subordinates at work. Sampling errors such as the recency effect and infrequent observations may lead to invalid and subjective evaluations (Aamodt 1999:320-322).

The recency effect refers to the tendency to emphasise recent behaviours rather than the individual's performance over the entire review period. Good performers who may have slacked towards the end of the rating period may thus be penalised unfairly. The error of infrequent observations usually manifests itself in ratings based on non-representative samples of behaviour and unsubstantiated inferences.

Some commonly encountered judgemental biases or so-called appraiser errors are outlined below (cf. Aamodt 1999:320-322):

- *Leniency and strictness error*: This is the tendency of some evaluators to assign either mostly favourable ratings or mostly very harsh ratings to all employees.
- *Central tendency*: This is the tendency to assign all ratings towards the centre of all scales, thus evaluating all workers as "average".
- *Halo error*: This is the tendency to allow the ratings assigned to one performance dimension to excessively influence, either positively or negatively, the ratings on all subsequent dimensions.
- *Same-as-me and different-from-me error*: This refers to the tendency to assign more favourable ratings to employees who are perceived by the appraiser to be similar to or to behave in a similar way to the appraiser or, alternatively, to rate less favourable those workers who demonstrate traits or behaviours different from those of the appraiser.
- *Contrast error*: This is the tendency to allow the rating of an individual to be positively or negatively influenced by the relative evaluation of the preceding rate. Thus an average performer may receive a poorer rating than would otherwise have been the case if his/her appraisal follows that of the company's star performer.

According to Jourdan and Heath (1996:370-1), three basic approaches can typically be followed in trying to combat rating errors:

- The first strategy focusses on the *statistical correction of ratings* by, for instance, converting all ratings to some type of standard score by using a forced distribution of ratings in terms of the requirements of a normal curve. In the latter case, however, the assumption of a normal distribution of employee performance ratings (that is, that there are certain percentages of excellent, average and poor employees in every group) may

be a fallacy, since star performers and underperformers may already have been promoted or fired out of the group. Similarly, a group may, for example, consist entirely of top performers due to excellent selection and training.

- The second approach follows the traditional route of addressing appraisal problems, namely that of *developing new, more sophisticated techniques and formats* that incorporate design features and procedures aimed at minimising the risk of subjectivity.

- Finally, the third approach comprises the *training of appraisers in three important areas*, namely (cf. Latham and Wesley 1994:137 -167):

  - Training aimed at eliminating or at least lessening rating errors and biases.
  - Training aimed at promoting better observational skills amongst appraisers.
  - Training aimed at improved interpersonal and communication skills during appraisal interviews.

Reviews of the effects of appraiser training generally support the effectiveness of the latter approach (Cascio 1995:291).

4.9 THE BENEFITS OF PERFORMANCE APPRAISAL

Appraisal and development aims to support a constructive partnership between staff and management in matching individual and organisational needs and aspirations. According to Stewart (1998:218), appraisal is a hugely important part of the organisation. It enables plans to be agreed and monitored; it helps everyone to know what they are supposed to be doing; and it provides a structure for many other aspects of management. Unfortunately, the presentation of many appraisal approaches does not always fulfil the promise. Sometimes this is because there is an overemphasis on the particular system. Sometimes it is a confusion of purpose. The reason why appraisal has had problems in some

organisations is that the purpose of the whole concept has become rather blurred and confusion has risen between the three important and worthy functions namely, performance, potential and pay.

The general benefits of performance appraisal can be summarised as follows:

- It enables the person's work to be monitored on an overall rather than a day-to-day basis; employee's work can be discussed and put into context. Normal, more frequent work reviews will focus on the specific tasks currently being performed.
- It provides opportunity for everyone concerned to discuss problems that have been happening and to make adjustments for even better performance in future.
- When individuals take stock of their performance, training needs and underlying causes of any problems might be identified.
- The appraisal is an opportunity for all parties to give and receive feedback on their performance. Feedback can be motivating for most people

(Stewart 1998:219).

4.9.1 Benefits of performance appraisal to staff

According to Ivancevich (1995:9) the emphasis has been on the organisation's needs. But unlike computers or cash balances, employees have feelings. For employees to be productive, they must feel that the job is right for their ability and that they are being treated equitably. For many employees, the job is a major source of personal identity. Most people spend the majority of their working hours at work and travelling to and from work. Thus, a person's identity is tied closely to his/her job. Possible benefits of performance appraisal to staff are namely:

- It provides a context for constructive evaluation of individual performance.
- It ensures a systematic basis for development and training.
- It provides an opportunity for staff to discuss their problems and aspirations openly with their managers.
- It enables staff to review their own performance and to clarify organisational needs and priorities

(Mullins 1993:585).

4.9.2 Benefits of performance appraisal to the institution

Listed below are possible benefits of performance appraisal to an institution:

- It improves quality and efficiency.
- It improves working relationships between managers and staff.
- It supports implementation of the personnel strategy, equal opportunities and other policies.
- It improves staff commitment and morale

(Mullins 1993:585).

4.10 SUMMARY AND CONCLUDING REMARKS

According to Swanepoel *et al.* (2000:431), the effective management of individual performance is the central requirement for the attainment of organisational goals. If management officials are to achieve strategic objective, accurate information regarding the performance levels of their team members is essential. This is the reason why most organisations insist on a formal and systematic process whereby such information may be gathered and recorded.

Moreover, an effective performance appraisal procedure is the hub of any integrated human resource management and development system. The information that it generates is utilised for a multitude of purposes. However,

despite its extreme importance as a human resource function, the effectiveness of appraisal systems has traditionally been plagued by a variety of problems related to technical as well as human obstacles. On a macro-level the continuous performance management approach has been advanced as potentially promising a solution, whilst on the micro-level several categories of general problems and their possible remedies have also been identified. These may serve as the basic background against which the human resource practitioner can proceed to develop and implement a performance appraisal system which is most likely to achieve its stated purpose and is least likely to flounder on the many possible obstacles (Swanepoel *et al.* 2000:431).

Swanepoel *et al.* (2000:431) argue that the fundamental requirements for effective appraisal may sometimes be mutually exclusive and decision-making during the development process may therefore require trade-offs regarding the utility of the many available choices of appraisal techniques and procedures. The importance of proper implementation procedures and evaluator training has been stressed throughout this chapter, since even the best conceived system and techniques will be ineffective in the hands of an incompetent management. Performance appraisal is a vital component of the process of managing human resource with the aim of achieving employee and organisational goals and will remain a key concern for organisations and institutions.

This chapter explains performance appraisal as a component of human resource management and development that could contribute effectively to performance management. It explains the benefits of a performance appraisal system, both to the individual employee and the institution. The chapter also outlines the process of performance appraisal in detail and highlights possible problems associated with performance appraisal.

The next chapter deals with methodology. It starts with the purpose of the investigation and it explains what research design is. It explains the similarities and differences between the qualitative and quantitative research. Moreover, it explains the importance of combining the two methods.

CHAPTER 5

RESEARCH DESIGN AND METHODOLOGY

5.1   INTRODUCTION

In educational research, two research methods have dominated during the past 100 years, namely quantitative and qualitative research. According to Pring (2000:31), research in education has been primarily dominated by quantitative research, sometimes called the positivistic approach. Pring (2000:32) asserts that the quantitative research methodology is not able to "capture" the human element sufficiently. It is extremely difficult, complex and unpredictable to describe human feelings, attitudes and emotions without the involvement of a qualitative approach. Qualitative research studies human action in its natural setting and through the eyes of the actors themselves.

The focus of this chapter is to portray the rationale for the methodology used in this study, which is primarily quantitative in nature, but is also enhanced through a qualitative approach.

5.2   THE PURPOSE OF THIS INVESTIGATION

The aim of this study was to evaluate the staff appraisal practices employed at the Lesotho College of Education (LCE) and to formulate guidelines to address the possible shortcomings identified (see 1.5).

The above aim was realised by pursuing the following objectives (see 1.5), namely:

- To undertake a literature study on human resource management and development, performance management in general and staff appraisal in particular.

- To investigate how academic staff members perceived the current staff appraisal practices at the LCE in terms of the following aspects:
  - ➤ Design, policy formulation and documentation of the system.
  - ➤ Dissemination of the system.
  - ➤ Implementation of the system.
  - ➤ Review of the system.
  - ➤ Its relation to staff development.

- To analyse staff appraisal practices at the LCE in terms of its possible strengths and weaknesses.

- To formulate guidelines to address possible shortcomings of the current staff appraisal practices at the College.

For the last three objectives to be realised, the following subsidiary research questions were formulated (see 1.3):

- What are the perceptions of academic staff members about the following aspects of the staff appraisal practices at the LCE?
  - ➤ Design, policy formulation and documentation of the system.
  - ➤ Dissemination of the system.
  - ➤ Implementation of the system.
  - ➤ Review of the system.
  - ➤ Its relation to staff development.

- What are the strengths and weaknesses of the staff appraisal practices at the LCE?

- How can the weaknesses identified be improved?

5.3   TOWARDS A RESEARCH DESIGN AND METHODOLOGY FOR THIS INVESTIGATION

According to McLeod (1994:89), a non–experimental study such as a perception survey may have either a qualitative or a quantitative nature. Hammersley (1992:182), however, warns that the process of inquiry in science is the same whatever method is used, and that the retreat into paradigms may effectively stultify debate and hamper progress.

5.3.1 What is a research design?

Henning, Van Rensburg and Smith (2004:36) define research methodology as the coherent different methods that complement one another to deliver data and findings that will reflect the question of research and suit the research objective. According to Babbie and Mouton (2001:74), a research design is a blue-print by the researcher who is intending to conduct the research. It is a process of empirical testing to support or refute knowledge claims. Mouton (2001:55) says that a research design focusses on the end product; contains a research problem as a point of departure; and focusses on the logic of research. Huysamen (1994:10) offers a closely related definition of design as "the plan or blueprint according to which data are collected to investigate the research hypothesis or questions in the most economical manner". Additionally, Bless and Higson-Smith (1995:63) define research design as "a specification of the most adequate operations to be performed in order to test a specific hypothesis or questions under given conditions".

5.3.2   Quantitative and qualitative research

According to Berg (2001:3), qualitative research refers to the meanings, concepts, definitions, characteristics, metaphors, symbols, and descriptions of things. Strauss and Corbin (1998:10-1) state that, unlike quantitative research, qualitative research is any

type of research that produces findings not arrived at by statistical procedures or other means of quantification. Moreover, the quantitative approach may be described in general terms as that approach to research in the social sciences that is more highly formalised as well as more explicitly controlled with a range that is more exactly defined, and which, in terms of the methods used, is relatively close to the natural sciences. In contrast, qualitative approaches are those approaches in which the procedures are not as strictly formalised, while the scope is more likely undefined and a more philosophical model of operation is adopted (Mount and Marais 1990:155-6).

According to Reaves (1992:17), quantitative research involves measurement of qualities, usually in terms of numbers. Strydom (1997:86) also adds that the quantitative domain proves assumptions on the basis of statistical data inferences. Quantitative research is based more directly on original plans and its results are more readily analysed and interpreted. However, research can also be qualitative, that is, it can describe events, persons and so forth scientifically without the use of numerical data, and it is more open and responsive to its subject. Both types of research are valid and useful and they need not be mutually exclusive.

Waghid (2000:84) describes any research that uses both qualitative and quantitative research methods to finally effect change or support the kind of reflection among participants that lead to emancipation during or after the research process, as transformative research. The merits of both approaches have therefore encouraged the researcher in this study to opt for a combination of both.

5.3.2.1 *Quantitative research*

According to Babbie and Mouton (2001:49), the quantitative researcher believes that the best, or only, way of measuring the properties of phenomena (e.g. the attitudes of individuals towards certain topics) is through quantitative measurement that is assigning numbers to the perceived qualities of things.

McMillan and Schumacher (2001:15) and Punch (2000:4) simplify the description of quantitative research as empirical research where the data are in the form of numbers. It is indirect and abstract and treats experiences as similar, adding or multiplying them together, or "quantifying" them. In the quantitative methodology, the researcher tries to discover "truths" or generalisable cause-effect relationships (Denzin and Lincoln 2000:8).

5.3.2.2   *Qualitative research*

The philosophic cornerstone of qualitative methodology is its effort to describe and render understandable the world of subjective experience. Liebscher (1998:669) says that qualitative methods are appropriate when the phenomena under study are complex; are social in nature; and do not lend themselves to quantification. According to Babbie and Mouton (2001:53,270), qualitative research is research conducted in a natural setting, attempting to study human action from the insider's perspective (also referred to as the "emic" perspective). The goal of qualitative research is to describe and understand rather than to explain and predict human behaviour. The focus of qualitative research is thus rather on the processes involved than on outcomes. The emphasis, therefore, is on methods such as unstructured or semi-structured interviewing, participative observation and the use of personal documents that place the primary aim on in-depth ("thick") descriptions and understanding of action events. The research is often inductive in its approach, resulting in the generation of new hypotheses and theories. The qualitative researcher is also seen as the "main instrument" in the research process.

The procedural principles of qualitative research in higher education are best described by Redelinghuys (2003:169). He states that qualitative inquiry in higher education rests upon four key procedural principles, namely the following:

- The central research objective is to understand how to explain, predict, or control.

- True understanding, according to the qualitative approach in higher education, will be achieved if the researcher is the prime instrument for data collection.
- The research process will be conducted with an emphasis upon analytical induction, rather than through hypothesis-testing.
- The search for understanding is heavily value-laden.

5.3.2.3 *Similarities between the quantitative and the qualitative research*

Many examples exist which describe the difference between the quantitative and qualitative research (cf. Punch 2000:14-19; Babbie and Mouton 2001:273). Many of these distinctions between quantitative and qualitative research are not absolute. Researchers may combine quantitative and qualitative methods in a single study, or some of the characteristics of one of the methods. This means that the different research paradigms may be used together. Although the two research approaches have various differences, some similarities definitely also exist.

According to Blaxter, Hughes and Tight (2001:65), these similarities are as follows:
- While quantitative research may be used mostly for testing theory, it can also be used for exploring an area and to generate hypotheses and theories. Similarly, qualitative research can be used for testing hypotheses and theory, even though it is mostly used for theory generation.
- Qualitative data often include quantification (e.g. statements such as "more than", "less than", "most", as well as specific numbers).
- Quantitative approaches (e.g. large-scale surveys) can collect qualitative (non-numerical) data through open-ended questions.
- The underlying philosophical positions are not necessarily as distinct as the stereotypes suggest.

5.3.2.4 *Differences between quantitative and qualitative research*

Table 5.1 summarises the major differences between quantitative and qualitative research:

Table 5.1:   The differences between qualitative and quantitative research

Quantitative research	Qualitative research
Objective	Subjective
Outcome-oriented	Process-oriented
Seeks the facts/causes of social phenomena	Concerned with understanding behaviour from actors' own frames of reference
Obtrusive and controlled measurement	Naturalist and uncontrolled observations
Removed from the data: the "outsider" perspective	Close to the data: the "insider" perspective
Ungrounded, verification-oriented, reductionist, hypothetical-deductive	Grounded, discovery-oriented, exploratory, expansionist, descriptive, inductive
Reliable: hard replicable data	Valid: real, rich, deep data
Generalisable: multicase studies	Ungeneralisable: single case studies
Particularist	Holistic
Assumes a stable reality	Assumes a dynamic reality

(Blaxter *et al.* 2001:165)

Pring (2000:55) states that the different modes of how researchers understand reality are possible, because there are stable and enduring features of reality and independency of researchers, which make such distinctions possible. This applies not simply to the physical world, but also to the social and personal aspects thereof. The

social and personal world of the individual is, however, more difficult to evaluate. Most persons have predictable emotions and capabilities which make it possible for certain purposes to consider them the same from person to person – and thus open to quantification. The qualitative investigation can clear the ground for the quantitative – and the quantitative investigation is suggestive of differences to be explored in a more interpretive mode.

McMillan and Schumacher (2001:14-15) also note some distinctions between the quantitative and the qualitative research within the research process. The sections below describe these differences.

(a) Assumptions about the world

Quantitative research is usually based on what is called a "logical positivist" philosophy, which assumes that there are social facts with a single objective reality, separate from the feelings and beliefs of the individuals. Qualitative research, on the other hand, is based more on what is called a "naturalistic-phenomenological" philosophy, which assumes that multiple realities are socially constructed through individual and collective definitions of the situation (McMillan and Schumacher 2001:15).

(b) Research purpose

Quantitative research usually seeks to establish relationships and explain causes of changes in measured social facts. Qualitative research is more concerned with understanding the social phenomenon from the participants' perspectives. This occurs through the researcher's participation in the lives of those actors in a research role or through historical empathy with participants in past social events (McMillan and Schumacher 2001:15).

(c) Research methods and process

In quantitative studies there is an established set of procedures and steps that guide the researcher. Quantitative researchers also choose research methods as part of a pre-established design before data collection. In qualitative studies, there is greater flexibility in both the methods and the research process. Typically, a qualitative researcher uses an emergent design and makes decisions about the data collection strategies during the study (McMillan and Schumacher 2001:16).

(d) Prototypical studies

The quantitative researcher usually employs experimental or correlational designs to reduce error, bias, and extraneous variables. Quantitative research also seeks to control for bias through design, as well as taking into account subjectivity in data analysis and interpretation. The prototypical qualitative study of ongoing events is an ethnography, which helps readers understand the multiple constructions of reality. Qualitative research also includes the prototypical study of past events in historical research, using analytical research techniques to reconstruct and understand the multiple realities of past events (McMillan and Schumacher 2001:16).

(e) The role of the researcher

Ideally a quantitative researcher is detached from the study to avoid bias. In qualitative studies the scholars emphasise the importance of data collected by a skilled, prepared person in contrast to an instrument. Qualitative researchers become "immersed" in the situation, present or past, and the phenomenon being studied. For example, ethnographers assume interactive social roles in which they record observations and interviews with participants in a range of contexts (McMillan and Schumacher 2001:16).

(f) Objectivity and subjectivity

Gage (1994:372) states that the ideals of quantitative research call for procedures that are public; use precise definitions; that use objectivity-seeking methods for data collection and analysis; are replicable so that findings can be confirmed or disconfirmed; and that are systematic and cumulative — all resulting in knowledge useful for explaining, predicting, and controlling the effects of education.

In describing the differences between qualitative and quantitative research, Blaxter *et al.* (2001:65) describe qualitative research as subjective and quantitative research as objective. However, this may be an oversimplification of describing qualitative and quantitative research. The term objective is briefly described as doing justice to the subject of study (Babbie & Mouton 2001:274). It is important to note that objectivity is both a procedure and a characteristic of sound research practices. McMillan and Schumacher (2001:11) state that to the layperson objectivity means, being unbiased, open-minded, and not subjective. As a procedure, objectivity refers to data collection and analysis procedures from which only one meaning or interpretation can be made. Objectivity in qualitative (non-statistical) research means explicitness in the way the data were collected, categorised, reconstructed, and interpreted. Objectivity thus refers to the quality of the data produced by the procedures of collecting and analysing data and not to the researcher's personal characteristics. Although objectivity is important in research, it is more difficult to obtain when human behaviour is assessed.

5.3.2.5 *Combining qualitative and quantitative research*

Although many researchers regard the quantitative and qualitative research methodologies as mutually exclusive and often view the qualitative approach as the antithesis of quantitative research (Waghid 2000:25), this study combines both these types of research approaches in order to supplement and enhance each other. Monnapula-Mapesela (2002:222) states that the conscious decision to combine the

methods is brought about by the fact that a quantitative-qualitative continuum can be used if the researcher does not see the two methods as competitive. According to Mouton (1996:38-39), the least complicated level of debate has been whether a researcher can or should combine quantitative and qualitative research methods and techniques. There are numerous examples where researchers combine techniques that are usually accepted as quantitative and qualitative.

Many researchers would argue that the use of multiple methods and techniques is actually one of the best ways to improve the quality of research. Brewer and Hunter (1989:49) and Monnapula-Mapesela (2002:222) suggest that over-reliance upon any one type of method, no matter how great its advantages are, is sometimes problematic because it fails to guard against the specific sources of error which might threaten that method.

It is inevitable, however, that a specific study would either be more of a qualitative nature, or more of a quantitative nature. Blaxter *et al*. (2001:67) agree with this when they point out that a researcher may use the approaches and techniques that represent different dimensions of the research process. In this investigation, the researcher mixed and varied the usage of these techniques during the study. It is important to note that it is said to be up to the researcher, given his/her preferences; the resources available; constraints of the study; and the particular issues of the research, how he/she will conduct the research (Blaxter *et al*. 2001:67).

According to Waghid (2000:29), the qualitative-quantitative research methodology dichotomy can be transcended if the research methodology is framed in a critical paradigm. Qualitative research methodology grounded in positivist theory should not simply be dismissed for qualitative, interpretative educational research. These approaches to educational research should be seen as complementary to the broader social discourse of educational research.

5.3.3 Survey research

Survey research in education is the method of collecting information by asking a set of preformulated questions in a predetermined sequence in a structured or semi-structured questionnaire or interview to a sample of individuals drawn so as to be representative of a defined population (Hulton 1990:8, Blaxter; *et al.* 2001:77). According to McMillan and Schumacher (2001:304) as well as Babbie and Mouton (2001:231), the investigator selects a sample of respondents and administers a questionnaire or conducts interviews to collect information on variables of interest. The data that are gathered are used to describe characteristics of a certain population. Surveys are used to learn about people's attitudes, beliefs, values, demographics, behaviour, opinions, habits, desires, ideas, as well as other types of information. They are used frequently in business, politics, government, sociology, public health, psychology, and education because accurate information can be obtained for a large numbers of people with a small sample. Most surveys describe the incident, frequency, and distribution of the characteristics of an identified population. In addition to being descriptive, surveys can also be used to explore relationships between variables, or in an explanatory way.

A survey design usually provides a quantitative or numeric description of some fraction of the population – the sample – through the data collection process of asking questions to people. This data collection, in turn, enables a researcher to generalise the findings from a sample of responses to a population (Creswell 1994:117). A survey can, however, also be qualitative in nature if semi-structured interviews are used to collect data.

5.4   DATA COLLECTION TECHNIQUES FOR THIS INVESTIGATION

According to Punch (2000:174), researchers use multiple methods and multiple sources of data in order to study human behaviour. Several types of data collection might well

be used in one project. For the purpose of this survey data was collected through semi-structured interviews and a questionnaire. The researcher first asked permission from the Director of the LCE to do the survey. The researcher then conducted semi-structured interviews with five academic staff members of the LCE. The researcher further personally distributed the questionnaires to academic staff members at the LCE and in two weeks' time he collected the completed questionnaires. The respondents were assured of complete anonymity.

Bell and Bush (2000:119) suggest that one needs to consider the objectives of the study when formulating questions. During a qualitative research investigation, such as an interview survey, the researcher is the main instrument of investigation (Punch 2000:149; Redelinghuys 2003:171). The researcher is, in essence, part of the research process by observing and participating in the research process. In such a way the researcher obtains a fuller understanding of the research process. The self-developed questionnaire was eventually designed after the interview survey.

5.4.1 Open and closed question items

McMillan and Schumacher (2001:260-261) emphasise that closed questionnaire items (also called structured or selected responses) are items whereby a respondent is provided with a list from which the respondent is asked to select an answer. These items, as opposed to open-ended items, are easy to process because of their uniformity in responses. Mouton (2001:233) also mentions that closed items can be easily processed, depending on the researcher's structuring of responses. For example, if there is a category of "If other, specify", the item will not be easy to process. Breakwell, Hammond and Gife-Schaw, (2000:162), however clarify that, if this category is not included, the researcher's list of responses may not include some information that is very important. For this reason, open-ended questions were also included in the questionnaire for this survey.

In defining an open-ended form item in a questionnaire or an interview, Reaves (1992:106), McMillan and Schumacher (2001:206), Breakwell *et al.* (2000:161) and Mouton (2001:233) attest to the viewpoint that open-ended questions give the respondent an opportunity to provide his or her own answer to the question. According to Hay, Herselman, Mbokodi and Fourie (2000:41), open-ended questions are advantageous to research investigations in that they afford the respondents the freedom to voice their thoughts freely and unencumbered. Furthermore, once the respondents understand the intent of the question, then they respond accordingly. In this study both open-ended and closed questions were eventually used.

5.4.2 Questionnaires

A questionnaire is neither some sort of official form, nor is it a set of questions which have been casually jotted down without much thought. A questionnaire has a job to do; its function is measurement (Oppenheim 1992:100). Although the questionnaire is more often used in the quantitative research approach, Punch (2000:91) says that it could also be used in a qualitative approach. According to Breakwell *et al.* (2000:158), one of the advantages of using a questionnaire is its apparent simplicity, its low cost as a method of data-gathering, and the fact that it is easier to administer.

A questionnaire is presented to each respondent in exactly the same way to maximise a more objective comparison of the results. Bless and Higson-Smith (1995:107-8) say that a questionnaire must satisfy a certain number of criteria, such as a set of questions with fixed wording and a sequence of presentation. According to Ary, Jacobs and Razavieh (1990:424), both open-ended and closed questions are used in questionnaires. Questions can be strutted in completion, or fill in items, checklists, scaled items, as well as ranking and Likert-type items. Sapford and Jupp (1996:99) state that self-administered questionnaires usually contain highly structured questions.

Questionnaires encompass a variety of instruments in which the subject responds to written questions to elicit reactions, beliefs, and attitudes. The researcher chooses a set of appropriate questions and asks the subject to answer them, usually in a form that asks the subject to check the response (for example, "Yes", "No", "Maybe"). It is a common technique for collecting data in educational research. The questionnaire is not necessarily easier than other techniques and should be employed carefully (McMillan and Schumacher 2001:40).

5.4.3 Interviews

Another way of collecting data is by means of interviews. The most common approaches with interviewing are unstructured, structured and semi-structured (a mix of structured and unstructured) (Cherry 2000:55). Babbie and Mouton (2001:289-293) and Oppenheim (1992:65:67) also describe three basic types of interviews. The first type of interview is an open or exploratory interview which allows the object of study to speak for him-/her-/itself rather than to provide the respondent with a battery of pre-determined hypothesis-based questions. The second type of interview is an in-depth individual interview. During in-depth interviews the researcher is not that interested in the content of the conservation, but rather in the process by which the content of the conversation has come into being. The third type of interview is focus group interviews. These interviews can be conducted by choosing eight to 12 respondents and placing them in a circle. The researcher would then manage the focus group by interviewing the individuals, starting with any specific respondent. The researcher could also conduct research by using a group discussion to find out the group's feeling about a certain aspect. Redelinghuys (2003:172) states that an advantage of the interview in higher education is the opportunity it provides for a glance backward as well as forward (speculatively) in time.

McMillan and Schumacher (2001:267) state that the interview involves direct interaction among individuals. The interview technique is flexible and adaptable. It can be used

with many different problems and types of persons, such as those who are illiterate or too young to read and write; responses can be probed; followed up; clarified; and elaborated to achieve specific accurate responses. Non-verbal as well as verbal behaviour can be noted in face-to-face interviews and the interviewer has the opportunity to motivate the respondent. Interviews result in a much higher response rate, especially for topics that concern personal, quality or negative feelings.

5.5   SAMPLING

The sample for this study consisted of all the academic staff at the LCE. The College and its academic staff were purposively and conveniently chosen as a cluster of possible respondents. Purposeful sampling is useful in attitude and opinion surveys and is done to increase the utility of information obtained from small samples. Purposeful sampling requires that information be obtained about variations among the subunits before the sample is chosen. The researcher searches for information-rich key informants, groups, places, or events to study. In other words, these samples are chosen because they are likely to be knowledgeable and informative about the phenomena the researcher is investigating. The power and logic of purposeful sampling is that it may yield many insights about the topic (cf. Ary, Jacobs and Razavieh 2002:169; McMillan and Schumacher 2001:400-401).

5.6   PILOTING

The term "pilot" study is used in two different ways in social science research. It can refer to so-called feasibility studies which are "small scale version[s], or trial run[s], done in preparation for the major study" (Polit, Beck and Hungler 2001:467). According to Bless and Higson-Smith (1995:155), a pilot study is "a small study conducted prior to a larger piece of research to determine whether the methodology, sampling, instruments and anaylsis are adequate and appropriate." Moreover, a pilot study can also be the pre-testing or "trying out" of a particular research instrument (Baker

1994:182-3). One of the advantages of conducting a pilot study is that it might give advance warning about where the main research project could fail, where research protocols may not work, or are too complicated. In the words of De Vaus (1993:54): "Do not take the risk. Pilot test first."

In a pilot study the entire research procedure is carried out, including analyses of data collected, following closely the procedures planned for the main study. Pilot studies are carried out with fewer subjects than will be employed in the main study. For some pilot studies two or three subjects are sufficient and it is rarely necessary to include more than 20 subjects (Polit *et al.* 2001:467; McMillan and Schumacher 2001:307).

The pilot study provides additional knowledge that leads to improved research (Polit *et al.* 2001:467; McMillan and Schumacher 2001:307) in the following ways:

- It permits a preliminary test of the questions that lead to testing more questions in the main study; it may lead to changing some questions.
- It often provides the researcher with ideas, approaches and clues not present prior to the pilot study.
- It permits a thorough check of the planned statistical and analytical procedures needed.
- It greatly reduces the number of treatment errors because unforeseen problems revealed in the pilot study may be overcome in redesigning the main study.
- The pilot study almost always provides enough data for a research worker to make a sound decision on the advisability of going ahead with the main study.
- In a pilot study, the research worker may try out a number of alternative measures and then select those that produce the best results for the main study with some tentative evidence that they would be productive.
- In a pilot study it is possible to obtain feedback from research subjects and other persons involved that leads to important improvements in the main study.

In this investigation a pilot study was conducted with a group of five lecturers working at the LCE. This helped the researcher to change or eliminate some of the ambiguous questions that appeared in the original questionnaire. The original questionnaire was, in fact, totally overhauled, based on the results of this pilot study.

5.7   THE ROLE OF THE RESEARCHER IN THIS INVESTIGATION

According to Cherry (2000:55) and Babbie and Mouton (2001:293), the researcher is required to use him-/herself as the data-collection instrument. The researcher should also make a decision on how the observations will be conducted. Will the researcher be a non-participant (simple) observer, or a participant observer?

In a questionnaire survey the role of the researcher is to distribute the questionnaire to the participants and to explain to academic staff (lecturers) how the questionnaire is to be filled in correctly. In an interview survey, the role of the researcher is to interview the participants according to an interview schedule. In this investigation the researcher was a part-time lecturer in the department of Technology at the LCE, responsible for Material Science Wood and Woodwork Practices. In this sense the role of the researcher can be described as that of a participant observer.

5.8   ANALYSIS, INTERPRETATION AND REPORTING OF DATA

The open-ended questions in the questionnaire as well as in the interviews were analysed by means of the constant comparative method. Shank (2002:131) states that comparative methods allow for the comparison of incidents to one another where later incidents serve as feedback for categories and conclusions are drawn from earlier incidents. However, where incidents do not lend themselves to comparison with previous incidents, theoretical comparison is applied.

According to Cresswell (1994:154), the process of qualitative data analysis is eclectic; there is no "right way" and the researcher should be comfortable making comparisons and contrasts within the data.

The closed questions in the questionnaire were analysed by counting responses and expressing them as percentages of the total number of responses.

The quantitative and the qualitative data were eventually reported according to the different phases of appraisal system development (see 4.7).

5.9. TRUSTWORTHINESS OF THIS INVESTIGATION

The basic issue of trustworthiness is simple: How can an inquirer persuade his or her audience (including him or herself) that the findings of an inquiry are worth paying attention to or worth taking account of?

Babbie and Mouton (2001:276) describe reliability and validity of a qualitative study as the trustworthiness of research. They state that the basic issue of trustworthiness is to persuade an audience that the findings of an inquiry are worth paying attention to or worth taking account of. They also explain that a quantitative study cannot be considered valid unless it is reliable. Similarly a qualitative study cannot be called transferable unless it is credible, and it cannot be deemed credible unless it is dependable (see 5.9.1; 5.9.2 and 5.9.3).

McMillan and Schumacher (2001:11-12) maintain that, if research tests a theory, then further testing with other groups or in other settings could confirm or revise the theory. This would prove the reliability of research. If the study entails qualitative exploratory research that is supposed to propose theory, then the proposed theory could be verified with designs using quantitative approaches. Some qualitative studies, however, provide descriptive understandings about relatively unique situations, and these insights or

understandings are extended, but not replicated, in subsequent research of different situations or historical areas for revision or confirmation. Qualitative research is thus not verified in the same manner as quantitative research.

How do researchers then operationalise "trustworthiness"? A comparison of principles of objectivity in the quantitative and qualitative paradigm illustrate this thinking (see Table 5.2).

Table 5.2: Quantitative and qualitative notions of objectivity

Quantitative	Qualitative
Internal validity	Credibility
External validity	Transferability
Reliability	Dependability
Objectivity	Conformability

(Babbie and Mouton 2001:276)

5.9.1 Trustworthiness of the interview survey

The trustworthiness of the interview survey in this study is subsequently argued in terms of its credibility, transferability, dependability and conformability.

5.9.1.1 *Credibility*

Credibility means whether something seems to be true or not: Is there compatibility between the constructed realities that exist in the minds of the respondents and those that are attributed to them? For the purpose of this study credibility was achieved

through prolonged engagement, persistent observation and triangulation (that is through literature study,initial interview survey, pilot study and questionnaire survey) of research methods (cf. McMillan and Schumacher 2001:277).

5.9.1.2 *Transferability*

Transferability refers to the extent to which the findings can be applied in other contexts or with other respondents. The qualitative researcher is not primarily interested in (statistical) generalisations. All observations are defined by specific contexts in which they occur. The qualitative researcher, therefore, does not maintain, or claim that knowledge gained from one context will necessarily have relevance for other contexts or for the same context in another time frame. Within the quantitative (nomothetic) tradition, it is the obligation of the researcher to ensure that findings can be generalised from a sample to its target population; in a qualitative study the obligation for demonstrating transferability rests on those who wish to apply it to the receiving context (e.g. the reader of the study) (McMillan and Schumacher 2001:277).

The following are conditions for transferability and were employed in this study:

- Detail: Because transferability in a qualitative study depends on similarities between sending and receiving contexts, the researcher collects sufficiently detailed data in context and reports them, with sufficient detail and precision, to allow judgements about transferability to be made by the reader.

- Purposive sampling: In contrast to random sampling that is used in quantitative studies, qualitative research seeks to maximise the range of specific information that can be obtained from and about that context by purposely selecting locations, information and participants that may differ from one another,. (McMillan and Schumacher 2001:277).

5.9.1.3 *Dependability*

An inquiry must provide its audience with evidence that if it were to be repeated with the same or similar respondents (subjects) in the same (or similar) context, its findings would be similar (Babbie and Mouton 2001:278). The similarity of the findings from the interview survey and from the questionnaire survey in this study is evident of the dependability of the findings.

5.9.1.4 *Conformability*

Conformability is the degree to which the findings are the product of the focus of the inquiry and not of the biases of the researcher. An adequate trail should be left to enable an auditor to determine if the conclusions, interpretations, and recommendations can be traced to their sources and if they are supported by the inquiry (Babbie and Mouton 2001:278). For this purpose the researcher has kept all transcriptions of the interviews and they are available for auditory purposes.

5.9.2   Validity of the questionnaire survey

According to McMillan and Schumacher (2001:239), validity is the extent to which inferences made on the basis of numerical scores are appropriate, meaningful, and useful. Validity is judgement of the appropriateness of measure for specific inferences or decisions that result from the scores generated. In other words, validity is a situation-specific concept: Validity is assessed, deepening on the purpose, population, and environmental characteristics in which measurement takes place. A survey can therefore be valid in one situation and invalid in another. Bell and Bush (2000:104) define validity as the degree to which an item measures or describes what it is supposed to measure or describe. Best and Kahn (1989:129) provide a similar definition which indicates that validity is the quality of a data-gathering instrument or procedure that enables the researcher to measure what is

supposed to be measured. For this study, validation was established through reviewing a wealth of literature pertaining to the efficacy of staff appraisal, employing an initial interview survey and piloting the questionnaire.

The internal validity of a study is a judgement that is made concerning the confidence with which different possible factors can be ruled out as explanations for the results. It involves a deductive process in which the investigators must systematically examine how each of the possible factors or threats to internal validity may have influenced the results. Internal validity is rarely an all-or-none decision. Rather it is assessed as a matter of degree, depending on the plausibility of the explanation (McMillan and Schumacher 2001:326).

The internal validity of this investigation was possibly influenced by the following internal threats:

- History, whereby unplanned or extraneous events occurred during the research which affected the results. For example, in this investigation the researcher was affected due to the fact that most of academic staff attended a funeral at the time the researcher was piloting the study.

- Pretesting occurs when the act of responding to an interview or the pilot questionnaire prior to the final questionnaire affects the subjects at a later stage (McMillan and Schumacher 2001:326). For instance, the academic staff might have responded to questions in the final questionnaire without analysing them carefully, hoping that they were the same questions from the pilot study or the interviews.

External validity is the extent to which the results of an investigation can be generalised to the people and environmental conditions outside the context of the survey. That is, if the same survey was replicated with different subjects in a

different setting, would the results be the same? In other words, what are the characteristics of subject and environmental conditions for which one can expect the same results (McMillan and Schumacher 2001:327)?

The external validity of this investigation could have been influenced by the selection of subjects: Generalisation is limited to the subjects in the sample if subjects are not selected randomly from an identified population (McMillan and Schumacher 2001:328). In this investigation staff members of the LCE were selected purposefully and not randomly. However, all the academic staff members of the LCE were included in the sample, making the questionnaire a census of academic staff opinion at the LCE.

5.9.3   Reliability of the questionnaire survey

When referring to the reliability of a study, Maykut and Morehouse (2001:146) say it is the extent in which one can place confidence in the outcomes of the study. To ensure reliability in this study, the researcher briefed the participants about the necessity of carrying out the research. Participants were also assured of anonymity in the presentation of findings. In addition, the reliability of the questionnaire was put to the test by piloting. The reliability of the findings is also strengthened by the similarity of findings from the interview survey and from the questionnaire survey.

5.10   SUMMARY AND CONCLUDING REMARKS

This chapter was intended to indicate how the process of inquiry was conducted. The researcher used both quantitative and qualitative methods of gathering information. The method of normative research whereby predetermined questions on a questionnaire were used was combined with the interpretive paradigm, using individual interviews and open-ended questions. The interviews were used to obtain

an initial background and to fill up the information gaps that might be left by the questionnaire survey.

In this chapter the focus was on the exposition of the quantitative and qualitative research methods which were used in this survey. The researcher highlighted the differences and the similarities between the quantitative and the qualitative research methods. Data collection techniques, population sampling, analysis and interpretation procedures were also issues dealt with. The researcher used a survey approach because surveys are used to learn about people's attitudes, beliefs, values, demographics, behaviour, opinions, habits, desires, ideas, and other types of information. They are used frequently in business, politics, government, sociology, public health, psychology, and education because accurate information can be obtained for a large numbers of people from a small sample. The researcher also agued the trustworthiness, validity and reliability of the interview and the questionnaire survey respectively.

In the next chapter the results of the interview and the questionnaire surveys are subsequently reported, interpreted and analysed.

CHAPTER 6

RESEARCH FINDINGS

6.1   INTRODUCTION

The focus of this chapter is to describe the research process used in collecting the data as well as to present the results obtained during the study. The first section starts by describing how data was collected. The instruments used for collecting data were mainly questionnaires and, to a lesser extent, interviews. Most of the questions used in the questionnaires were closed questions, thus favouring a quantitative approach. However, some open-ended questions were also used and required a qualitative approach of analysis.

6.2   RATIONALE AND CONTEXT OF THE PRELIMINARY INTERVIEW SURVEY

The researcher did preliminary interviews with five academic staff members at the LCE in order to understand the appraisal system employed at the LCE. The information gathered complements the review of the literature in Chapters 2 to 4. According to Babbie and Mouton (2001:249), face-to-face interviews are common methods to collect survey data. The purpose of an interview is to obtain information from others during a structured conversation based on a prearranged set of questions. One of the advantages of a semi-structured interview is that the researcher can obtain more relevant information from the respondent during an interview than with a questionnaire.

In order to achieve the research goal, the following aspects were emphasised during the individual interviews (see Appendix A):

- The kind of performance appraisal practices employed at the LCE.
- The specific agreed upon standards and objectives that staff members are measured against (if any).
- Designing personal development plans.
- The frequency of feedback from supervisors.
- Staff members' perceptions of the performance appraisal practices at the LCE.
- Covering job-related issues and future potential in the appraisal process.
- Provision for rewards (such as pay, career opportunities or promotion).
- The current application of appraisal practices in the workplace.

6.2.1 Background

The National Teacher Training College (NTTC) was started in the Kingdom of Lesotho in 1975. Five years later the government of Lesotho introduced a confidential report system for all civil servants as a means of evaluating them. The practice was that the heads of department were responsible for evaluating or assessing their subordinates in their departments. It was called a confidential report because the appraisees were not informed that they were being appraised (see Appendix E). This confidential report system was also used by NTTC for its staff members. Thus performance appraisal at the NTTC was not specifically job-oriented. In 1993 the government of Lesotho introduced a quarterly-based system of appraisal (see Appendix D). The academic staff then gradually became aware of the appraisal practice.

In the year 2001 the NTTC received autonomy, meaning that the College could act independently and control its own affairs. The College was renamed the Lesotho College of Education (LCE). However, the quarterly-based appraisal system was kept in place.

In this system the appraisers and the appraisees met to set objectives together. It was intended as a means of encouraging and supporting staff to grow and develop by

means of planned changes in expertise, skills, attitudes, career or personal life to the benefit of the staff member and the institution.

6.2.2 Purpose of the performance appraisal practices at the LCE

The performance appraisal practices at the LCE are designed to assess, as objectively as possible, the employee's performance in his/her present job. The assessment is supposed to facilitate an objective and consistent basis for management decisions and an employee development programme.

6.2.3 Description of the performance appraisal at the LCE

According to the documents on the appraisal practices at the LCE there is a link between performance and development planning. The documents indicate that, for poor performance, further training and development is a solution. The appraiser (the appraisee's immediate supervisor) and the appraisee meet to set targets. The appraisees are being appraised by their immediate supervisors. The appraisal practices are supposed to be objective in the sense that there is a link between job specification and the review. The supervisor should know the appraisee or should have worked with him/her for at least three months (see Appendix D).

The documents also indicate that the academic lecturers are appraised with regard to three developmental needs: Technical, managerial/supervisory and organisational. Under organisational, the following are sub-headings: Job rotation (meaning an employee may be doing a different job than he/she used to do); internal exposure (meaning the action of exposing something or the state of being exposed, within the workplace); and transfer to another job (meaning to change or to go to a different kind of job in the workplace) (see Appendix E).

The system makes use of two forms, namely form 29 (a) (see Appendix D) and form 29 (b) (see Appendix F). Form 29 (b) is being used by the employees on grades A to D. The grade assigned to a job depends on its level of complexity and responsibility relative to other jobs at the College. Each grade has a corresponding salary range. These ranges are determined based on market data and College budget parameters and they define the minimum and maximum salaries to be paid for a job. Form 29 (a) is used for employees on grade E and upwards (see Appendix D). The rating scale is divided into the following headings: Objectives; performance indicators; and performance standards/targets. The forms also have the subheadings: Under personal qualities and behavioural scale the employees are rated under the following headings: Accuracy; time management; initiative; interpersonal relations; expression; and organisation of work.

The LCE aims at improving its academic results through a process of training its employees. An employee could also rotate within a department. On the other hand, an employee could be internally transferred to another job.

6.2.4 Organisation of performance appraisal at the LCE

Prior to the implementation of the appraisal process, the supervisors should discuss with the employees the method that will be used. The discussion should specify which areas of performance are evaluated; how often; how the evaluation will take place; and its significance to the employee (see 4.7.2.2 and 4.7.3).

The appraisal practice should allow for a factor weight to be attached to every activity which expresses the importance of the activity in comparison with other activities. For example, maintaining a high level of teaching for a year carries a relatively higher factor weight than contact with the public.

6.2.5 Perceptions of lecturers of the existing performance appraisal practices at the LCE

The lecturers interviewed had different perceptions about the system itself, its implementation, and its current status: Some even questioned the existence of the system and its purpose. Lecturers noted the following points:

6.2.5.1 *Design and policy*

- Academic staff members (lecturers) were not happy about the current system because they perceived it as having no link to their developmental needs.
- The majority of the interviewees said that the system should be in line with individual needs.
- All interviewees interviewed said that the current system did not provide for individual contributions.
- All interviewees interviewed said that the appraisal system was not linked to rewards for good performers.
- Some interviewees also indicated that there should be a link between performance appraisal and development planning.
- All the interviewees at the LCE said that they saw nothing to be gained from the system.
- The vast majority of the interviewees (four out of five) said that their weaknesses were identified but they were not helped to remedy these weaknesses.
- Some interviewees said that functional activities such as teaching, administration and service to the community had not been addressed by the appraisal process.
- All the interviewees said that they would prefer an appraisal system that was suitable for the LCE and addressed the needs of the academic staff members at the LCE.

- Most of the interviewees said there was no link between individual performance and the objectives of the institution. The majority of the respondents (three out of five) said that the appraisal process did not create the opportunity for staff to identify personal training and development needs.

- Management interviewees viewed the appraisal system as supportive to them.

- The academic staff interviewees viewed the system as judgemental and a paper routine.

6.2.5.2   *Dissemination of information on the system*

- The vast majority of the interviewees (four out of five) said they were not oriented in as far as the system was concerned.

- The vast majority of the interviewees said that the people who had implemented the system lacked implementation skills.

6.2.5.3   *Implementing the system*

- The vast majority of the interviewees (four out of five) at the LCE believed that the existing performance appraisal process was subjective and judgemental.

- Most of the interviewees at the LCE said the current system had been improperly implemented.

- The vast majority of the interviewees expressed a feeling that the system was only a routine and had no positive impact on them.

- Most of the interviewees said that the appraisal system was inconsistently applied to all academic staff.

- Some interviewees felt that the supervisors doing appraisal seemed to lack managerial skills.

- The interviewees affirmed that in that system the appraisers and the appraisees met to set the targets.

- The interviewees said that the quarterly based system was not managed through mentoring or coaching.

- The vast majority (four out of five) of the interviewees said that staff appraisal needed to take place on a more thorough, objective and transparent basis.

- The interviewees also said that they perceived the allocation of workloads as unrealistic and unfair.

6.2.5.4   *Reviewing the appraisal system*

- A minority of the interviewees said that the appraisal process was reviewed regularly.

6.2.5.5   *Staff development*

- Some interviewees (three out of five) said that for poor performers further training or development was a solution.

6.3   THE RESEARCH FINDINGS FROM THE QUESTIONNAIRE SURVEY

A questionnaire was compiled after finishing the literature review and interpreting the results of the interview survey. Of the 30 academic staff members at the LCE, 25 responded, giving a response rate of 83%. The data gathered were eventually expressed as a percentage of the total number of responses in each case, excluding those who selected a "Not applicable" category.

6.3.1 Demographic information obtained from Section A of the questionnaire

Demographic information was required about the individuals who had completed the questionnaires. The information included questions on the respondents' age, gender, current positions and years of employment at the LCE (see Appendix B)

All the respondents (100%) indicated that they were members of academic staff. The data indicate that 68% of the respondents were between the age of 31 to 45. Sixty-eight percent of the respondents were female. This means that there were more female than male lecturers at this College. The data also indicate that 88% of the respondents were lecturers. Sixty percent of the respondents had been employed at the College for a period of between one to 10 years, while 68% had been employed in their present position for a period of between one to 10 years. Thirty-two percent of the respondents were from the Science and Sesotho Departments respectively, with 20% being from the Technology Department.

6.3.2 Analysis of data obtained from Sections B, C and D

Section B contained statements on the appraisal practices at the LCE. The respondents were asked to rate statements according to a four-point Likert scale, ranging from "strongly disagree" to "strongly agree". Respondents also had a "not applicable" option if they felt that the statement did not relate to their own experience. In each case, the number of responses was expressed as a percentage of the total number of responses (excluding the "Not applicable" responses). The researcher also calculated the average rating for each of the statements. The results obtained are summarised below (see Appendix C, section B):

6.3.2.1 *Design and policy*

The majority of the respondents (62.5%) disagreed with the statement that the appraisal system at the LCE was suitable and easy to use, indicating a considerable feeling of dissatisfaction with the system (Statement 1, Section B).

A vast majority of the respondents (70%) disagreed that the appraisal system at the LCE made provision for rewards/incentives for good performers (Statement 4, Section B).

The majority of the respondents (64.7%) agreed that the appraisal system at the LCE helped the appraisees to discuss their problems with their appraisers (Statement 5, Section B).

The majority of lecturers (65%) strongly disagreed with the statement that the appraisal system at the LCE allowed peer appraisal as part of the process. It therefore means that peer appraisal is rarely used (Statement 19, Section B).

The majority of the respondents (63%) disagreed with the statement that the appraisees were appraised on all the possible aspects that might influence their performance (Statement 15, Section B).

A vast majority of the respondents (73.6%) disagreed with the statement that more than one method (e.g. questionnaires/interviews/discussions, etc.) was applied in the appraisal process. This may therefore mean that they were of the opinion that only one method was used (Statement 21, Section B).

A large majority of respondents (77%) disagreed with the statement that other persons besides the appraiser and the appraisee were also allowed to make contributions in the appraisal process (Statement 22, Section B).

The majority of the respondents (65%) disagreed with the statement that during the appraisal system process the appraisers and appraisees designed a personal work plan. This may indicate that the appraisers and the appraisees rarely designed work plans for the appraisee (Statement 36, Section B).

The majority of the respondents (62%) strongly disagreed with the statement that academic staff members (lecturers) participated in designing the current appraisal system at the LCE. This could negatively influence their ownership of the system (Statement 32, Section B)

A vast majority of the respondents (74%) also agreed that the appraisal system helped lecturers to identify the areas in which they needed to develop (Statement 27, Section B).

The majority of the respondents (55%) agreed with the statement that the appraisal system at the LCE helped it to achieve its mission, vision and strategic goals/objectives (Statement 40, Section B).

The majority of the respondents (53%) disagreed with the statement that the staff appraisal system at the LCE aligned their goals and objectives to the strategic objectives of the College as a whole. However, a substantial number (47%) agreed with the statement (Statement 39, Section B).

Most of the respondents (61%) disagreed with the statement that academic staff members (lecturers) at the LCE should be appraised less frequently than now (Statement 24, Section B).

The vast majority of the respondents (79%) agreed with the statement that academic staff members (lecturers) at the LCE should be appraised quarterly. Thus there seems to be a general agreement that quarterly appraisal is the best (Statement 23, Section B).

The majority of the respondents (58%) disagreed with the statement that the appraisal system at the LCE aided career planning. However, 42% of the respondents agreed with the statement (Statement 11, Section B).

The majority of the respondents (52%) agreed with the statement that the weighting of the different aspects of employees' performance in the appraisal process was realistic. However, a total of 48% disagreed, indicating some dissatisfaction with the weighting (Statement 37, Section B).

The majority of the respondents (60%) agreed with the statement that the appraisal system at the LCE made provision for different ways of addressing poor staff performance (Statement 38, Section B).

The majority of the respondents (65%) agreed with the statement that the appraisal system at the LCE helped to identify staff weaknesses at the College (Statement 31, Section B).

The majority of the respondents (55%) agreed that they were assessed against the goals and objectives that had been set during the previous appraisal process. However, 45% of the respondents felt differently (Statement 7, Section B).

The majority of the respondents (62%) disagreed with the statement that the appraisal system at the LCE successfully distinguished between good performers and poor performers. It may mean there is no clear distinction between good performers and poor performers (Statement 9, Section B).

The vast majority of the respondents (70%) strongly agreed that they would like their students to evaluate them as part of the appraisal system (Statement 17, Section B).

The respondents were also asked to give their comment on the statements concerning design and policy. The following are their comments regarding the system design and policy:

The majority of the respondents (four out of seven) said that the guidelines for the appraisal system were not clear. One of the respondents said that the model of appraisal needed modification to be suitable for the institution. One of the respondents said that the appraisal system was done in a complicated way. Another respondent said that there is no transparency in as far as the appraisal system was concerned. One of the respondents said that the appraisal process was not realistic and objective.

6.3.2.2   *Dissemination of the system*

The majority of the respondents (55%) disagreed with the statement that the appraisal system at the LCE involved open communication between management and employees at all times. However, a substantial number (45%) felt that the system did involve open communication between the management and the employees (Statement 10, Section B).

The majority of the respondents (67%) disagreed with the statement that staff appraisers at the LCE were sufficiently trained to appraise their subordinates. This may imply that staff appraisers at the LCE are not yet sufficiently trained to appraise their subordinates (Statement 25, Section B).

The majority of the respondents (67%) strongly agreed that lecturers at the LCE were doubtful about the staff appraisal currently done at the College. This may either be indication of low satisfaction with the system or poor dissemination of information about the system (Statement 26, Section B).

The majority of the respondents (68%) strongly disagreed with the statement that all stakeholders had been properly informed about the appraisal system before it was implemented (Statement 33, Section B).

The respondents were equally divided with regard to the statement that if they were not satisfied with the outcome of their appraisal, they might ask for a revision of the process. It may mean that not all appraisees are yet aware of possible appeals in the appraisal process.

The respondents were also asked to give their comments on the statements concerning the dissemination of the system. The following are their comments regarding the dissemination of the system:

Two of the respondents said that the process was more understandable to management than to employees. One of the respondents said that when appraisal was started, it brought about disagreement between the staff and the management. One of the respondents said that the management imposed the appraisal on lecturers.

6.3.2.3   *Implementing the system*

The respondents were equally divided on the statement that supervisors showed appreciation for appraisees' achievements identified in the appraisal process. This is also be confirmed by the average rating of 2.4 for the statement (an opinion between "agree" and "disagree"; Statement 28, Section B).

A majority of the respondents (74%) agreed with the statement that the appraisal system at the LCE helped appraisees to discuss their problems with their colleagues (Statement 6, Section B).

The majority of the respondents (58%) disagreed with the statement that management at the LCE supported the appraisal system. It may mean that the management at the LCE does not show much commitment to the appraisal system (Statement 14, Section B).

The majority of the respondents (65%) disagreed with the statement that the appraisal system at the LCE was done objectively. This means the system is not always objective (Statement 13, Section B).

The majority of the respondents (63%) agreed with the statement that employees' goals and objectives identified during the appraisal process are directly related to appraisees' jobs (Statement 30, Section B).

Most of the respondents (53%) disagreed with the statement that only observable conduct was taken into account when appraisees were being appraised. However, a substantial amount of 47% did feel that only observable conduct was taken into account when appraisees were being appraised (Statement 34, Section B).

The majority of the respondents (67%) agreed that the appraisal system helped management and academic staff members (lecturers) to understand each other better (Statement 29, Section B).

The respondents were equally divided in opinion regarding the statement that the appraisal system at the LCE motivates staff members to continuously improve their performance. This was also confirmed by an average rating of 2.38 for the statement (Statement 2, Section B).

The majority of the respondents (58%) disagreed that appraisees always received feedback on their performance. However, (42%) of the respondents felt they did receive feedback (Statement 3, Section B).

The majority of the respondents (60%) agreed that the results of the appraisal were kept confidential. However, if 40% of the respondents felt that results were not kept confidential, there could be a problem with security and confidentiality (Statement 35, Section B).

The vast majority of the respondents (75%) agreed that the appraisees at the LCE played an active role in assessing themselves (Statement 18, Section B).

The respondents were also asked to give their comments on the statements concerning the implementation of the system. The following are their comments:

Three of the respondents said that the appraisal system was not implemented correctly. One of the respondents said that the appraisal process was done judgementally.

6.3.2.4 *Staff development*

A vast majority of the respondents (70%) agreed that they were appraised on aspects that they did not have any control over. This may mean that the system is not fair (Statement 16, Section B).

The majority of the respondents (55%) disagreed with the statement that the appraisal system at the LCE helped the LCE management to identify staff development needs in general. Thus only (45%) of them were of the opinion that it did help the management (Statement 31, Section B).

In Section D the respondents were asked to state if staff appraisal should be linked to individual development.

The vast majority of the respondents (80%) answered affirmatively. This indicates that lecturers are of the opinion that staff appraisal should be linked to individual development.

The respondents motivated their answers to this question by listing the following (the number of respondents is indicated in brackets):

- Staff members can know their own weaknesses and improve their performance (8).
- It is beneficial for academic staff (4).
- Nomination for further studies can be obtained through the practice of staff development (3).
- Lecturers know that they gain something at a personal level (2).
- Different talents and skills can be easily diagnosed and developed (2).
- Colleagues could help one another to develop professionally (2).
- When appraisal is developmental rather than judgemental the academic staff members take it more positively (1).
- When appraisal is developmental rather than judgemental the academic staff members use it appropriately (1).
- Lecturers are motivated to work harder (1).
- It helps staff to have a positive perception of their duties (1).

6.3.2.5   *Reviewing and maintaining the appraisal system*

The vast majority of the respondents (78%) disagreed with the statement that the appraisal system at the LCE was reviewed regularly (Statement 12, Section B).

In Section B the respondents were asked if the appraisal system had the appeal process or if the system could verify and review the weaknesses of appraisal practices at the LCE.

The vast majority of the respondents 92% (Question 3, Section C) said that the management did not have a tool to verify and review the weaknesses of the appraisal system at the LCE. However, very few respondents 8% said that the Lesotho government hired the Lesotho Institute of Public Administration and Management (LIPAM) to review the appraisal system.

6.3.3 Strengths and weaknesses of the current appraisal practices as identified by the respondents

In Section C of the questionnaire the respondents were asked to give their perceptions concerning the strengths of the current appraisal system at the LCE. The respondents listed the following strengths:

- Lecturers could know their weaknesses (4).
- The system gives staff members a chance to forward the problems they encounter to the management (3).
- The system helps staff to achieve goals and objectives in line with their work (3).
- Feedback is kept confidential (2).
- Personal and professional growth is enhanced (2).
- The system empowers staff members to develop positive interpersonal skills (2).
- Lecturers can observe the deadlines and be particular in what they do (1).
- The system reviews the performance of employees regularly (1).
- Management and staff can strategically plan together (1).

The respondents were also asked to give their perceptions concerning the weaknesses of the current appraisal system at the LCE. The respondents listed the following weaknesses:

- There is poor communication between appraisers and appraisees (4).
- Appraisers rate appraisees too low (4).
- The academic staff did not contribute when the system was designed (3).
- The system does not give feedback (3).
- The system does not provide clear guidelines (3).
- The system is judgemental (3).
- Lecturers say the process is weak and a paper routine (2).

- The system does not indicate the frequency of meetings for discussion with the appraisers (1).
- Only senior management took part when it was designed (1).
- Staff members did not know the purpose of appraisal (1).
- Peer group is not involved in the process (1).

6.3.4 Respondents' recommendations on how weaknesses in the appraisal system can be improved

In Section C, Question 4 the respondents were also asked to give their recommendations on how to correct the identified weaknesses of the current appraisal system at the LCE. The respondents listed the following recommendations:

6.3.4.1 *Design and policy*

- Promotion should be based on the basis of performance (7).
- The system should be open and easy to use by both management and lecturers (6).
- Salaries are to be guided by good performance (6).
- Lecturers should be involved in planning the system (4).
- The system should be user-friendly (4).
- A rotating trophy or a medal should be awarded for good performance (3).
- Good performance must be rewarded regularly (2).
- The appraisal process must benefit staff and management (2).
- Professional methods should be followed when appraising the staff (1).
- More than one method of appraisal should be used (1).
- The LCE should design an appraisal system that acknowledges performance rather than academic certificates (1).
- Promotion should be based on research and publications (1).
- Academic achievements such as (qualifications) should be recognised (1).

- Lecturers should be openly involved in formulating the mission statement of the institution (1).
- The system should be suitable for academic staff (1).

6.3.4.2   *Dissemination of the system*

- The system should be implemented by trained personnel (3).
- Communication should be improved (3).
- Management should organise workshops in order to appraise staff (2).
- Supervisors and subordinates should first be allowed to discuss the appraisal process (2).
- The LCE management should have workshops whereby staff appraisal issues are discussed (1).

6.3.4.3   *Implementing the system*

- Bonuses will motivate the employees (6).
- Staff should be given emotional incentives (3).
- Staff and supervisors should fill in the form together (3).
- Lecturers should be appraised regularly (2).
- Awards for identified quality should be necessary (2).
- The system should be honest (2).
- Feedback on performance should be given to lecturers (1).
- Acting allowances should be put in place (1).
- Lecturers should be given the verbal recognition at a faculty meeting if they have done well (1).

6.3.4.4   *Staff development*

- Management should subsidise study tours (2).
- Refresher courses and entertainment should be put in place (2).
- Training advancement should be given as incentives to good performance (2).
- The system should motivate academic staff to improve professionally (1).
- Staff members to be nominated for study (1).

6.3.4.5   *Reviewing and maintaining the appraisal system*

- Periodical review of the instruments is essential (3).
- Management should have workshops for the academic staff to make contributions on the review of the appraisal documents (2).

6.4   SUMMARY AND CONCLUDING REMARKS

This chapter focussed on the presentation of the empirical results obtained from the interview and the questionnaire survey done at the LCE. The researcher explained that the survey was mainly quantitative in nature, since the research instrument used in the survey was questionnaires containing many closed questions. However, the questionnaire also contained a few open-ended questions. Additionally, the interview survey was more qualitative in nature. The chapter contained the analysis and interpretation of the research results. The aim of this study was to evaluate the staff appraisal practices employed at the Lesotho College of Education (LCE) and to formulate guidelines to address the possible shortcomings identified.

In the next chapter a set of conclusion as well as recommendations for possible improvement of appraisal practices at the LCE will be provided.

CHAPTER 7

CONCLUSIONS AND RECOMMENDATIONS

7.1   INTRODUCTION

Modern thinking is acknowledging the dilemma faced by institutions today. Although many performance experts are advocating doing away with an appraisal process completely, they recognise that the need for feedback and performance improvement, staff development, fair promotion, as well as remuneration is more critical than ever. It is important to adapt to an approach which encourages a new mind-set and a participative culture; one which fosters self-management, where people really take responsibility for their performance and development, and where management is only one of a number of possible performance feedback sources (Minty and Bennett 2001:22).

This chapter includes a set of conclusions and recommendations regarding the effectiveness of the staff appraisal practices at the Lesotho College of Education, with special reference to academic staff members at the College.

7.2   CONCLUSIONS

The four research questions formulated in paragraphs 1.3 and 5.2 serve as the basis for making conclusions from the research undertaken.

7.2.1 What are the characteristics of human resource management and development, performance management and performance appraisal and how do they relate to one another?

In effect this research question has already been answered by means of the literature reviews in Chapters 2, 3 and 4 of this dissertation. The research therefore only highlights certain aspects of human resource management and development, performance management and performance appraisal.

7.2.1.1   *Human resource management and development*

Human resource management and development is the use of several activities to ensure that human resources are managed and developed effectively for the benefit of the individual, society and organisations. The purpose of human resource management is to achieve organisational objectives. The major functions of human resource management and development are career planning, development activities, and performance management.

The literature review in Chapter 2 outlined the following four characteristics of human resource management and development, namely:

- Effectiveness in improving the organisation's productivity.
- Enhancing the quality of work life in the organisation.
- Complying with all the necessary laws and regulations related to managing human resources effectively.
- Gaining competitive advantage and enhancing workforce flexibility (see 2.4).

The relationship between human resource management and development, performance management, and performance appraisal is embedded in the fact that today - because of the recognition of the crucial importance of people - human resource management

and development has become a major role-player in developing strategic plans. Performance management is a process for establishing shared understanding about what is to be achieved, as well as an approach to managing and developing people. Performance appraisal is a process at the centre of performance management. Performance appraisal is the process of identifying; measuring, and developing human performance (see 3.2; 4.2.2).

7.2.1.2 *Performance management*

The literature on performance management was investigated in Chapter 3. It was stated that a performance management system can only be defined as being in operation when the following conditions are met:

- It communicates a vision of its objectives to all employees.
- It sets departmental and individual performance targets which are related to wider objectives.
- It conducts a formal review of progress towards these targets.
- It evaluates the whole process in order to improve effectiveness (see 3.2.4).

7.2.1.3 *Performance appraisal*

The following aspects of effective performance appraisal were identified from the literature in Chapter 4:

- Keep the system simple and flexible.
- Train mangers and their subordinates thoroughly.
- Manage it on principles of openness and honesty (see 3.4).
- Make it part of the corporate culture and reward system (see 4.2).

In the empirical investigation reported in Chapter 6, the researcher's focus was on the following phases of performance appraisal system development:

- Design, policy formulation and documentation of the system.
- Dissemination of the system.
- Implementation of the system.
- Review of the system.

Because of the vital importance of staff development within the implementation phase of system development, it was also highlighted as a major aspect of performance appraisal in Chapter 6.

7.2.2 What are the perceptions of academic staff members about the staff appraisal practices at the LCE?

As stated earlier, the major phases of performance appraisal system development have been taken as the point of departure for reporting and interpreting the findings of the empirical investigation. This research question is therefore also investigated in terms of these phases (including staff development).

7.2.2.1 *Design, policy formulation and documentation of the system*

As far as design, policy formulation and documentation of the system are concerned, the following findings need to be highlighted (see 6.2.5.1 and 6.3.2.1):

- A vast majority of the respondents said that the appraisal system at the LCE did not make provision for rewards/incentives for good performers.
- A majority of the respondents said that only one method (e.g. questionnaires/interviews/discussion, etc.) was applied in the appraisal process.

- A large majority of the respondents said that other persons besides the appraiser and the appraisee were not allowed to make contributions in the appraisal process.
- A vast majority of the respondents said that the academic staff members (lecturers) at the LCE should be appraised quarterly.
- A vast majority of the respondents said that they would like their students to evaluate them as part of the appraisal system.

7.2.2.2   Dissemination of the system

As far as the dissemination of the system is concerned, the following findings need to be highlighted (see 6.2.5.2 and 6.3.2.2):

- The majority of the respondents said that all stakeholders were not properly informed about the appraisal system before it was implemented.
- The majority of the respondents said that staff appraisers at the LCE were not sufficiently trained to appraise their subordinates.
- The majority of the respondents said that lecturers at the LCE were doubtful about the staff appraisal currently done at the College.
- The majority of the respondents said that the appraisal system at the LCE did not involve open communication between management and employees at all times.

7.2.2.3   Implementation of the system

As far as implementation of the system is concerned, the following findings need to be highlighted (see 6.2.5.3 and 6.3.2.3):

- A vast majority of the respondents indicated that the appraisees at the LCE played an active role in assessing themselves.
- The majority of the respondents said that they were appraised on aspects that they did not have any control of.

- The majority of the respondents said that the appraisal system at the LCE helped appraisees to discuss their problems with their colleagues.
- The majority of the respondents said that appraisal system helped management and academic staff members (lecturers) to understand each other better.
- The majority of the respondents said that the appraisal system at the LCE was not implemented objectively.
- The majority of the respondents said that employees' goals and objectives identified during the appraisal process were directly related to their jobs.

7.2.2.4 *Staff development*

As far as staff development of the system is concerned, the following findings need to be highlighted (see 6.2.5.5 and 6.3.2.4):

- A vast majority of the respondents indicated that the appraisal system helped lecturers to identify the areas in which they needed to develop.
- A vast majority of the respondents said that staff appraisal should be linked to staff development.
- The majority of the respondents said that the appraisal system at the LCE did not help the LCE management to identify staff development needs in general.

7.2.2.5 *Review of the system*

As far as review of the system is concerned, the following findings need to be highlighted (see 6.2.5.4 and 6.3.2.5):

- A vast majority of the respondents said that the appraisal system at the LCE was not reviewed regularly.
- A vast majority of the respondents said that the management did not have a tool to verify and review the weakness of the appraisal system at the LCE.

7.2.2.6 *General conclusions*

The major responsibilities for setting the performance appraisal tone and climate rest with management and the human resources department. However, even when management and human resources do their jobs well, employees who come to the process with a negative or defensive approach are not likely to gain from the process or to prosper in the long term. The constant key is for employees to participate actively and assertively, but to keep a problem-solving mindset, in addition to keeping focussed on how things can be improved in the future. No matter who initiates it, performance appraisal is about positive open communication between employees and the management. Unfortunately, with the current system, many employees see little connection between performance appraisal and extrinsic or intrinsic rewards. While most respondents suggested connecting appraisals to merit increases, others suggest connecting it to any system that would encourage advancement. A perceived lack of organisational commitment negatively impacts on the full employee acceptance of the performance appraisal system and, ultimately, its long-term effectiveness.

The policy on staff appraisal at the LCE is unclear regarding rewards for outstanding performance and ways to address underperformance (see 6.3.2). The present system of performance appraisal at the LCE does not incorporate nor indicate how the staff members are supported. There is no clear policy indicating how staff will be assisted to remedy their shortcomings, yet performance appraisal is intended to detect and remedy weaknesses in performance (see 6.3.2). In the case of the LCE, there is a lack of agreement between the supervisors and the subordinates concerning the standards and indicators used in performance appraisal (see 6.3.3). The policy is that staff should be appraised on a quarterly basis by supervisors, yet their jobs are divided into semesters (see 6.3.3).

In general, the academic staff members expressed different perceptions about the system itself. The researcher therefore concludes that the appraisal system at the LCE

is problematic with the following problems requiring urgent attention: The appraisal process at the LCE is not an ongoing process; there is poor communication between supervisors and subordinates; the appraisal system is not linked to any form of reward/incentives; there is lack of regular feedback in as far as the appraisal system is concerned; and there is no remedy to eliminate the problems identified.

7.2.3 What are the strengths and weaknesses of the staff appraisal practices at the LCE?

Based on the perceptions of the academic staff at the LCE, the researcher now wishes to highlight particular strengths and weakness in the appraisal practices at the College.

7.2.3.1 *Weaknesses of the staff appraisal practices at the LCE*

The researcher identified the followings weaknesses of the staff appraisal practices at the LCE:

- There is poor communication between the appraisers and the appraisees.
- Feedback on performance is rarely given.
- There is lack of management commitment in the appraisal process.
- Lecturers were not involved in the designing of the appraisal system.
- The appraisal system is not properly resourced in terms of money, time and space.
- With the exception of their students, lecturers seemingly do not like other persons besides the appraiser and the appraisee to be allowed to make contributions to the appraisal process.
- The appraisal system at the LCE is not linked to rewards/incentives.
- The appraisal system at the LCE allows only one method of appraisal during the appraisal system.
- The appraisal system at the LCE does not involve open communication between management and employees at all times.

- The lecturers at the LCE are doubtful about the staff appraisal currently done at the College.

- The staff appraisers at the LCE are not sufficiently trained to appraise their subordinates.

- The stakeholders were not properly informed about the appraisal system before it had been implemented.

- The appraisal system at the LCE is not always implemented objectively.

- The appraisal system at the LCE does not help the LCE management to identify staff development needs in general.

- The LCE management does not have a tool to verify and review the weaknesses of the appraisal system at the LCE.

- There are no regular reviews of the system to identify any barriers that might exist.

7.2.3.2 *Strengths of the staff appraisal practices at the LCE*

The researcher identified the following strengths of the staff appraisal practices at the LCE:

- Lecturers at the LCE would like their students to evaluate them as part of the appraisal system.

- The academic staff members (lecturers) at the LCE would like to be appraised quarterly.

- The appraisal system at the LCE helps lecturers to identify the areas in which they need to develop.

- The appraisees at the LCE play an active role in assessing themselves.

- The employees' goals and objectives identified during the appraisal process are directly related to their jobs.

- The appraisal system at the LCE helps management and academic staff members (lecturers) to understand each other better.

- The appraisal system at the LCE helps appraisees to discuss their problems with their colleagues.

The researcher argues that the aim of performance appraisal should be to highlight performance problems with the aim of developing staff and rewarding outstanding performance. The researcher is of the opinion that, if staff are not equipped with the requisite skills, the system of performance appraisal cannot bring about a change in academic staff performance.

7.2.3.3 *Conclusion*

In general, the researcher therefore concludes that, despite the strengths of the staff appraisal system at the LCE, there are also critical weaknesses in the appraisal system. Thus the staff appraisal practices at the LCE are undoubtedly problematic in nature and can, at best, only be partly effective.

7.2.4 How can the weaknesses identified be improved?

The researcher addresses the above-mentioned research question in the section on recommendations for the improvement of staff appraisal practices at the LCE (see 7.3).

7.3 RECOMMENDATIONS

As was done with the findings and the conclusions, the researcher divided the recommendations in this section according to the following five aspects that are important for the effectiveness of performance appraisal:

- Design, policy formulation and documentation of the system.
- Dissemination of the system.

- Implementation of the system.
- Its relation to staff development.
- Review of the system.

7.3.1 Design and policy

In as far as design and policy are concerned, the researcher wishes to recommend the following:

- In order for the appraisal process to be effective, there should be consultation between management and lecturers in the development of appraisal systems and it must have the commitment and support of both groups (see 4.6.5; 4.6.6).
- For the appraisal system to be effective, it should include the active involvement of students as part of the appraisal system. Seventy percent of the respondents (lecturers) at the LCE were of the opinion that students should be part of the appraisal process (see 4.4.4).
- Staff and management should be involved in designing and implementing the overall appraisal system as a key to achieving cultural change which is more likely to lead to a sensible and workable system (see 4.7.2.3).
- The appraisal system at the LCE should serve to assist in the making of administrative decisions cornering pay increase, transfers, or terminations (see 4.7.1).
- Performance appraisal should be job-related. Job-relatedness is perhaps the most basic criterion in employee performance appraisal (see 4.6.1).
- The basic purpose of the performance appraisal system should be to improve the performance of individuals, teams, and the entire organisation (see 3.2.5).
- A special time should be set aside for staff appraisal practices.
- The LCE should seek an accurate assessment of performance that permits the development of a plan to improve individual and group performance (see 3.2.5).

- The appraisal process should be adequately resourced in terms of money, time and space. Sufficient time must be provided for preparation; the appraisal discussion; and any follow-up actions (see 4.7.3.1).

- For the appraisal system to be successful, it should have less bureaucratic intervention.

- The appraisal system policy should clearly outline the purpose of the appraisal system.

- The performance appraisal system at the LCE should adopt participative, 360-degree procedures in the management of staff performance (see 4.4.4).

7.3.2 Dissemination of the system

In as far as the dissemination of the system is concerned, the researcher recommends the following:

- There should be good communication between the appraisers and the appraisees (see 4.7.2).

- The LCE management should create a more conducive environment for an effective appraisal system which is easy to use by both management and employees alike (see 4.7).

- In addition to the need for continuous communication between management and employees, a special time should be set aside for a formal discussion of employees' performance (see 4.7.4).

- Supervisors should be properly trained on how to assess and manage performance appraisal (see 4.7.2; 4.7.2.1).

- All appraisers should receive training in the art of giving and receiving feedback so as to avoid the process from leading to uncertainty and conflict (see 4.7.2.1).

- The training should be an ongoing process in order to ensure accuracy and consistency. The training should cover how to rate employees and how to conduct appraisal reviews. Instructions should be detailed and stress the importance of making objective and unbiased ratings (see 4.7.2; 4.7.2.1).

- The appraisal system should be introduced by successfully engaging all those directly involved in implementing the system, as a way of establishing the appraisal within an organisation (see 4.7.2).

- The LCE management should provide as much information about the process as possible, for example about the way it works, benefits, rates of remuneration, and how to manage expectations. This can prove to be very effective in gaining acceptance of the process by the lecturers (see 4.7.2).

- Engaging lecturers in all stages of development and implementation should also carry a useful message about how management approaches the appraisal system (see 4.7.3).

7.3.3 Implementing the system

In as far as the implementation of the system is concerned, the researcher recommends the following:

- Supervisors and subordinates should agree on performance expectations in advance of the appraisal period. Evaluation must be based on clearly understood performance expectations (see 4.7.2.2).

- There should be a review at a suitable midway point between appraisals to monitor whether an individual's objectives are being met and to identify any barriers that might be in the way of reaching them with a view to removing these barriers (see 4.7.4).

- Management should establish mutually understood performance expectations. The standards by which performance is measured must be clearly articulated by supervisors and comprehended by employees. Clear expectations that are aligned with the goals and the objectives of the College and that are well understood, objectively measured, and fairly rewarded, will encourage improved performance (see 4.7.3.1).

- The LCE should use the same evaluation instruments for all employees in the same job category (see 4.5.1; 4.6.2).

- There should be two-way communication between supervisors and employees. Performance appraisals are strengthened when they are the culmination of a process that has included both supervisor and employee with ample opportunity to understand each other's perspectives about performance and involve consistent two-way communication (see 4.7.2; 4.7.2.2; 6.3.4).

- Management should accurately assess and reflect differences in the performance of staff. Variations in the performance of employees must necessarily be acknowledged in appraisals. Failure to make appraisal distinctions between dissimilar performances erodes the intent of a merit-based system (see 4.6).

- Successful appraisal should require obtaining a commitment from senior management. Maintaining that commitment is also crucial to the development of a successful appraisal system (see 4.8).

7.3.4 Staff development

In as far as the staff development of the system is concerned, the researcher recommends the following:

- The appraisal process should be fully integrated into the training and development procedures of the organisation, with links between the outcomes of appraisal and the provision of training resources. A lack of resources available for meeting objectives will lead to disillusionment (see 4.7.1.1).

- Emphasise employee development. Performance appraisals should make a significant contribution to the development of employees by recognising and underscoring the importance of building and enhancing appropriate skills and knowledge (see 4.3.2; 6.3.2).

- All staff should have support and encouragement in meeting both the demands of their current roles and in developing their future careers (see 3.2.6).

- Staff development should therefore be put in place as a way of helping the lecturers to grow professionally (see 4.3.2; 6.3.2).

- Staff development should include activities such as training; providing constructive feedback; job rotation; etc., which are designed to improve the skills, motivation, and qualifications of employees (see 4.3.2; 6.3.2).

- Staff development should therefore be committed to encouraging and enabling staff to realise their potential by providing opportunities for all colleagues to gain the knowledge, skills and experience necessary for them to enhance their contribution in meeting individual and organisational objectives (see 6.3.3).

- The researcher recommends that lecturers be guided to adopt continuous self-improvement activities such as self-evaluation, peer-evaluation and self-reflection (see 4.4.1; 4.4.2)

7.3.5 Reviewing and maintaining the appraisal system

In as far as the reviewing of the system is concerned, the researcher recommends the following:

- Appraisal schemes must be regularly reviewed to ensure that they are effective and relevant. They must be updated to reflect changes in the organisation (see 4.7.4).

- For the appraisal system to be successful, there should be less bureaucratic intervention.

- The review of the appraisal system should already start during the planning and designing process.

- The review process itself should be transparent, participative, consultative and evolutionary.

7.3.6   Future research

Follow-up research on the following issues regarding the staff appraisal system employed at this institution is recommended:

- The development of a quality assurance system for the LCE with special reference to accountability and student support.
- The structure of an appropriate, effective and custom-made performance appraisal system for academic staff of the LCE.

7.4   SUMMARY AND FINAL REMARKS

In this chapter the final conclusions and recommendations, based on the entire literature study as well as on the findings from the survey about the staff appraisal practices employed at the LCE, have been discussed. The conclusions were based on the four research questions formulated in paragraphs 1.3 and 5.2 of this investigation. The researcher made the conclusion that the staff appraisal practices at the LCE have distinct strengths and weaknesses. However, some of the weaknesses are very critical, such as a lack of regular feedback to appraisees and a lack of trained personnel to implement the appraisal system. The general conclusion therefore is that the staff appraisal practices at the LCE are problematic, are only partly effective; and require urgent improvement.

As far as the recommendations for this study are concerned, the researcher formulated a variety of recommendations in as far as the following five aspects are concerned, namely:

- Design, policy formulation and documentation of the system.

- Dissemination of the system.

- Implementation of the system.

- Its relation to staff development.

- Review of the system.

Appraisal is nowadays an established part of a lecturer's career, both during and beyond initial education and training. Appraisal helps to provide the transparency and accountability demanded of the education service. In addition, insightful appraisal will be an important aid to the development of a lecturer's skills and career. Using the methods discussed in this dissertation in addition to gathering information will aid discussion during the appraisal and provide a more thorough picture of the competencies of the lecturers.

Effective staff appraisal is helpful to both employers and employees (lecturers). It will encourage better communication between academic staff and management in addition to helping everybody to understand one another's needs and aims. Staff morale may be increased if it is felt that the management is paying attention to an individual's development needs and that they are working together to reach set objectives. However, the appraisal process must be developed in consultation with the staff and have the backing of academic staff members (lecturers) for it to be accepted and useful. The process must also be properly resourced in terms of protected time, space and money - if necessary - while effective training must be provided for both appraisees and appraisers.

When an institution appraises its staff, it must offer developmental opportunities. Appraisal is an ongoing professional process of all staff, which contributes to the effectiveness of academic work. It is not the control and measurement of performance which motivate staff to contribute more. A commitment to institutional goals and a quality institution are fostered if staff can appreciate, are appreciated for contribution

they make, and can participate in shaping the future of the organisation. This can be achieved through less bureaucratic intervention, as well as changing the institutional culture and staff expectations so that academic staff members will accept that academic leadership includes performance monitoring, performance feedback, and professional development of departmental colleagues (Moses 1996:86).

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APPENDIX A

INTERVIEW SCHEDULE FOR ACADEMIC STAFF AT THE LCE

1. How do you experience appraisal practices at the LCE?

2. Does the appraisal system at the LCE link individual performance to broader strategic plans/objectives?

3. Are your appraisers knowledgeable about the current appraisal system at the LCE?

4. Are the appraisers at the LCE trained to assess performance in as far as the appraiser is concerned?

5. Does the present appraisal system at the LEC promote individual performance?

6. Does the appraisal system help lecturers to identify opportunities and further development needs?

7. Do you receive feedback on your performance from your appraiser throughout the year?

8. Do you meet with your appraiser to set the objectives together?

9. Is the appraisal system linked to rewards?

10. What, according to you, are the strengths of the current appraisal system?

11. What, according to you, are the weaknesses of the current appraisal system?

12. How can the weaknesses in the appraisal system be improved?

APPENDIX B

QUESTIONNAIRE

STAFF APPRAISAL: A SURVEY OF ACADEMIC STAFF OPINION

This survey will assist the researcher in assessing the opinion of academic staff in connection with staff appraisal practices employed at the Lesotho College of Education (LCE).

Performance appraisal is a formal system of review and evaluation of individual staff or team performance. It is a process whereby the employee and the supervisor sit down and set the goals and objectives for the period to follow. The employee will then receive feedback on how s/he has performed during the next appraisal cycle. In this questionnaire we concentrate on the appropriateness of the staff appraisal practices at the LCE.

INSTRUCTIONS FOR ANSWERING THE QUESTIONS

Please complete this questionnaire by either answering the questions IN THE SPACE(S) PROVIDED _or_ ENCIRCLING THE APPROPRIATE NUMBER _or_ MAKING A CROSS (X) IN THE APPROPRIATE BOX, for

example: ②　or　| X | (as applicable to the particular question)

Section A: Personal and professional details
While your responses to the following questions are completely anonymous, it would be very useful if you could provide the personal details requested.

1.	For how many years have you worked at the Lesotho College of Education? (Enter the number of years in the appropriate box.):	
2.	Which one of the following best describes you? (Make a cross in the appropriate box.):	
	I am a member of the academic staff.	
	I am a member of the academic support staff.	
3.	How long have you been employed in your present position? (Enter the number of years in the appropriate box.)	
4	Into which age group do you fall? (Make a cross in the appropriate box.)	
	18 to 25 years	
	26 to 30 years	
	31 to 35 years	
	36 to 40 years	
	41 to 45 years	
	46 to 50 years	
	51 to 55 years	
	56 years or older	
5.	What is you gender? (Make a cross in the appropriate box.)	
	Female	
	Male	
6.	What is your present post title? (Enter your post title below.)	
7.	In which Department/Division are you presently employed?	

Section B: Rating the staff appraisal practices at the LCE

By making a cross (X) in the appropriate box, choose the expression (e.g. agree/disagree) which truly reflects your opinion of each of the 40 items in the table below. Use the scale below to rate the items. Please respond to all items.

0= Not applicable to me

1= Strongly disagree   2= Disagree

3= Agree   4= Strongly agree

ITEMS: **RATINGS:**

	0	1	2	3	4
1. The appraisal system at the LCE is suitable and easy to use.					
2. The appraisal system at the LCE motivates staff members to continuously improve their performance.					
3. I always receive feedback on my performance from my appraiser after the appraisal process has been completed.					
4. The appraisal system at the LCE makes provision for rewards/incentives for good performers.					
5. The appraisal system at the LCE helps me to discuss my problems with my appraiser.					
6. The appraisal system at LCE helps me to discuss my problems with my colleagues.					
7. I am assessed against the goals and objectives that were set during the previous appraisal process.					
8. The appraisal system at the LCE helps the LCE management to identify staff development needs in general.					

	0	1	2	3	4
9. The appraisal system at the LCE successfully distinguishes between good performers and poor performers.					
10. The appraisal system at the LCE involves open communication between management and employees.					
11. The appraisal system at the LCE aids career planning.					
12. The appraisal system at the LCE is reviewed regularly.					
13. The appraisal process at the LCE is done objectively.					
14. Management at the LCE supports the appraisal system.					
15. I am appraised on all the possible aspects that may influence my performance.					
16. I am appraised on aspects that I do not have any control of.					
17. I will like my students to evaluate me as part of the appraisal process.					
18. In the appraisal process I also play an active role by having to assess myself.					
19. The appraisal system at the LCE allows peer appraisal as part of the process.					
20. If I am not satisfied with the outcome of my appraisal, I may ask for a revision of the process.					
21. More than one method (e.g. questionnaires/ interviews/discussions, etc.) is applied in the appraisal process.					
22. Other persons besides my appraiser and I are also allowed to make contributions to the appraisal process.					

		0	1	2	3	4
23.	Academic staff members (lecturers) at the LCE should be appraised quarterly.					
24.	Academic staff members (lecturers at the LCE should be appraised less frequently than now					
25.	Staff appraisers at the LCE are sufficiently trained to appraise their subordinates.					
26.	Academic staff members (lecturers) are doubtful about the staff appraisal currently done at the College.					
27.	The appraisal system helps me to identify the areas in which I still need to develop.					
28.	My supervisor shows appreciation for my achievements identified in the appraisal process.					
29.	The appraisal system helps management and academic staff members (lecturers) to understand each other better.					
30.	My goals and objectives identified during the appraisal process are directly related to my job.					
31.	The appraisal system at the LCE helps to identify staff weakness at the College.					
32.	Academic staff (lecturers) participated in designing the current appraisal system at the LCE.					
33.	All stakeholders were properly informed about the appraisal system before it was implemented.					
34.	Only observable conduct is taken into account when I am being appraised.					
35.	The results of my appraisal are kept confidential.					

		0	1	2	3	4
36.	During the appraisal process my appraiser and I design a personal work plan for me.					
37.	The weighting of the different aspects of my performance in the appraisal process is realistic.					
38.	The appraisal system at the LCE makes provision for different ways of addressing poor staff performance.					
39.	The staff appraisal system at the LCE aligns my goals and objectives to the strategic objectives of the College as a whole.					
40.	The appraisal system at the LCE helps it to achieve its mission, vision and strategic goals/objectives.					

Now please provide your own comments with regard to the aspects dealt with in section B in the space provided below:

Section C: Strengths and weaknesses in the current staff appraisal system at the LCE
1. What, according to you, are the strengths of the current appraisal practices employed for academic staff members (lecturers) at the LCE?

2.   What, according to you, are weaknesses of the current appraisal practices employed for academic staff members (lecturers) at the LCE?
3.   Which management information is used by the institution to verify and review the weaknesses of the appraisal practices for academic staff members (lecturers) at the LCE?
4.   What are your recommendations to correct the weaknesses in the appraisal practices for academic staff members (lecturers) at the LCE?
5.   Your recommendations regarding rewards for good performance, i.e.:
Remuneration:

Promotion:
Bonuses:
5.4   Other incentives (please specify?):

Section D: Staff development

1.   Do you think staff appraisal should be linked to individual staff development? (Encircle the number of your choice.)

Please motivate your answer to question 1.

1	2	3
Yes	No	Uncertain

THANK YOU FOR YOUR ASSISTANCE.

YOUR CO-OPERATION IS HIGHLY APPRECIATED!

APPENDIX C: THE SURVEY RESULTS

STAFF APPRAISAL: A SURVEY OF ACADEMIC STAFF OPINION

This survey will assist the researcher in assessing the opinion of academic staff in connection with staff appraisal employed at the Lesotho College of Education (LCE).

Performance appraisal is a formal system of review and evaluation of individual or team performance. It is a process whereby the employee and the supervisor sit down and set the goals and objectives. The supervisor will then give feedback to the employee on how he/she has performed. In this questionnaire we concentrate on the appropriateness of the LCE appraisal system.

INSTRUCTIONS FOR ANSWERING THE QUESTIONS

Please complete this questionnaire by either answering the questions IN THE SPACE(S) PROVIDED *or* ENCIRCLING THE APPROPRIATE NUMBER *or* MAKING A CROSS (X) IN THE APPROPRIATE BOX, for

example: (2)   **or** | X | **(as applicable to the particular question)**

Section   A: Personal   and   professional   details
While your responses to the following questions are completely anonymous, it would be very useful if could you provide the personal details requested.

1.	For how many years have you worked at the Institution/ Department.

(Enter the number of years in the appropriate box)

The years of employment of the respondents

Number of years employed	Total	%
1-5	9	36
6-10	6	24
11-20	7	28
21-30	3	12
	25	100

2.	Which one of the following best describes you? (Make a cross in the appropriate box)	f	%
2.1	I am a member of the academic staff.	25	100
2.2	I am a member of the academic support staff.	0	0

3. How long have you been employed in your present position?

(enter the number of years in the appropriate box)

The number of years in present position of the respondents

Number of years employed in the present position	Total	%
1-5	10	40
6-10	7	28
11-20	7	28
21-30	1	4
	25	100

4. Into which age group do you fall?	f	%
26 to 30 years	2	8
31 to 35 years	6	24
36 to 40 years	5	20
41 to 45 years	6	24
46 to 50 years	3	12
51 to 55 years	1	4
56 years or older	2	8

5. What is you gender?		
Female	17	68
Male	8	32

6. What is your present post title?

The staff `s current post level

Current post level	Frequency	Percentage %
Lecture	22	88
Assistant lecturer	2	8
Assistant Director	1	4
	25	100

7. In which Department/Division are you presently employed?

The department /division of the respondents

Department/Division	Total	%
Language and Literature	1	4
Technology Studies	5	20
Foundations and Management	2	8
Education	3	12
In-service	1	4
Sesotho	4	16
Science	4	16
Arts	2	8
Maths and Science	2	8
Religious Education	1	4
	25	100

Section B: Rating the staff appraisal practices at the LCE

By making a cross (X) in the appropriate box, choose the expression (e.g. agree/disagree) which truly reflects your opinion of each of the 40 items in the table below. Use the scale below to rate the items. Please respond to all items.

N/A = Not applicable to me
1= Strongly disagree   2= Disagree
3= Agree   4= Strongly agree

ITEMS: **RATINGS:**

		N/A	1	2	3	4	Ave
1.	The appraisal system at the LCE is suitable and easy to use.	1	5	10	6	3	2.29
2	The appraisal system at the LCE motivates staff members to continuously improve their performance.	1	5	7	10	2	2.38
3.	I always receive feedback on my performance from my appraiser after the appraisal process has been completed.	6	7	4	4	4	2.26
4.	The appraisal system at the LCE makes provision for rewards/incentives for good performers.	5	7	7	5	1	2

		N/A	1	2	3	4	Ave
5.	The appraisal system at the LCE helps me to discuss my problems with my appraiser.	8	4	2	9	2	2.53
6.	The appraisal system at LCE helps me to discuss my problems with my colleagues.	2	3	3	13	4	2.78
7.	I am assessed against the goals and objectives that were set during the previous appraisal process.	5	7	2	8	3	2.35
8.	The appraisal system at the LCE helps the LCE management to identify staff develop-ment needs in general.	5	8	3	6	3	2.2
9.	The appraisal system at the LCE successfully distinguish between good performers and poor performers.	4	6	7	6	2	2.19
10.	The appraisal system at the LCE involves open communication between management and employees.	5	7	4	7	2	2.2
11.	The appraisal system at the LCE aids career planning.	6	3	8	8	0	2.26
12.	The appraisal system at the LCE is reviewed regularly.	7	11	3	4	0	1.61
13.	The appraisal process at the LCE is done objectively.	5	5	8	7	0	2.1
14.	Management at the LCE supports the appraisal system.	6	5	6	5	3	2.32
15.	I am appraised on all the possible aspects that may influence my performance.	6	7	5	4	3	2.16
16.	I am appraised on aspects that I do not have any control of.	8	2	3	7	5	2.88
17.	I will like my students to evaluate me as part of the appraisal process.	2	0	1	6	16	3.65
18.	In the appraisal process I also play an active role by having to assess myself.	1	2	4	9	9	3.04
19.	The appraisal system at the LCE allows peer appraisal as part of the process.	5	7	6	5	2	2.1
20.	If I am not satisfied with the outcome of my appraisal, I may ask for a revision of the process.	7	8	1	4	5	2.33
21.	More than one method (e.g. questionnaires/ interviews/discussions, etc.) is applied in the appraisal process.	6	11	3	1	4	1.89

		N/A	1	2	3	4	Ave
22.	Other persons besides my appraiser and I are also allowed to make contributions in the appraisal process.	3	10	7	5	0	1.77
23.	Academic staff members (lecturers) at the LCE should be appraised quarterly.	1	4	1	7	12	3.13
24.	Academic staff members (lecturers) at the LCE should be appraised less frequently than now.	2	11	3	6	3	2.04
25.	Staff appraisers at the LCE are sufficiently trained to appraise their subordinates.	4	9	5	5	2	2
26.	Academic staff members (lecturers) are doubtful about the staff appraisal currently done at the college.	4	4	3	6	8	2.86
27.	The appraisal system helps me to identify the areas in which I still need to develop.	2	4	2	8	9	2.96
28.	My supervisor shows appreciation for my achievements identified in the appraisal process.	5	5	5	7	3	2.4
29.	The appraisal system helps management and academic staff members (lecturers) to understand each other better.	4	4	3	8	6	2.76
30.	My goals and objectives identified during the appraisal process are directly related to my job.	6	5	2	8	4	2.58
31.	The appraisal system at the LCE helps to identify staff weaknesses at the college.	5	3	4	10	3	2.65
32.	Academic staff (lecturers) participated in designing the current appraisal system at the LCE.	4	13	4	4	0	1.57
33.	All stakeholders were properly informed about the appraisal system before it was implemented.	3	12	3	3	4	1.95
34.	Only observable conduct is taken into account when I am being appraised.	6	4	6	3	6	2.58
35.	The results of my appraisal are kept confidential.	5	2	6	5	7	2.85
36.	During the appraisal process my appraiser and I design a personal work plan for me.	5	7	6	4	3	2.15
37.	The weighting of the different aspects of my performance in the appraisal process is realistic.	4	5	5	9	2	2.38

		N/A	1	2	3	4	Ave
38.	The appraisal system at the LCE makes provision for different ways of addressing poor staff performance.	5	5	3	8	4	2.55
39.	The staff appraisal system at the LCE aligns my goals and objectives to the strategic objectives of the College as a whole.	6	7	3	7	2	2.21
40.	The appraisal system at the LCE helps it to achieve its mission, vision and strategic goals/objectives.	5	4	5	9	2	2.45

Now please provide your own comments on the aspects dealt with in section B in the space provided below:
_____

- The guidelines for the appraisal system are not clear (4).
- The appraisal system is not implemented correctly (3).
- The process is more understandable to management than to employees (2).
- The model of appraisal needs modification to be suitable for the institution (1).
- When appraisal was started, it brought about disagreement between staff and management (1).
- The appraisal system is done in a complicated way (1).
- There is no transparency in as far as it is concerned (1).
- The appraisal process is not realistic and objective (1).
- Management imposed the appraisal on lecturers (1).
- The appraisal process is done judgmentally (1).

Section C: Strengths and weaknesses in the current appraisal system

1.   What, according to you, are the strengths of the current appraisal practices employed for academic staff members (lecturers) at the LCE?

- Lecturers could know their weakness (4).
- The system gives staff members chance to forward the problems they encounter to the management (3).
- The system helps staff to achieve goals and objectives in line with their work (3).
- Feedback is kept confidential (2).
- Personal and professional growth is enhanced (2).
- The system empowers staff members to develop positive interpersonal skill (2).
- Lecturers can observe the deadlines and being particular in what they do (1).
- The system reviews their performance of employees periodically (1).
- Management and staff can strategically plan together (1).

2.	What, according to you, are weaknesses of the current appraisal practices employed for academic staff members (lecturers) at the LCE?

- There is poor communication between appraisers and appraisees (4).
- Appraisers are rating appraisees too low (4).
- The academic staff did not contribute when the system was design (3).
- The system did not give feedback (3).
- The system does not provide clear guidelines (3).
- The system is judgmental (3).
- Lecturers say the process is weak and a paper routine (2).
- The system does not indicate the frequency of meetings for discussion with the appraisers (1).
- Only senior management took part when it was design (1).
- Staff members were not informed of area of assessment (1).
- Peer group is not involved in the process (1).

3.	Which management information is used by the institution to verify and review the weaknesses of the appraisal practices for academic staff members (lecturers) at the LCE?

- The management does not have a tool to verify and review the weakness of the appraisal system at the LCE. (23)
- Government hired the Lesotho Institute of Public Administration and Management (LIPAM) to review the appraisal system. (2)

4.	What are your recommendations to correct the weaknesses in the appraisal practices for academic staff members (lecturers) at LCE?

- The system should be open and easy to use by both management and lecturers (6).
- The system should be user friendly (4).
- Lecturers should be involved in planning the system (4).
- Periodical review of the instruments is essential (3).
- Communication should be improved (3).
- The system should be implemented by trained personnel (3).
- Staff and supervisor should fill up the form together (3).
- Appraisal process must benefit staff and management (2).
- Management should organise workshops for them in order to appraise staff (2).
- Management should have workshops for the academic staff to make contribution on the review of the appraisal documents (2).
- The system should be honest (2).
- Lecturers should be appraised regularly (2).
- Good performance must be rewarded regularly (2).
- Supervisor and subordinates are first to be allowed to discuss the appraisal

process (2).
- Professional methods are to be followed when appraising the staff (1).
- The system should be suitable for academic staff (1).
- The system should motivate academic staff to improve professionally (1).
- The LCE should design an appraisal system that acknowledges performance rather than academic certificates (1).
- More than one method of appraisal should be used (1).
- Feedback on performance should be given to lecturers (1).
- The LCE management should have workshops whereby staff appraisal issues are discussed (1).
- Lecturers should be openly involved in mission statement of the institution (1).

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5. Your recommendations regarding rewards for good performance, i.e.:

(a) Remuneration

- Salaries are to be guided by good performance. (6)

(b) Promotion

- Promotion should be based on the basis of performance (7)
- Promotion should be based on the basic of research and publications. (1)
- Academic achievements such as (qualifications) (1)

(c) Bonuses

- Bonus will motivate the employees. (6)
- Training advancement should be given as incentives to good performance. (2)
- Management should subsidize study tours. (2)
- Acting allowance should be put in place. (1)
- Staff members to be nominated for study. (1)

(d) Others (please specify)

- Staff to be given emotional incentives. (3)
- A rotating trophy or a medal for good performance. (3)
- Refresher courses and entertainment functions. (2)
- Awards for identified quality are necessary. (2)
- Verbal recognition at a faculty meeting. (1)

Section D   Staff development

1. Do you think staff appraisal should be linked to individual development? (Encircle the number of your choice)

20	2	3
Yes	No	Uncertain

The vast majority of respondents (80%) answered yes. This indicates that lecturers are of the opinion that staff appraisal should be linked to individual development.

2.   Please motivate your answer to question 1?

- Staff members can know their own weakness to improve their performance (8).

- It is beneficial for academic staff (4).
- Nomination for further studies can be obtained through the practice of staff development (3).
- Lecturers know that they gain something at a personal level (2).
- Different talents and skills can be easily diagnosed and developed (2).
- Colleagues could help each other to develop professionally (2).
- When appraisal is developmental rather than judgmental the academic staff members take it more positive (1).
- When appraisal is developmental rather than judgmental the academic staff members use it appropriately (1).
- Lecturers are motivated to work harder (1).
- It helps staff to have a positive perception on their duties (1).

THANK YOU FOR YOUR ASSISTANCE.

YOUR CO-OPERATION IS HIGHLY APPRECIATED!

APPENDIX D

Form 29 (a)

PERFORMANCE MANAGEMENT SYSTEM FOR THE CIVIL SERVICE OF LESOTHO

PERFORMANCE REVIEW FORM

MINISTRY	DEPARTMENT	SECTION

Period of review from------------------- to   ....

GENERAL GUIDANCE

1. This Form is part of the Performance Management System for the Civil Service of Lesotho. The basic purpose is to assess, as objectively as possible, the employee's performance in the present job. The assessment will facilitate an objective and consistent basis for management decisions affecting advancements and employee development programmes.

2. For the appraisal to be objective, it is essential that the reporting officer:
(a) clearly understands the content of the appraiser's job description and job specifications; and
(b) properly knows the officer being appraised through work supervision of at least three months.

3. Before working on this Form, the supervisors or appraiser and the appraisees should be familiar with the document "Performance Management System for the Civil Service of Lesotho Guidelines".

PERSONAL INFORMATION

1. Name of officer ------------------------Employee No.----------------------
POSITION---------------------------.

	DAY	MONTH	YEAR
FIRST APPOINTMENT TO PRESENT POST			
COURSES ATTENDED DURING PERIOD OF APPRAISAL			
PERIOD WORKING WITH THE PRESENT APPRAISER			
NAME OF APPRAISER POSITION			
FIRST APPOINTMENT TO PRESENT POST			

This form is confidential and is held by the Supervisor during the review year. The appraisees should hold a copy. When completed, the Form is held in the appraisee's confidential file. It is available to Senior Management and the appraisee only. Three to four (3-4) copies should be completed and distributed as follows:

1. One copy to remain at Headquarters.
2. The Other one goes to the Department.
3. The third and fourth to appraisees and the appraiser.

ANNUAL WORK PLAN

NAME: ---
POST: --

MINISTRY-- DEPARTMENT--
PERIOD----------------------------- FROM----------------------------TO------------------------------

KEY TASK OBJECTIVES	TASKS (Activities further broken down)	PERFORMANCE INDICATORS (How results will be shown)	PERFORMANCE STANDARD TARGETS (An agreed minimum level of performance)

Appraisee's signature --

Appraiser's signature --

Period of review: From----------------------------- to------------------------------

Development Planning (This portion of the Appraisal Form will be copied and forwarded' to ministry	
The Training Section analysis. on and used as the basis for the following years)	
Analysis	
Name:	Personal No.:
Designation:	Grade:
Ministry:	Department/ Section
DEVELOPMENT NEEDS	DEVELOPMENT NEEDS
(a) Technical (Specify)	
(b) Managerial/Supervisory (Specify)	
(c) Organisational, e.g. Job rotation, Internal exposure, transfer to another job	
Other	

Appraiser's signature-------------------------------Appraisee's signature-----------------------------

Date .... Date.......... ....

QUARTERLY PROGRESS REVIEW

4. To be completed every three months during the review year. Progress and a required adjustment to the Work Plan are noted.

Progress for the quarter	Work plan adjustments if required	Appraisee's comments
from .... to	Appraiser's comment on Progress made to date Signature ....Date--------	Signature ....Date -----

	Work plan adjustments if required	Appraisee's comment
Progress for the quarter		
from .... to	Appraiser's comment on progress made to date Signature ....Date----------	Signature ....Date ----------
Progress for the quarter	Work plan adjustments if required	Appraisee's comment
from .... to	Appraiser's comment on progress made to date Signature ....Date------------	Signature ....Date
Progress for the quarter	Work plan adjustments if requ	Appraisee's comment
from .... to	Appraiser's comment on progress made to date Signature ....Date-----------	Signature ....Date-------

RATINGS ON ANNUAL WORK PLAN

NAME---

POST--

MINI5TRY--DEPARTMENT-------------------------

PERIOD ---------------------------------------FROM---------------------------TO-------------------------

Key tasks/objectives	Activities	PERFOR'MANCE INDICATORS	PERFORMANCE STANDARDS/TARGETS		
Areas of job the important performance on the on agreed objectives	State perform indicators which verify performance	An agreed minimum of performance	How has the employee performed		
			Appraisee rating	Appraiser rating	Joint rating

Appraisee's signature--

Appraiser's signature--

LEVEL OF ACHIEVEMENT RATINGS:

4=EXCEEDED EXPECTED TARGET   3=FULLY MET TARGET

2=PARTLY MET TARGET   1=DID NOT MEET TARGET

PERSONAL QUALITIES AND BEHAVIOURAL SCALE

	4	3	2	1	Ratings
Knows the procedure of the jo	Fully informed	Knows the job well	Has mastered details	Improving slowly	
1. OUTPUT – ACCURACY	4	3	2	1	
Reliable	Highest possible	Very good	Satisfactory	Too many shortcomings	
2. TIME MANAMENT	4	3	2	1	
Qualifying of time keeping level of absenteeism	Never late and keeps appointments	Late once in three months	Late once every month	Often late	
3 INITIATIVE	4	3	2	1	
How much initiative resulting in	Very high level initiative	Much initiative	Adequate	Rarely shows any	

accomplishment is shown?					
4. INTERPERSONAL RELATION Ability to get along with workers or the public	4	3	2	1	
	Exceptionally good	Very good	Reasonably good	Somewhat lacking	
5. EXPRESSION	4	3	2	1	
	Exceptionally good at all times	Always clear well set out	Generally clear concise	Good enough to get by	
6. ORGANISATION OF WORK	4	3	2	1	
	Exceptionally effective organiser	Considerable organising skills	Satisfactory	Indifferent organiser	

Appraiser's signature-- Appraisers' signature----------------

7. ANNUAL PERFORMANCE REVIEW

To be completed at the end of the review period or when an employee leaves a position.

Details of additional contributions made to Section by the Appraisal Department

----

Appraisee's remarks:

Other management comment: Head of Department/Principal/Secretary (if required):

Date .... Signature   ....

Rating performance

Outstanding	Very Good	Good	Satisfactory	Unsatisfactory

Exceptional performance	Performance consistently required level	Performance at required level	Performance usually meets required level	Performance less expected level

Appraiser's signature-------------------------------- Appraiser's signature------------------------------

Date---Date---

APPENDIX E

LESOTHO

CONFIDENTIAL REPORT

G.P.29

FOR ALL STAFF

(Excluding employees on Scale E <u>and temporary terms)</u>

Personal File No. --

A: PERSONAL PARTICULARS AND RECORD OF EMPLOYMENT-*(to be completed by the Officer)*

Full name---

Report for period from--to--

Ministry/ Department	Date of birth:	Day	Month	Year	Married	Single
Division an Branch		Entry to (a) Public Service			Years	Months
Substantive post/ grade		(b) Substantive				
		Post/Grade				
		Salary scale and salary				

```
┌────────────────────────────────────────────────────────────────────┐
│ Details of duties (with dates) during period covered by Report       │
│                                                                      │
│                                                                      │
│                                                                      │
│                                                                      │
└────────────────────────────────────────────────────────────────────┘

┌────────────────────────────────────────────────────────────────────┐
│ Courses of instruction taken during period covered by Report         │
│                                                                      │
│                                                                      │
│                                                                      │
│                                                                      │
└────────────────────────────────────────────────────────────────────┘
```

Date .... Signature of Officer--------------------------------------

B: CLASSIFICATION OF *DUTIES*-(to be completed by reporting

Officer for Professional Technical Officer only)

This Officer's work for the period of the report is classified: (*tick appropriate no.*)

Primarily professional/technical.............................   1.

Primarily administrative/executive........ ....   2.

A general combination of professional.. ....   3.

Technical* and administrative/executive   4.

(*Delete as appropriate)

Notes:

1. The Reporting officer should check Part A and amend and initial if necessary.

2. If the Countersigning Officer disagrees with any markings or remarks made by the Reporting Officer he/she should indicate the mark

3.He/she considers right in red ink and initials the entry.

C: REPORT ON QUALITIES AND PERFORMANCE OF DUTIES

CHARACTER AND PERSONALITY

(The item marked will only be completed for an officer when applicable)

Tick the appropriate number under each of the following headings:

1. Responsibility

Seeks and accepts responsibility at all time	1.
Very willing to accept responsibility...............................	2.
Accepts responsibility as it comes	3.
Inclined to refer up matters he/she could himself decide.	4.
Avoids taking responsibility	5.

2. Relations with colleagues

Wins and retains the highest regard of all	1.
Is generally liked and respected	2.
Gets on reasonably well with most people......................	3.
Not very easy in his/her relationships...........................	4.
A very difficult colleague	5.

3. Contact with the public

Outstandingly effective, helpful and courteous	1.
Considerate and firm as required	2.
Handles them quite well..	3.
His manner tends to be unfortunate	4.
Poor capacity at dealing with them	5.

4. Perception

Is very resourceful and has marked creative ability..........	1.
Can generally be relied on to cope with any problem	2.
Usually grasps a point correctly	3.
Not very quick on the uptake..	4.
Often misses the point	5.

5. Initiative and constructive power

Can be relied on always to use initiative and produce a solution..	1.
Generally uses initiative and contributes to a solution	2.
Normally adequate without usingg a great deal of initiative	3.
Seldom uses initiative or takes any constructive action	4.
Fails to respond to a new situation	5.

6. Judgement:

Judgement consistently sound and well thought out	1.
View on a matter is nearly always constructive and sensible	2.
Judgement is reasonably; satisfactory on most matters	3.
Judgement tends to be erratic...................................	4
Judgement cannot be related on	5.

KNOWLEDGE AND PERFORMANCE OF DUTIES

7. Knowledge of work

(This relates to an officer's immediate range of duties and other work having a bearing on management)

Outstanding knowledge of detail and background............   1.

Good working knowledge and tries to acquire more ....   2.

Adequate for normal requirements................ ....   3.

Has only a limited knowledge ....   4.

Knowledge inadequate and makes no effort to improve   5.

8. Output

Outstanding in the amount of work done ....   1.

Gets through a great deal of work   ....   2.

Output satisfactory ....   3.

Does rather less than expected...............................   4.

Output regularly insufficient ....   5.

9. Quality

(Tick under the following headings 9-14 *as appropriate)*

Distinguished for accurate and thorough work ....   1.

Maintains a high standard ....   2.

Work is generally of good quality..........................   3.

Performance is erratic ....   4.

Inaccurate and slovenly in his/her work ....   5.

10. Expression on paper

Exceptionally good at all written work ....   1.

Written work always clear, cogent and well set out Generally expresses

Him/herself clearly and concisely   2.

Written work just good enough to get by   3.

Cannot express him/herself clearly on paper   4.

11. Oral expression

Extremely effective	1.
Puts his points across convincingly	2.
Expresses himself adequately	3.
Does not put his points across well	4.
Ineffective- ..... _____	5.

12. Figure work

Exceptionally good at all kinds of figure work	1.
Handles and interprets figures very well...................	2.
Competent at figure work..............................	3.
Has no aptitude for figures but manages to get by	4.
Poor at figures.......	5.

13. Leadership and management of staff

Always inspires staff to give of their best	1.
Manages them very well..	2.
Manages them adequately	3.
Does not control them very skilfully	4.
Handles them badly	5.

14. Organisation of work

An exceptionally effective organiser	1.
Shows considerable organising skills	2.
Plans and controls work satisfactorily	3.
An indifferent organiser............	4.
Cannot organise	5.

The headings 15-17 will only be completed where appropriate and where the markings and remarks under the previous items have not fully covered all of the officer's qualities and performance of duties.

I5. Professional or technical ability

16. Administrative/executive ability - For professional technical officer only

17. Special attributes, aptitudes or experience

D: OVERALL GRADING FOR QUALITIES AND PERFORMANCE OF DUTIES DURING PERIOD COVERED BY THIS REPORT

Tick

Appropriate No.

1. OUTSTANDING	An exceptional officer <u>Outputting</u> most aspects	1.
2. VERY GOOD	An able and effective officer	2.
3. GOOD	A moderately competent officer	3.
4. INDIFFERENT	A below average officer with room for improvement	4.
5. UNSATISFACTORY	Definitely not up to duties of grade	5.

\

Parts C and D of this form deal with an officer's qualities and performance in his/her present grade, (Part E) requires for an estimate of his/her performance in a higher grade, and are quite distinct. An officer may' have been well marked in Parts C and D without necessarily being ready or suitable for promotion.

E: FITNESS FOR PROMOTION: Recommended for promotion

Tick Appropriate No.

EXCEPTIONALLY WELL QUALIFIED (likely to stand out in the higher grade)   1.

WELL QUALIFIED (well fitted for immediate promotion and likely to do well

in the higher grade)   2.

7

QUALIFIED (able to do the higher job adequately)   3.

Not recommended for promotion

LIKELY TO QUALFY IN TIME (should qualify for the higher job after

moral uplifting)   4.
.

UNLIKELY TO QUALIFY (shows litte or no promise)   5.

F: REPORTING OFFICERS GENERAL REMARKS AND CERTIFICATE

Note here general comments on conduct, personality, loyalty, etc. and any other information
or comments not covered by previous parts of the report.

I hereby certify that, in my opinion, the standard of efficiency and the grading for promotion
of the---officer named are as stated:
Post---------------------------------------
Date----------------------Signature-----------------------------Grade -----------------

Post--- Grade---------------------------------

G: COUNTERSIGNING OFFICER'S REMARKS AND CERTIFICATE

Make here any general comments. If the officer is, or may become suitable for *accelerated*
promotion or transfer to another category of the Service or promotion to senior administrative
work, this should be stated.

1 hereby certify that, in my opinion, the grading awarded by the Reporting Officer are
correct. Subject to any correcting entries or remarks which I lave made and initiated.
Post--
Date--------------------- Signature.. Grade--------

H: REMARKS BY PERMANENT SECRETARY/HEAD OF DEPARTMENT *(if other than*
Countersigning Officer)

Date…………………………Post----------------------------Grade---------------------------

J: ACTION ON "Unsatisfactory" MARKINGS IN PARTS C AND D:

Signature	Date

APPENDIX F

PERFORMANCE REVIEW FORM 29(b)

GRADE A-D EMPLOYEES

PERIOD OF REVIEW

FROM............…................................TO:............................ ......

NAME--

Employee No.-------------------------Ministry------------------------

Department--------------------------Section-------------------------

Job title---Grade-------------------------------

Period in present job---------------------------------Date of appraisal---------------

INSTRUCTIONS:

This Form is filled in quarterly. Please tick *(v)* appropriate blocks

(Appraisee should tick in Blocks 1; Appraiser in Blocks 2; and Joint Rating in Blocks 3.)

SECTION A:

JOB FACTORS	VERY GOOD			SATISFACTORY			UNSATISFACTORY		
Job Knowledge									
Absenteeism and time-keeping									
Vehicle Maintenance (if applicable)									
Quality of work									
Output (if applicable)									
Co-operation with peers									
Co-operation with Supervisors									
Relationship with the Public									

SECTION B: OVERALL ASSESSMENT OF PERFORMANCE

To be filled in at the end of the year or when an employee leaves a position.

VERY GOOD

SATISFACTORY

UNSATISFACTORY

	2		3

1.

	2		3		1		2		3

1.

All main duties carried out well/The majority of duties carried out to/Close supervision required to and with minimum supervision.

Acceptable standards	achieve
progress and	avoid
The way the job can be done	mistakes.

Present performance :

Has been improved.	1.
Acceptable;	2.
Must improve.	3.

Appraiser's signature-------------------- Appraiseee's signature--------------------------

Date--   Date----------------------------------

SECTION C:

Appraisee's remarks: --

Signature .... Date--------------------

Appraiser's remarks: --

Signature... .... Date----------------------

Head of Department's remarks: ---

Signature:---------------------------------- Date: ....

SECTION D   TRAINING AND DEVELOPMENT NEEDS

(To be filled in during the preparation of Annual Workplans, if it is necessary)

From:--------------------------to-------------------------------------

TRAINING AND DEVELOPMENT NEEDS	DURATION AND TARGET DATES
Identified areas requiring training development	

Signature .... Date--------------------

APPENDIX G

PERFORMANCE INDICATORS OF AN APPRAISAL SYSTEM

The following are the performance indicators under the different headings:

1.   Design, policy and documentation of the system

- The planning process should be transparent, participative, consultative, developmental, self-evaluative, evolutionary, preparatory and within policy frames.

- The planning and design process should be informed about the characteristics required of performance management for academic staff in order for the system to be viewed as effective and efficient.

    - In the design process, determine what skills, outputs and accomplishments will be evaluated during each appraisal.

    - The appraisal forms have to be designed and a user guide or policies and procedure manual for managers must be prepared.

    - The acceptability of the appraisal system is an extremely important prerequisite, since the support and perceived legitimacy a system receives from both management and employees (academic staff) will probably carry more weight in determining its success than its inherent technical soundness.

    - Policy-makers must determine exactly what areas of performance are going to be reviewed and how these areas are related to the organisation's goals.

    - The appraisal forms have to be designed and a user guide or policies and procedure manual for managers must be prepared.

- An effective performance appraisal system should enable and empower management to implement the strategy and objectives of the organisation successfully.

- Practicality implies that an appraisal system should be easy to understand and to use by managers and subordinates alike. It should thus be "user-friendly" and manageable in terms of the amount of administration (time and paperwork) it requires and in terms of its cost-effectiveness.

- Setting appropriate criteria that meet the requirements is a crucial component of the entire system and a key determinant of its success.

- A common deficiency in appraisal is that the evaluators seldom receive training on how to conduct effective evaluations.

- The staff appraisal system should be able to measure individual performance without being contaminated by extraneous factors that are outside the employee's control.

2. Dissemination of the system

- The success of performance appraisal is largely dependent on the extent to which academic staff members accept and take ownership of the system.

- Prior to the implementation of the appraisal process, supervisors should discuss with the employees the method that will be used. The discussion should specify which areas of performance are evaluated, how often, how the evaluation takes place and its significance to the employee.

- The appraisal process is a joint exercise in which contributions from both the appraiser and the appraisee are critical to the successful operation of the scheme.

- A good appraisal system provides highly desired feedback on a continuing basis, as well as continuous communication between management and the employees.

- Most employees have a strong need to know how well they are performing.

- The training for evaluators should be an ongoing process in order to ensure accuracy and consistency. Moreover, it should cover how to appraise employees and (for the supervisors) how to conduct appraisal interviews.

- Unfair ratings may result in charges of discrimination, loss of employee morale and productivity, or inaccurate appraisals, which may lead to poor compensation or staffing decisions.

- To ensure that academic staff workload allocations are made according to job specifications and are realistic, equitable, fair and strategically aligned.

- Criteria are the measures of "what a person has to do to be successful at performing his/her job" and may be obvious in certain jobs.

3.   **Implementing the system**

- The system is to be reliable, that is, it must produce evaluations or ratings that are consistent and repeatable.

- The appraisal system should be valid, that is, it must therefore be directly related to the objectives of the job and the goals of the organisation.

- The staff appraisal system should be able to measure individual performance without being contaminated by extraneous factors that are outside the employee's control, for example material shortages and inappropriate equipment or procedures.

- Supervisors and line managers must ensure successful implementation of the performance appraisal system in different faculties/departments/units, that is, to ensure that the system is implemented according to policy and is consistent, objective, open and fair.

- To implement the system according to policy and within time frames determined by senior management.

- Discriminability: Despite being highly relevant and reliable, the system will still be of no use if it is unable to distinguish between good performers and poor performers and if the appraisal system gives rise to similar ratings for both effective and ineffective employees through design deficiencies.

- A critical step in the performance appraisal process is training supervisors (or other appraisers) so that they prepare fair and accurate appraisals and effectively communicate the evaluation to the employee.

- When implementing the appraisal system, ensure that academic staff members are given the opportunity to receive career counselling and engage in career planning.

- Using open communication channels provides continuous support in a form of formal and informal feedback and discussion.

- Manage poor performance of academic staff by motivating the staff to go for training opportunities that is geared towards addressing the areas of weakness.

4.   Reviewing and maintaining the appraisal system

- To ensure that the system is effective and well accepted by its users it should be frequently reviewed: Periodic reviews are absolutely necessary for system effectiveness and efficiency.

- The review should be initiated during the planning phase with self-evaluative measures implemented during the planning process.

- The review process itself should also be transparent, participative, consultative and evolutionary.

- A critical aspect of performance appraisal is the use of goal-setting: How specifically or rigidly these goals are to be pursued is determined by the appraisal method used.

- Criteria are the measures of "what a person has to do to be successful at performing his/her job" and may be obvious in certain jobs.