

**AN EVALUATION OF THE IMPLEMENTATION AND EFFECTIVENESS
OF THE PERFORMANCE APPRAISAL SYSTEM BY MINISTRY OF
GENERAL EDUCATION IN SELECTED SECONDARY SCHOOLS IN
LUSAKA, ZAMBIA**

KWAME NKRUMAH UNIVERSITY

BY

SANDRA MULESU

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SUPERVISOR: DR. R.M. KABETA

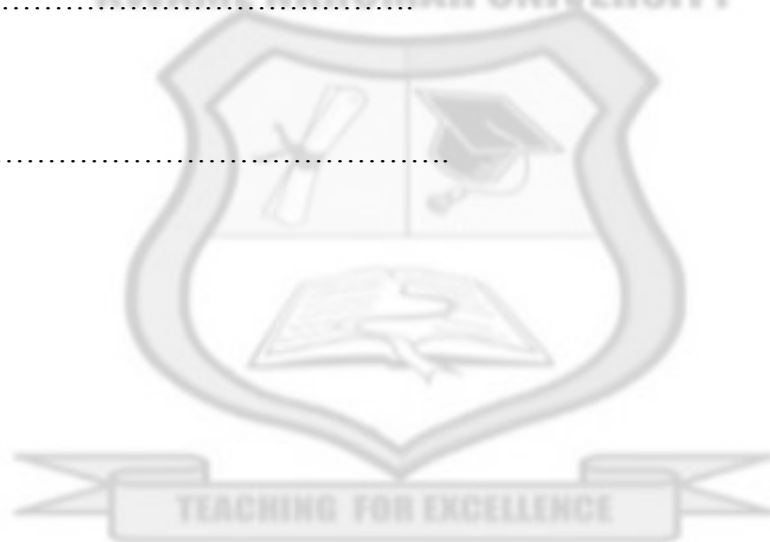
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DECLARATION

I, Sandra Mulesu, do hereby declare that AN EVALUATION OF THE IMPLIMENTATION AND EFFECTIVENESS OF THE PERFORMANCE APPRAISAL SYSTEM BY MINISTRY OF GENERAL EDUCATION IN SELECTED SECONDARY SCHOOLS IN LUSAKA, ZAMBIA is my own, original work prepared specifically for this dissertation and that all the sources I have used or quoted have been indicated and acknowledged by means of complete references.

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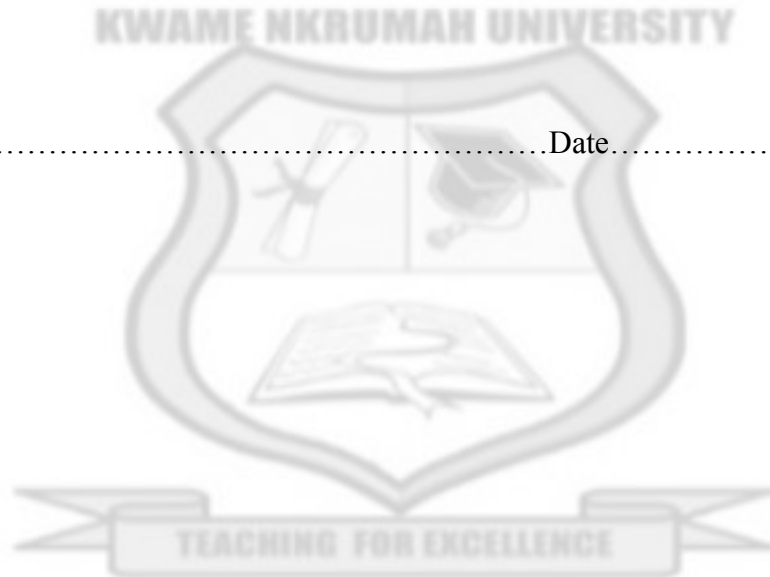


APPROVAL

This thesis of Sandra Mulesu is approved as fulfilling part of the requirements for the award of Master’s Degree in Educational Administration and Leadership by Kwame Nkrumah University.

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ABSTRACT

The main purpose of this study was to find out the relevance of the Performance Appraisal System (PAS) by establishing its effectiveness and efficiency in terms of performance by the teachers in selected secondary schools in Lusaka district in the Lusaka province of Zambia. Performance appraisal is an extensively used formal assessment in many organizations to determine employees' performance in relation to the achievement of organizational goals, and to settle on ways for future improvements. The main concern of this study was that despite the introduction of the PAS and its implementation in the Ministry of General Education, performance of teachers seems not to have improved so much, it is also not clear whether the system is working well and effective and also not so many studies have been carried out to find out how the appraisal system is fairing among the teachers. The general objective of this study was to determine the relevance of the PAS in the Ministry of General Education in terms of its effectiveness and efficiency in assessing performance of teachers. The specific objectives were: (i) To establish the meaning and understanding of PAS among head teachers and teachers, (ii) To establish if the appraisee participate in the PAS in selected secondary schools in Lusaka district of Zambia, and (iii) To identify the flaws in the use and application of the PAS.

To achieve the central objective of the study, a mixed method approach was employed, and only three secondary schools were picked as a unit of analysis. Therefore, an exploratory sequential approach was adopted, and the collection of data was done using questionnaires and interviews. Document analysis was also employed. The sample of the study comprised teachers, heads of departments and head teachers. Teachers were randomly picked while heads of departments and head teachers were purposively selected.

The findings from this study indicate that the PAS as a tool for measuring or assessing teachers' performance is still very relevant, but in practice the process has got a number of operational challenges such as limiting the understanding of the PAS only to promotion and confirmation. Rather than enhancing effectiveness and efficiency in performance, limiting participation to an agreement on the ratings and the pending of signatures by both the appraiser and the appraisee instead of participation also in the preparation of the departmental and individual work plans at the beginning of each year. Lack of feedback and not forwarding the document by the

administrators to relevant authorities, holding of the assessment of teachers during exam time at the end of the year, and several duplications of questions in the PAS document.



DEDICATION

This work is dedicated to the memories of my beloved late father, Mr. Nelson Kaluba Mulesu, whom I miss every day; the fact that you are no more is motivation enough for me to work hard.



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It is my pleasure to express my gratitude and acknowledge the many people whose support was indispensable to the completion of my dissertation. I acknowledge the fact that without God I am nothing. This work was only possible because of God.

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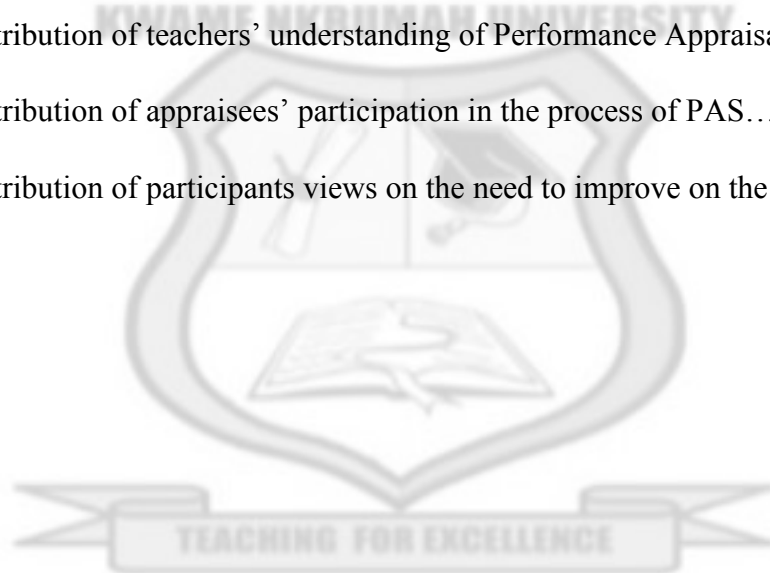
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ABBREVIATIONS AND ACRONYSM

- ACR Annual Confidential Report
- APAS Annual Performance Appraisal System
- CIPP Context Input Process Product evaluation
- PAS Performance Appraisal System
- PMP Performance Management Package
- PRSP Public Service Reforms Programme
- SPSS Statistical Package for Social Sciences
- DHR Division of Human Resources



CHAPTER ONE

1.0 Introduction

This chapter gives a brief overview of the development of the performance appraisal system tool in the Zambian civil service, from the Annual Confidential Report (ACR) to the Performance Appraisal System (PAS). Included in this part are also the statement of the problem, purpose and the objectives of the study, the research questions and the significance of the study. Limitations and delimitations, together with the theoretical frameworks, context, and organisation of the study, and the definition of terms are also included in this chapter.

1.1 Background to the study

Performance appraisal is an extensively used formal assessment in many organisations to determine employees' performance in relation to the achievement of organisational goals, and to settle on ways for future improvements. A Performance Appraisal System embodies the tools and procedures or guidelines used by trained assessors in conducting the assessment of employees. In view of many contemporary research analysts on performance management and work reviews such as MacMillan (2015), the use of properly constructed appraisals should form part of an ongoing performance management process and they should represent a summary of an ongoing, year-round dialogue. Although performance appraisal is a very significant part of performance management, it is not performance management in itself but a system used to assess performance of employees (Chartered Institute of Personnel Development, 2013). Many organizations worldwide use the results of the assessment to make decisions on employees' promotions, compensations, rewards, increments, training and career development programmes.

In Zambia, the Performance Appraisal System (PAS) is the main tool used in measuring performance among the civil servants since the launch of the Performance Management Package (PMP) in 1997. PAS was implemented by the government to ensure that the performance by civil servants is properly assessed (Mulikita, 2002). Basically, the implementation serves two main purposes: to ensure that workers are fairly and effectively assessed, and to increase work performance. This is in line with the observations by Cascio (1992) that PAS is the total process of observing an employee's performance in relation to job requirement over a period of time. It clarifies expectations, sets goals, and provides on-the-job coaching, storing and recalling information about performance. Basically, the appraisal part is the formal assessment done on employees' performance usually at the end of a period to find out whether goals were achieved, standards were met and feedback communicated to employees to encourage them to perform better to meet corporate set goals.

This was with the view that the workers' performance would improve whereby poor performers would be detected and recommended either for re-training or dismissal, while good performers would be recommended for promotion or increase in their salaries.

As part of the performance management process, supervisors interact with and evaluate employees' work output with respect to successes achieved in the previous year and use the feedback to set new goals for the next appraisal period (New Charter University, 2014). Researchers on performance appraisals such as Lawler et al. (2012) indicate that performance appraisals are effective when the performance management of an organisation's employees is based on goals that are jointly set by both supervisor and staff, and are driven by the school's business strategy, and if trained managers do the appraisals. They add that appraisals are very effective only if performance appraisals are designed and executed correctly by trained personnel and the managers are held accountable for how well they do the appraisals.

From the above, it is clear that the PAS is based on target setting and work planning in order to improve performance in the Public Service and create optimal, efficient and effective service delivery. More specifically, the PAS was introduced in order to:

1. Assess the job holder's achievements (Performance) against set targets.
2. Establish the jobholder's strengths and weaknesses in the performance of the job;
3. Identify the causes of the weaknesses;
4. Recommend further developmental or training needs of an individual to fill the training gaps between a job specification, job description and the individual; and
5. Appropriately reward employees who perform well (PRSP Bulletin, 2006).

Before the introduction of the Performance Management Package (PMP), the Annual Confidential Report (ACR) was used in the assessment of individual performance in the public service. The ACR was adopted by the Zambian government from the British Colonial Administration, as the only tool for assessing performance in the public service. Under the ACR, assessment was mainly based on the supervisors' personal observations and perceptions about an individual instead of on work planning and targets setting. The weakness of the ACR was that appraisee did not have access and input in the whole process since the manager or supervisors had to do the whole process without the input and contribution of the one being appraised. It is for this reason that Cabinet Office (1997), under the initiative of the Public Service Reforms Programme (PRSP) introduced a new Performance Appraisal System (PAS) to replace the traditional ACR (PSRP Bulletin, 2006).

The new appraisal system at least restored the credibility of the staff reporting mechanism which was lost under the ACR system, and its goal was to improve the quality, efficiency and cost effectiveness of the Public Service to the people of Zambia (Mulikita, 2002).

Basically, the rationale behind the PAS was to improve the efficiency and effectiveness of the Public Service in the performance of its functions by establishing Management Systems of accountability and performance in the Public Service and developing skills which will enable senior managers to effectively manage the Public Service. The other rationale was to put in place an effective personnel evaluation instrument and management information system to enable the Government to compile and manage data useful in making vital personnel decisions at the time of confirmation, promotion, discipline, transfer and retirement of Public Servants, (ibid).

Though the Performance Appraisal is an extensively used formal assessment in many organisations throughout the world to determine employees' performance in relation to the achievement of organisational goals and to settle on ways for future improvements, most studies done on the evaluation of the Performance Appraisal have indicated some flaws in the use and application of the PAS. For example, in South Africa, a study was done by Atta-Quartey (2015) to investigate staff's perception on the effectiveness of the annual assessment system and examine the motivation status of staff after assessment. Convenience sampling technique was used to select some senior members and senior staff who were drawn from the various administrative departments within the University. The Statistical Package for Social Sciences (SPSS) was used to help analyze the primary data collected. This study concluded that performance appraisal, likewise performance management at the University of Cape Coast, lacked policy direction due to lack of guiding principles in the use of performance appraisal tool. And without the use of guiding principles for monitoring performance and appraising staff, it is possible that many people were actually not performing and therefore assessments at UCC suffered a variety of judgment errors and biases due to subjective appraisals. Part of the recommendations was that the Division of Human Resources (DHR) should arrange training programmes for all supervisors who are raters in order to equip them with appropriate skills of providing feedback to staff which will motivate staff to improve upon their performance. Finally, the DHR should review the appraisal system from start to finish and introduce new appraisal systems for the various levels of administrative staff.

Similar observations were made in another study carried out in South Africa (Khauoe, *et.al*, 2015) concerning the efficiency and effectiveness of the PAS. The study revealed that 44% of the interviewed personnel at the Department of Environment Affairs (Chemicals and Waste Management branch) suggested that performance appraisal is unfair, the criteria for

assessments is inconsistent and that appraisers are not skilled to conduct Performance Appraisal. The participants argued that supervisors used performance appraisals to settle personal vendettas, which, if true, is a serious allegation. The study further showed that 45% of the interviewed employees consider that they were victimised against incidents that have no bearing on their actual performance through the use of performance appraisals. The survey indicated that 40% of the respondents consider that managers fail to provide subordinates with regular feedback on their performance during the year, but tended to wait for the end of year to criticise them in the performance appraisal meeting. About 30% of the interviewed respondents perceived that performance appraisal in the department focused more on rewards than developmental purposes.

In Zambia, a similar study was done by one scholar Geoffrey Kamfwa (2016) at the University of Zambia. The main objective of his study was to evaluate the effectiveness of the Performance Appraisal System (PAS) in improving performance in selected Ministries of the Zambian Civil Service. The specific objectives of his study were to determine the implementation of performance planning and monitoring among Civil Servants in the three ministries namely Education, Health and Agriculture, to establish if the PAS was effectively used in appraising performance of civil servants, and to determine the extent of the utilization of the PAS in making Human Resource decisions in the above mentioned Ministries. Basically, the mixed method approach was used, and for data collection, Kamfwa (2016) used questionnaires, semi-structured interview guide and analysis of other relevant documents. A mixture of stratified random and clustered sampling was used to draw a sample 126 respondent from the above mentioned three (3) restructured Ministries. Quantitative data was analyzed using the Statistical Package for Social Sciences (SPSS) version 27 and Microsoft Excel Computer Software Package.

The study revealed that PAS was not effectively used in appraising performance in concerned Ministries. Departmental and Individual Work plans and target setting were not strictly adhered to in all the concerned Ministries. Furthermore, PAS was only used for the purposes of confirmation and substantive promotions in the Civil Service. The study also revealed that there were inconsistencies in implementing performance planning, monitoring and feedback provision in the concerned Ministries. It was further revealed that the PAS was not effectively used in making critical human resource decision such as identifying officers who should be promoted. Finally, it was revealed that the PAS had not achieved almost all the objectives for which it was established.

It is now almost 4 years since Kamfwa presented his findings to the public which are similar to the observations by Atta-Quartey (2015) and Khauoe and others (2015) mentioned above.

From the findings from the above mentioned three different studies, the impression given is that the PAS is being implemented wrongly by the teachers and the supervisors, away from its intended objectives. If this is the case, then it is not serving its purpose of enhancing efficiency in the performance of the employees. While Kamfwa's study focused on the three (3) ministries, which includes the Ministry of General Education, this study focused on the Ministry of General Education, narrowing down to a few selected secondary schools in Lusaka district. This is with the view of establishing whether the PAS has achieved its objectives, especially in the improvement of efficiency and effectiveness in performance by the teachers, or if at all there is need for a more efficient and effective system. This study determined the relevance of the PAS today especially in the awake of the current concept of the "Contract" theory which promulgates that workers or employees on contract are more efficient and effective in performance than those on permanent basis. This concept is slowly being implemented in the civil service in Zambia, especially at the level of Permanent Secretaries (PS). Recently, the Secretary to the Cabinet announced that all PS would now be employed on contract basis in order to enhance efficiency and effectiveness.

1.3 Statement of the problem

The main goal of the PAS is to improve efficiency and effectiveness in service delivery in the Public Service. According to the study by Kamfwa (2016) and other scholars (Atta-Quartey, 2015, and Khauoe and others, 2015), the PAS was not effectively used in appraising performance by the employees. Despite the introduction of the PAS and its implementation, performance of teachers seems not to have improved so much, it is also not clear whether the system is working well and effective. What is not known is how the appraisal system is fairing among the teachers.

1.4 Purpose of the study

The purpose of this study was to find out the relevance of the PAS by establishing its effectiveness and efficiency in terms of performance by the teachers in selected secondary schools.

1.5 General objective

The general objective of this study was to determine the relevance of the PAS in the Ministry of General Education in terms of its effectiveness and efficiency in assessing performance of teachers.

1.5.1 Specific Objectives

- I. To establish the meaning and understanding of PAS among head teachers and teachers.

- II. To examine the participation of the appraisee in the PAS in selected secondary schools in Lusaka district of Zambia.
- III. To identify the flaws in the use and application of the PAS.

1.6 Main research question

How relevant is the APAS today in the Ministry of General Education?

1.6.1 Specific research questions

This study will be guided by the following questions:

- I. What is the meaning and understanding of PAS by the teachers?
- II. To what extent does the appraisee participate in the process of PAS in the selected secondary schools in Lusaka district of Zambia?
- III. What are some of the flaws found in the use and application of the PAS?

1.7 Significance of the study

It is hoped that the knowledge generated from this study could help in the understanding of how the PAS is used in performance reviews of employees in the Civil Service. The findings of this study may also be used by policy makers to reformulate performance appraisals in the country, and also contribute to the body of knowledge on the effectiveness of performance appraisals. Furthermore, this study may bring to light employees' understanding and appreciation of the performance appraisal system and the relevance of an objective, systematic and effective performance appraisal.

1.8 Delimitation of the study (scope of the study)

In order to use the researchers' time and resources effectively and to be able to manage the study adequately, this study was conducted in Lusaka, Zambia, where the selected secondary schools were easily accessible.

1.9 Limitation of the study

The study was only confined to the three selected schools in Lusaka district. This may be a challenge when it comes to the generalisation of the findings, for the sample may be too small to make a genuine generalisation.

1.10 Theoretical framework

This study was informed by the theoretical frameworks governing Management Evaluation Model, with a clear reflection on performance appraisals. According to Payne et al (1994), the basic idea of the management evaluation approach is that the evaluator's job is to provide information to management to help them in making decisions about programmes, products and others. The evaluator's job is to serve managers or whoever the key decision makers are

for that programme. Ogula (2002) quoted by Mkandawire (2012) also adds that “the rationale of the management oriented evaluation approach is that evaluation data are an essential component of good decision making”. Therefore, this study employed the Context evaluation, input evaluation, process evaluation and product evaluation CIPP Model as proposed by Stufflebeam.

According to Smith (1980), CIPP model was developed by the Phi Delta Kappa Committee on evaluation. Stufflebeam (1971) describes evaluation according to the CIPP model as a “process of delineating, obtaining and providing useful information for judging decisions alternatives”. The CIPP evaluation model is therefore a Comprehensive framework for guiding evaluation of programs, projects, personnel, products, institutions and systems. According to Stufflebeam’s CIPP Model (1971), this model has a number of components which it addresses. It is a simple system model applied to programme evaluation. A basic open system includes input, process and output. Stufflebeam added context, included input and process, and relabelled output with the term product. It is important to note that the CIPP model components are typically viewed as separate forms of evaluation, but they can also be viewed as steps or in comprehensive evaluation (ibid).

Summary of the CIPP Management Model according to Stufflebeam

Context evaluation – this serves planning decisions by identifying unmet needs, and unused opportunities. It helps in examining and describing the context of the programme under evaluation, conducting a needs and goals assessment, determining the objectives of the programme, and determines where the proposed objectives will be sufficiently responsive to the identified needs, Stufflebeam (1971).

This study used context evaluation in examining whether the objective work planning and target setting to improve service delivery has been the cornerstone in performance improvement. This study also checked if effectiveness has been achieved in line with the objectives for which the performance appraisal process was established in the Civil Service.

Input evaluation –this serves structuring decisions by projecting and analysing alternative procedural designs. It has to do with activities such as a description of the program inputs and resources, a comparison of how the programme might perform compared to the other programmes, an evaluation of the proposed design of the programme and examination of what alternative strategies and procedures for the programme should be considered and recommended, Stufflebeam (1997).

This study linked the process of strategic planning, work planning, target setting and performance appraisal. The study also links performance improvement towards the set goals in that particular year or period of the appraisal, and employees’ goals that are met or have significant progress made by a set time such as the next evaluation.

Process evaluation – this serves implementing decisions by monitoring project or programme operations. It has to do with examining how the programme is being implemented, monitoring how the programme is performing, auditing the programme to make sure that it is following required legal and ethical guidelines, and identifying defects in the procedural design or the implementation of the programme. Evaluators typically provide this kind of feedback to the programme personnel because it can be helpful in making process evaluation decisions such as decision about how to modify or improve the programme, Stufflebeam (1997).

In this study, process evaluation helped in assessing whether improved performance is rewarded and punished in an event that there is sub-standard performance. **Product evaluation** – this serves recycling decisions by determining the degree to which the objectives have been achieved and by determining the causes of the obtained results. It has to do with determining and examining the general and specific outcomes of the programme such as those which require using impact or outcome assessment techniques, measuring anticipated outcomes, attempting to identify unanticipated outcomes, conducting a retrospective benefits/cost assessment and conducting a cost effectiveness, (ibid).

The concept of the CIPP model as postulated by Stufflebeam resonates very well with this study. This study links product evaluation to the reward/sanction that comes with the level of expected performance. The study links the human resource decisions that are made after the conclusion of the appraisal process. The CIPP evaluation model is a comprehensive framework for guiding evaluation of personnel and systems. Corresponding to the letters in the acronyms CIPP, this model's core parts are context, inputs and product evaluation. In general these four parts of an evaluation respectively asks, what needs to be done? How should it be done? Is it being done? Did it succeed?

Product evaluation is divided into impact, effectiveness, sustainability and transportability evaluation. Respectively, these four product evaluation subparts ask, were the right beneficiaries reached? Were the needs met? A way of assessing the effectiveness of an appraisal system is by measuring its degree of the impact on the general outputs in terms of planned work and targets set. In this study, therefore, the term effectiveness was used to refer to the degree to which performance was improving service delivery. Generally, the CIPP Model, is more focused on determining the effectiveness of any program and the personnel involved. It can be correctly argued that the effectiveness of the organization can only be known after the performance of organization activities planned. Therefore, contextual evaluation of the CIPP model resonates well with effective work planning process from which performance appraisals can be conducted. Effectiveness in an appraisal system can hence, measure the work planned and the target met out of what was planned.

Another way of assessing the effectiveness of the input evaluation in the CIPP model would be to examine work planning process. The input evaluation asks question of, how shall we do it? Work planning must be aligned to the organization's long term objectives. Work planning must state, in specific terms, targets to be achieved (at institutional or individual employee levels). Feedback and monitoring must be developed to check achievement of goals. Both the supervisor and the subordinate must have full commitment to the work planned.

This study adopted the process evaluation of the CIPP model which asks a question, are we doing as planned? In every performance appraisal there has to be performance monitoring. Performance monitoring is an activity which involves a series of observations carried out to show the extent of progress towards attainment of set goal in work plans. Performance monitoring should, therefore, be based on well-defined indicators, shown in the strategic plans, and targets as contained in Departmental and individual work plans. Product evaluation of the CIPP model looks at the outcome and the impact created in the whole process of the evaluation. It asks a question, has what was planned been achieved? This is an area that requires feedback to be provided on the planned activities whether they have achieved or not.

1.11 Definition of terms

Performance Appraisal: Formal assessment in many organisations to determine employees' performance in relation to the achievement of organizational goals, and to settle on ways for future improvements.

Performance Management: The total process of observing an employee's performance in relation to job requirement over a period of time.

Employee Performance: Determining individual's annual work output.

Appraisal System: Assessment strategy used to determine work performance.

1.12 SUMMARY

The chapter introduced the study on assessing the implementation and effectiveness of the performance appraisal system (PAS) in the ministry of general education in selected secondary schools in Lusaka district. The chapter also presents the background to the problem, statement of the problem, research objectives and questions, significance of the study and theoretical framework applied in the study. The next chapter provides a review of related literature.

CHAPTER TWO

REVIEW OF RELATED LITERATURE

2.0 Introduction

In order to give a consolidated background to the study, the literature review will focus on defining the PAS, objectives of the PAS, effectiveness of performance appraisal, challenges of the performance appraisal, requirements and components of a good appraisal system. This literature review is focused on defining the PAS, objectives of the PAS, effectiveness of performance appraisal, challenges of the performance appraisal, requirements and components of a good appraisal system. Therefore, this literature review was born out of the desire to find answers to some unanswered questions raised to fill the information void that their arguments leave.

2.1 The Historical Background of the Performance Appraisal System in Zambia

Before the introduction of Performance Appraisal System (PAS), the Annual Confidential Report (ACR) was used in the assessment of workers in the Civil Service. However, the ACR was characterized with loss of confidence and credibility due to a number of reasons. The ACR was adopted by the Zambian government from the British Colonial Administration, as the only tool for assessing performance in the public service. Under the ACR, assessment was mainly based on the supervisors' personal observations and perceptions about an individual instead of on work planning and targets setting. The weakness of the ACR was that appraisee did not have access and input in the whole process since the manager or supervisors had to do the whole process without the input and contribution of the one being appraised.

Therefore, in 1993, the PSRP was launched and initiated for the need for the improved system of assessing the workers. A Permanent Secretary Committee was set up to finalise work on a new appraisal system and came up with an implementation plan. In 1995, employees from Management Development Division (MDD) and Public Service Management Division made consultations with Coopers and Lybrand an organization based in the United Kingdom over performance improvement in the Zambia Public Service. In 1996, there was further work by the Common Wealth Secretariat with MDD and the PSMD to design the PMP that included the APAS.

At the launch of the PAS in 1997, the government of the Republic of Zambia through the Secretary to the Cabinet indicated that PAS Workshops would be conducted in all restructured Ministries and Provinces where PAS would be introduced. These Workshops included a detailed Tutorial, using the user guide. Participants would have the opportunity to experience a practical session simulating the appraisal process, (Cabinet Office 1997).

From its inception, the PAS user guide Manual made it clear that for the performance of every employee, and eventually the whole Public Service to improve, the basic responsibility falls on every supervisor. This was to ensure that the best possible use is being made of all the resources available at work. Among these resources are the employees. From time to time they were supposed to know how well or not so well they are doing at work. This so applied to supervisors as well as the employing secretariat and PSMD itself. This meant that both the supervisors and subordinates had a basic need to appraise performance. In this way, questions to be asked and decisions to be made are determined. Thereafter, action can be taken to improve performance at the individual, team and organization levels, that is, in the Ministries and the rest of government departments (Cabinet Office, 1997).

At individual level, some of the issues that were of concern are such that the employee needed to have a clear understanding of his or her job; be aware of what was expected to be achieved; know his or her strengths or weaknesses; know the problems which were to be discussed with the supervisor; know his/her career prospects and also identify what kind of training had to be considered. Most importantly of all, the employee needed to ask himself/herself whether he or she performed all that can be reasonably expected of him/her to meet both needs of the employee and the Ministry.

At the supervisory level, according to the PAS manual launched in 1997, in addition to what the employee or rather subordinates were expected of, the supervisor was expected to know his subordinates so well and if at all there are any problems, they should be addressed. He or she was also expected to do everything possible to improve the output of the people under his charge by making it clear to them what is required from their work and be aware of their training needs and how they are met. The manual also stipulates that the supervisor identified and developed a likely successor so that he/she may be considered for promotions. He was also expected to come up with actions to undertake in order to improve team work and overall performance. (ibid).

At the organization level, the Zambian Public Service as whole was expected to have a clear picture of and be satisfied about the best use of its human resources. By appraising the performance of all the employees, both managers and the managed at all levels from top downwards, the Public Service were expected to collect essential information on a number of issues which require decisions and control such as the number and mix of skills, qualifications and experience in the right levels; identification of gaps and overlaps; identification of who needs training and at what time; know who would perform better if transferred to other posts.

The organization should also identify the problem areas in overall performance and what action must be taken to secure improvements. It must also know how well supervisors manage the organization. (Cabinet Office, 1997). The PAS should, therefore, be a helpful tool for the Zambian government. It has been designed in such a way that it is regularly reviewed because it tells both the public service and its workers how it is being managed and what requires to be done to solve any problem areas. It has also been designed in such a way that there will be no room for bias. (ibid).

The PAS manual has clearly stipulated that the PAS applies to all civil servants. Its design implies that every employee requires to be appraised and is involved. The appraiser and the appraisee take part in the process. The PAS Form is designed in a simple way and all the various items in it have been explained in the appendix too. The system works in such a manner that the supervisor reviews the work plan and targets according to the job description and the appraisee should contribute to the process. The supervisor then appraises the current level of performance being achieved by the jobholder in meeting the agreed targets, (Cabinet Office, 1997).

The whole idea is such that Human Resources and Administration Department should monitor the implementation of the process. There is also strong emphasis on performance because Performance Appraisal is placed in a wider performance management context. The PAS is expected to address issues of planning performance, coaching and monitoring, reviewing and evaluating performance, improving work processes, behaviors and attitudes and also improve the quality and delivery of the public service, (ibid).

In order to achieve the aim of PRSP the initial component was to plan and implement management and human resources improvement which involved the introduction of performance management systems of accountability and developing skills which enable senior management to effectively manage the Civil Service. Component 2 of the PSRP calls for improved performance management systems, which provide for accountability and develop management skills. This is to be achieved by results-oriented work planning and reporting on results. The PAS has been designed to achieve these objectives (ibid).

2.2 Types of appraisals that are conducted

Government had come up with four (4) types of appraisals which were expected to be conducted within a year for different officers. The four appraisals were designed to attend to specific areas of the expected performance.

General Annual Performance Appraisal- was conducted at the end of every year to appraise the individual officer's performance in a particular year from January to December. This appraisal is for promotions, demotions, transfers and training.

Incremental Performance Appraisal- was conducted when the officer's annual incremental date is due (date of appointment to present post). The recommendations in this appraisal are based on annual increment (recommendation to be made for the current period). The Incremental Performance Appraisal was designed to particularly give a performance related pay (PRP). Officers would get notches based on how they performed in the period of that appraisal. Only officers who performed above the agreed targets would get the increment in the salary notches, (ibid).

Performance Appraisal for Confirmation - was conducted after six (6) months' probation period. The recommendation made in this appraisal is for confirmation in acting position. The performance Appraisal for Confirmation was particularly designed to appraise the officers who were due for admission to the permanent and pensionable establishment. This appraisal was particularly meant for the appointed officers in the Public Service.

Performance Appraisal for Promotion -is conducted after six (6) months acting in a position with a view of being considered for promotion. This appraisal is specifically for promotion.

The General Annual Performance Appraisal was particularly meant to assess the general performance of the individual officers in that year of the appraisal. It was particularly designed to make decisions on promotions, demotions, transfers, and training. This appraisal would also identify performance gaps that would attract skills development. Cabinet Office (1997)

The Performance Appraisal for promotion was particularly designed to substantively promote officers that had completed their acting appointments. This appraisal was meant to be conducted after six months of the acting period. This appraisal was specifically for substantive promotions. This appraisal was designed to see if the officer on acting appointment was able to meet the targets as agreed with the supervisor.

All the four appraisals were expected to be applied to the civil servants depending on what was to be appraised in that particular year. Therefore, the PAS was adequate and sufficient enough to appraise all round performance.

2.3 Work planning/target setting and the appraisal process

According to the Public Service Performance Operational Manual (2009), a work plan is a written outline of what is to be achieved over a given period of time. It is a detailed calendar of activities that show the duties/tasks that should be performed on a daily, weekly, monthly or annual basis. It takes into account the organisational and work unit priorities and should be in such a manner that an individual employee can be assessed against proposed outcomes. Generally, people plan because they want to know exactly what they are supposed to do, hence, reducing uncertainty. People also plan in order to enhance rationality that is to

introduce logic into decision-making and problem solving. Work planning also enhances accountability by opening the decision making process to all the people who are involved.

In the Zambia Civil Service, there are two (2) levels of work planning namely, Departmental work planning and Individual work planning. The Departmental work plan is what each Department in the organization must do in terms of the annual work plan. It has annual and long term objectives; it has set targets and a list of activities. A Departmental work plan must have the personnel to be involved in achieving the set goals and a list of materials; it should also have the assumptions and a work plan chart. Developing the individual work plan involves describing what the employee is expected to accomplish and agreeing what will be the results of the employee's efforts. Overall, the process of defining individual work plan for the employee should involve the participation of both the supervisor and the subordinate. The Zambian Civil Service has designed that individual work planning should be done on a quarterly basis to ensure that there is some meaningful continuation in work planning as well as to allow for adjustments resulting from changes in government priorities in its programming. (Public Service Performance Operating Manual, 2009)

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

From work planning there is need to do performance monitoring. Performance monitoring is an activity which involves a series of observations carried out to show the extent of progress towards attainment of set goals in a work plan. Specifically, monitoring should involve checking if deadlines are being met, if activities are adequately being supported by availability of resources, optimum utilization of resources and measuring progress towards achievements. While the planning process starts from the higher level ending with the lower individual level, monitoring of activity implementation and achievement of the results is a bottom up process starting at the individual level. (PSMD Concept paper, 2012).

According to Zambia Public Service Performance Management Operational Manual (2009) Performance monitoring is an activity which involves a series of observations carried out to show the extent of progress towards attainment of set goals in work plans. It should be based on well-defined indicators, shown in the strategic plan, and targets as contained in departmental and individual work plans. Performance monitoring should clearly point out

subordinates areas of strength and weaknesses as well as any short comings in his/her performance resulting from other factors other than the employee.

2.4 The Concept of Performance Appraisal

Performance appraisal as a concept has been defined differently by different scholars. For instance, according to Shelly (1999), performance appraisal is described as the process of obtaining, analyzing and recording information about the relative worth of the employee. The focus of performance appraisal is measuring and improving the actual performance of the employee and also the future potential of the employee. It is a systematic way of reviewing and assessing the performance of an employee during a given period of time and planning for his future.

The other scholar, Lansbury (1988:57) defined it as

the process of identifying, evaluating and developing the work performance of employees in the organisation, so that the organisational goals and objectives are more effectively achieved, while at the same time benefiting employees in terms of recognition, receiving feedback, catering for work needs and offering career guidance.

When conducted properly, appraisals serve the purpose showing employees how to improve their performance, setting goals for employees, and helping managers to assess subordinates' effectiveness and take actions related to hiring, promotions, demotions, training, compensation, job design transfers and terminations.

The above views, therefore, helped the study in defining weather the PAS is an organizational framework, which records the performance of its employees and the whole organization, and to cross check if the introduction of the PAS as a replacement of the ACR are in conformity with the above definitions given by the above authors and scholars.

2.5 Objectives of Performance Appraisals

According to Fletcher (1994), the main objective of an appraisal system is basically to review performance, potential and identify training and career needs. It also endeavors to determine whether employees should receive an element of financial reward for their performance. To a large extent, the objectives dictate the methods and performance criteria for appraisal so that they can be discussed with employees, managers and trade unions to obtain their views and commitment.

Similarly, Wesley (2004) identifies eight (8) objectives of performance appraisals:

1. To review the performance of an employee over a given period of time.

2. To judge the gap between the actual and the desired performance.
3. To help the management in exercising organization control.
4. Helps to strengthen the relationship and communication between management Superiors Subordinate and Management-Employees.
5. To diagnose the strengths and weaknesses of an individual so as to identify the training and development needs of the future.
6. To provide feedback to the employee regarding their past performance.
7. Provide information to assist in the other personal decisions in the organization.
8. To judge the effectiveness of the other human resource functions of the organization such as recruitments, selection, training and development.

From the above objectives, one major points highlighted is that performance appraisal should eventually have an aim of identifying training and career needs, identifying strengths and weaknesses, financial rewards and improving service delivery. This study will use the above objectives to see the connection with some of the objectives on which the Zambian appraisal system has been established. The study will further validate the perception of the Performance Appraisal System that is used in the Zambian Public Service.

2.6 Effectiveness of Performance Appraisals

According to Hines and others (2000:29), the effectiveness of a system is measured by an external standard *“of how well the system has met the demands of the various groups and organizations that are concerned with its activities”*. Some scholars (Walsh and Fisher, 2005) have declared that the ideal purpose of the appraisal is to present employees with worthwhile feedback that the latter can instantaneously use to improve respective performance. Employers should encourage their employees to perform well by motivating them through increase in monetary compensation and benefits.

Ikemefume & Chidi (2012) also adds on that effective performance appraisal system is important in improving the performance of the employee in that it is him or her to bring out their opinions or to seek clearance on the duties of the job. However, an effective performance appraisal system should also be free of bias with the appraiser being objective by making sure that there is fairness and equity. Transparency is cardinal in giving feedback to employees regarding their strengths and weaknesses. Performance Appraisal should also be concerned with establishing a plan for performance improvement.

The above mentioned scholars bring out a point on which an effective appraisal system is anchored, which is feedback for the appraisal system. This study will, therefore, adopt the effectiveness of feedback in the appraisal process.

2.7 Challenges of Performance Appraisal

Though the Performance Appraisal is an extensively used formal assessment in many organisations throughout the world to determine employees' performance in relation to the achievement of organisational goals and to settle on ways for future improvements, most studies done on the evaluation of the Performance Appraisal have indicated some flaws in the use and application of the PAS. It has got its own challenges when it comes to implementation.

Rasch (2004) observes that if the system of appraisal is weak, it will not be effective in achieving its objectives. Weaknesses as such as leniency or harshness error, central tendency error, personal bias error, contrast error on the part of the appraiser can affect the performance appraisal of an employee. Each employee should be evaluated by his/her supervisor and set objectives for upcoming evaluation through amicable discussion. This discussion should cover the review of overall progress, problems encountered, performance improvement possibilities, long term career goals, specific action plan about job description and responsibilities. It should also cover employee's interest and needs, to concentrate on specific areas of development, to review performance objectives and standards, ongoing feedback and periodic feedback.

Lack of feedback is the major reason why the ACR became ineffective. It did not give an opportunity for the Supervisors to discuss performance improvement with their subordinates. This study, therefore, endeavored to cross check, if supervisors find time to set targets with their subordinates and whether performance improvement is usually discussed.

In London, a study was done by Ayomiku (2017) to establish Effectiveness of Performance Appraisal System and its Effects on Employee Motivation. This study adopted a mixed methods approach which implies that both quantitative and qualitative methods were applied in the collection of primary data from the case study organisation. A positivist research paradigm was used to help gather knowledge based on reality and hence the ability to confirm or reject the study hypothesis.

This study concluded that employees differ in their preference for rewards following a performance appraisal. Organisations should therefore adapt a more personal approach in linking performance appraisal results to rewards and incentives. This could contribute

significantly towards boosting of employee motivation as a result of improved levels of satisfaction.

A similar study was conducted by Hemat (2011) who was looking at a descriptive study of the Performance Appraisal of Supervisors of Spicer Higher Secondary School using 360-Degree feedback Model. A qualitative research was used to carry out the research study. An opinionnaire which included 23 items in communication, leadership and task managing aspects, was developed by the researcher. The conclusions of the research study were drawn through triangulation and the results of opinionnaire that were verified with observation and interviews. The researcher found the performance of supervisors in each aspect. The performance appraisal of supervisors in Spicer Higher Secondary School in communication aspect is above average, in leadership aspects is almost good, in task managing aspect is clearly average and the performance of male supervisors is better than that of female supervisors.

In South Africa, a study was done by Atta-Quartey (2015) to investigate staff's perception on the effectiveness of the annual assessment system and examine the motivation status of staff after assessment. Convenience sampling technique was used to select some senior members and senior staff who were drawn from the various administrative departments within the University. The Statistical Package for Social Sciences (SPSS) was used to help analyze the primary data collected.

This study concluded that performance appraisal, likewise performance management at the University of Cape Coast, lacked policy direction due to lack of guiding principles in the use of performance appraisal tool. And without the use of guiding principles for monitoring performance and appraising staff, it is possible that many people were actually not performing and therefore assessments at UCC suffered a variety of judgment errors and biases due to subjective appraisals. Part of the recommendations was that the Division of Human Resources (DHR) should arrange training programmes for all supervisors who are raters in order to equip them with appropriate skills of providing feedback to staff which will motivate staff to improve upon their performance. Finally, the DHR should review the appraisal system from start to finish and introduce new appraisal systems for the various levels of administrative staff.

Similar observations were made in another study carried out in South Africa (Khauoe, et.al, 2015) concerning the efficiency and effectiveness of the PAS. The study revealed that 44% of the interviewed personnel at the Department of Environment Affairs (Chemicals and Waste Management branch) suggested that performance appraisal is unfair, the criteria for

assessments is inconsistent and that appraisers are not skilled to conduct Performance Appraisal. The participants argued that supervisors used performance appraisals to settle personal vendettas, which, if true, is a serious allegation.

The study further showed that 45% of the interviewed employees consider that they were victimised against incidents that have no bearing on their actual performance through the use of performance appraisals. The survey indicated that 40% of the respondents consider that managers fail to provide subordinates with regular feedback on their performance during the year, but tended to wait for the end of year to criticise them in the performance appraisal meeting. About 30% of the interviewed respondents perceived that performance appraisal in the department focused more on rewards than developmental purposes.

In Zambia, a similar study was done by one scholar Geoffrey Kamfwa (2016) at the University of Zambia. The main objective of his study was to evaluate the effectiveness of the Annual Performance Appraisal System (PAS) in improving performance in selected Ministries of the Zambian Civil Service. The specific objectives of his study were to determine the implementation of performance planning and monitoring among Civil Servants in the three ministries namely Education, Health and Agriculture, to establish if the PAS was effectively used in appraising performance of Civil Servants, and to determine the extent of the utilization of the PAS in making Human Resource decisions in the above mentioned Ministries. Basically, the Mixed Method approach was used, and for data collection, Kamfwa (2016) used questionnaires, semi-structured interview guide and analysis of other relevant documents. A mixture of stratified random and clustered sampling was used to draw a sample 126 respondent from the above mentioned three (3) restructured Ministries. Quantitative data was analyzed using the Statistical Package for Social Sciences (SPSS) and Microsoft Excel Computer Software Package.

The study revealed that PAS was not effectively used in appraising performance in concerned Ministries. Departmental and Individual Work plans and target setting were not strictly adhered to in all the concerned Ministries. Furthermore, PAS was only used for the purposes of confirmation and substantive promotions in the Civil Service. The study also revealed that there were inconsistencies in implementing performance planning, monitoring and feedback provision in the concerned Ministries. It was further revealed that the PAS was not effectively used in making critical human resource decision such as identifying officers who should be promoted. Finally, it was revealed that the PAS had not achieved almost all the objectives for which it was established.

In this study Kamfwa's findings was used to validate if there has been a shift in the trend. This is very important for this study because giving feedback contributes to the effectiveness of the appraisal process.

2.8 Requirements of a Good Appraisal System

Feedback has been identified as a major requirement of a good appraisal system. In his study, Mate (2006) observes that for any performance evaluation to be effective, it has to be followed up with feedback so that workers can know how effective their performance is. But from his findings, it can be concluded that most of the workers are not given feedback. Through feedback, managers can address issues such as the kind of behavior on the job that need to be encouraged and discouraged, and who needs to undertake training to enable them improve their skills and therefore perform better.

Mate's findings further reveals that there is no commitment on the part of supervisors on providing feedback on rewards, sanctions, training and skills gap. In this study, these findings will be used to validate if there has been a shift in the practice of the supervisors. This is very important for this study because giving feedback contributes to the effectiveness of the appraisal process.

According Mate (2006), the Zambian government has, however, come up with a method of informing individual civil servants when they were due for an appraisal by including the date on their pays lips as part of the new payroll management and established project. This was designed to make the process more transparent and consistent. An examination of the civil servants pay slip reviewed that each employee's performance was to be appraised at least once in a year. The study revealed that 77.9% of the respondents "disagreed" with the statement that there was a fixed date when their performance should be evaluated. From the above findings, it can be concluded that the appraisal process for every worker in the Zambian Civil Service is done annually. However, most of the civil servants are not aware about it.

Mate (2006) further asserts that for any performance appraisal system to be effective, it should link appraisal to training and skills development. This involves identifying gaps in performance and their causes, and recommending the most appropriate training or skills development to be undertaken by the concerned job holder, so as to improve their performance. The study further reviewed that the majority of Civil Servants interviewed (58.9%) were with a view that there was no effective administration of performance appraisal in the civil service today, while an aggregate majority of them (58.9) perceived the

performance appraisal in the Civil Service today as that which was just a matter of routine and serving little purpose.

Mate's research brings out a very important question of who is expected to provide feedback in the appraisal process. Mate's findings are that there is no commitment on providing feedback on rewards, sanctions, training and skills gap. In this study mate's findings have been used to validate if there has been a shift in the trend. This is very important for this study because giving feedback contributes to the effectiveness of the appraisal process.

According to Cummings and Worley (2005) early studies concluded that objective feedback as a means for improving individual and group performance has been "impressively effective" and has been supported by a large number of literature reviews over the years. Another researcher concluded that "objective feedback does not usually work; it virtually always works. In field studies where performance feedback contained behavior-specific information, median performance improvements were over 47%; when the feedback concerned less specific information, median performance improvements were over 33%. In a meta-analysis of performance appraisal interventions, feedback was found to have a consistently positive effect across studies. Although most appraisal research has focused on the relationship between performance and individuals, several studies have demonstrated a positive relationship between group performance and feedback.

The above studies do not disclose whether the appraisal process was designed for small firms or government. The study is particularly important as it will show whether the Zambian appraisal system needs a meta-analysis or the behavior-specific information in its design. This study therefore focuses on meta-analysis of performance appraisal due to its responsiveness in many areas of the appraisal process.

According to Chatterjee, (1999) a good performance appraisal system to be valid must be: relevant, not contaminated, and not deficient. Relevant implies that there must be clear links between the performance standards for a particular job and an organization's goals. Not contaminated means that the appraisal must avoid assessing other elements besides performance. Not deficient stands for an assessment that measures all the important aspects of performance. In a word, a performance appraisal system must be valid and in order to be that, it must conform to the standards outlined above.

While it is difficult to point out which one is the best appraisal system, it is important to mention that performance appraisal systems that are successful have certain characteristics. According to (Antony, Perrewe, & Kacmar 1999), the criterion for success is such that a good performance appraisal should have clear objectives; reflecting the needs of all stakeholders

with a clear purpose. In this case one may think of administrative or developmental purposes mentioned in earlier. Further, management and employees must be endorsed were by the whole workforce supports the system. This means that even in the case of expenses like further training, appraisal instruments, meetings and time, management must be able to foot the expenses. An appraisal system must be designed and also be characterized with flexibility so that it adapts to the dynamic changes going on, it should accommodate the various philosophies of the organizational and geographical location. (ibid)

According to Giles and Mossholder (1990) one of the most frequently measured appraisal reaction is satisfaction. Appraisal satisfaction has been mainly viewed in three ways:

1. Satisfaction of the appraisal system
2. Satisfaction with the appraisal system
3. Satisfaction with performance ratings

Satisfaction of performance appraisal is an indication of the degree to which subordinates are satisfied, serves as a report of the accuracy and fair evaluations of performance, and the feel that they will improve their working relations with their supervisors. Assessing the appraisal fairness is a more complicated phenomenon compared other reactions from performance appraisal. In recent times, however, researchers in performance appraisal have brought to life the concepts of procedural and distributive justice and have used these measures to assess and justify the issues of fairness (Korsgaard and Roberson, 1995). To this effect, Appraisal fairness has been integrated in four different ways:

1. Fairness with performance ratings
2. Fairness with the appraisal system
3. Procedural justice, and
4. Distributive justice.

Most employees have mixed feelings with performance appraisal systems. While some believe that it carries some biases and largely fails to meet its objectives, others find it a means to justify their performance. According to Rasch (2004), managers commit mistakes while evaluating employees and their performance. Some of these biases are perceived by employees as ways of unfairly interpreting their performances. Biases and judgment errors of various kinds may spoil the performance appraisal process. Bias, according to Shelly (1999) refers to inaccurate distortion of a measurement.

Moats points out that, even when a performance evaluation programme is structured appropriately, its effectiveness can be diluted by the improper use of subjective as opposed to objective measures. The above authors are all quite relevant to this study because they argue

that a good performance appraisal is one which is relevant, not contaminated and not deficient. This study will adopt the position of Gile and Mossholder, and Korsgaard and Roberson whose views are satisfaction and fairness in the appraisal process respectively.

In his research, Nyirenda (1990) asserts that there are certain standards or requirements that a performance system should meet if it is to serve its purpose for the organization using it. A good performance appraisal system must be job oriented, reliable and valid for the purpose for which it is being used, standardized in its procedures and practical in its administration. It should be suited to the organization culture; for example, a system based on employee participation and openness, as the Annual Performance Evaluation in the Civil Service (APECS) scheme claims to be, would be a non-participative in its approach to other employee-related policies. Ready-made performance evaluation systems imported from other organisations and or countries rarely function satisfactory. This failure is largely due to organizational cultural differences.

The study by Nyirenda did not clearly state the reasons why the APECS was abolished in 1993 and government designed the PAS which is currently being used in the Civil Service. Nonetheless, Nyirenda's study is relevant to this study because it brings out the importance of creating a good performance appraisal system at a place of work. Nyirenda also brings out a very important point that a good appraisal system is one which is participatory and home grown. This study will therefore endeavor to check if the PAS has such attributes.

In Zambia, the Performance Appraisal System (PAS) is the main tool used in measuring performance among the civil servants since the launch of the Performance Management Package (PMP) in 1997. PAS was implemented by the government to ensure that the performance by civil servants is properly assessed (Mulikita, 2002). Basically, the implementation serves two main purposes: to ensure that workers are fairly and effectively assessed, and to increase work performance. This is in line with the observations by Cascio (1992) that PAS is the total process of observing an employee's performance in relation to job requirement over a period of time. It clarifies expectations, sets goals, and provides on-the-job coaching, storing and recalling information about performance. Basically, the appraisal part is the formal assessment done on employees' performance usually at the end of a period to find out whether goals were achieved, standards were met and feedback communicated to employees to encourage them to perform better to meet corporate set goals. This was with the view that the workers' performance would improve whereby poor performers would be detected and recommended either for re-training or dismissal, while good performers would be recommended for promotion or increase in their salaries.

As part of the performance management process, supervisors interact with and evaluate employees' work output with respect to successes achieved in the previous year and use the feedback to set new goals for the next appraisal period (New Charter University, 2014). Researchers on performance appraisals such as Lawler et al. (2012) indicate that performance appraisals are effective when the performance management of an organisation's employees is based on goals that are jointly set by both supervisor and staff, and are driven by the organisation's business strategy, and if trained managers do the appraisals. They add that appraisals are very effective only if performance appraisals are designed and executed correctly by trained personnel and the managers are held accountable for how well they do the appraisals.

From the above, it is clear that the PAS is based on target setting and work planning in order to improve performance in the Public Service and create optimal, efficient and effective service delivery. More specifically, the PAS was introduced in order to:

1. Assess the job holder's achievements (Performance) against set targets.
2. Establish the jobholder's strengths and weaknesses in the performance of the job;
3. Identify the causes of the weaknesses;
4. Recommend further developmental or training needs of an individual to fill the training gaps between a job specification, job description and the individual; and
5. Appropriately reward employees who perform well (PRSP Bulletin, 2006).

2.9 Conclusion

In conclusion, therefore, the literature reviewed shows that performance appraisal is often used to assess individual performance of employees in an organization. It is defined as a process of identifying, evaluating and developing the work performance of the employees so that organization goals are more effectively achieved. All objectives of performance appraisal point to the fact that performance should be reviewed and rewarded.

Literature has shown that an effective appraisal system is one which provides worthwhile feedback; it is free of bias characterized with fairness and equity. Given the fact that there have been no extensive studies on evaluation of the effectiveness of the Zambian appraisal system, it was imperative to fill that gap in literature. In fact, little has been researched or published on the effectiveness of the PAS in the Ministry of General Education in particular.

The study was, therefore, largely based on original research combined with secondary data. This Study was meant to approach the research from the general to the specific. It was hoped

that it would bring out a number of factors that could be responsible for the failure or success, particularly in the Ministry of General Education. Unlike the other studies done before, this study was critically and exclusively analyzed on how the PAS has performed.

2.10 Summary

This Study endeavored to establish teachers' perception and application of the PAS in the Ministry of General Education, with the view of assessing how effective and efficiency it has been in assessing performance of the teachers. The above given literature review helped in the assessment of the effectiveness and efficiency of the PAS in the Ministry of General Education.



CHAPTER THREE

METHODOLOGY

3.0 Introduction

This chapter seeks to put into context what was presented in chapter one. It endeavors to highlight the research paradigm applied in the study, the research design and research instruments used in collecting data. Most importantly, it attempts to show how data, which was guided by the research questions given in chapter one was collected and analysed. The limitations and ethical issues of the study will also be discussed.

3.1 Research Paradigm/ Philosophical Framework

The general objective of this study was to establish the relevance of PAS in the Ministry of General Education and to establish if it is effective in terms of improving efficiency among teachers. In order for the researcher to draw out relevant answers from the respondents, who were mainly teachers, a mixed method paradigm was used. Proponents of mixed methods research strive for an integration of quantitative and qualitative research strategies (Feilzer, 2010). Both quantitative and qualitative methods were adopted because questionnaires were used in collecting data so as to help generate numerical data. Non-numerical data was also obtained using interview schedule. This research was anchored on pragmatism. Pragmatism as a worldview or philosophy arises out of actions, situations and consequences rather than antecedent conditions (as in post-positivism). There is a concern with applications (what works) and solutions to problems (Creswell, 2013). The study chose to use a pragmatic approach as this, according to Creswell (2012), would help bring out the *what, when, where, and how, why* for which the former set brings out quantitative data while the later brings out qualitative data. Creswell (1998) further alludes that pragmatists agree that research always occurs in social, historical, political and other contexts and hence mixed methods studies may include a postmodern turn, a theoretical lens that reflexive of social justice and political aims. Thus, for the mixed methods researcher, pragmatism opens the door to multiple methods, different worldviews and different assumptions, as well as to different forms of sampling, data collection and data analysis.

3.2 Research Design

The research used mixed method approach which is both qualitative and quantitative approach and the design was Exploratory sequential mixed method design. This design is characterized by an initial qualitative phase of data collection and analysis, followed by a phase of quantitative data collection and analysis, with a final phase of integration or linking of data from the two separate strands of data. Mixed method was also preferred because of its advantage of using multiple ways to explore a research problem. The core assumption of this

form of inquiry is that the combination of qualitative and quantitative approaches provides a more complete understanding of a research problem than either approach alone and is compatible to pragmatism.

3.3 Target Population

According to Bryman (2004), a population can be defined as the universe of units from which the sample is to be selected. In this case the target population was teachers, heads of departments and head teachers from all the schools in Lusaka districts from which teachers from the three (3) schools in Lusaka district were selected. The head teachers and the heads of departments were targeted so as to counter act or support data given by teachers and help in the interpretation of the application of Performance Appraisal System in schools under the Ministry of General Education in Zambia. Being administrators and managers, head teachers and heads of departments represent appraisers or the employers while teachers represent the appraisee or employees. In order to establish the relevance of the PAS in terms of effectiveness and enhancement of efficiency amongst teachers in schools, the researcher needed to hear and listen from both sides, that is to say, from administrators and subordinates, or from employers and the employee.

3.4 Sample Size

The sample consisted of Three (3) Head teachers, six (6) Heads of Department and thirty (30) teachers from each of the three (3) selected schools giving a total sample of 111 teachers and Administrators. To be mindful of gender balance, 15 female and 15 male teachers were selected from each school.

3.6 Sampling Techniques

Sampling technique refers to that part of the research plan that indicates how cases are to be selected for observation, (Kombo and Tromp, 2006). It is the process of selecting a number of individuals or objects from a population such that the selected group contains elements respective of the characteristics found in the entire group. Both probability and non-probability sampling methods were used. Under probability, randomly sampling technique was used by the researcher to select the 90 teachers. The random sampling was used purposely to give equal chance for the teachers to participate hence, avoiding biasness which would compromise the results of the research. Under non-probability, purposive was used to select the 3 head teachers and 18 heads of department from the 3 selected schools. Purposive sampling was used because the researcher wanted to sample those who were custodians of administering the PAS, that is, the management or administrators. The teachers were drawn from the various departments within the schools.

3.7 Research Instruments

The following are the research instruments used:

3.7.1 Questionnaires

A questionnaire is simply a guide or instrument with close or open ended questions to which respondents must react (White, 2008). Open-ended questions were used to form a major part of the questionnaire where respondents were expected to choose the best option that suits the specified condition on a Likert scale of 1 – 4. Questionnaires were applied only to the 90 teachers, randomly selected from the three selected secondary schools. The purpose of using a questionnaire was mainly to test the consistency of respondents' responses in the interview, since the questionnaire was the last instrument of data collection used by teachers.

However, two problems emerged from the use of questionnaires. The first one was re-collecting forms from the teachers. The researcher had to make frequent follow-ups before forms could be collected. This could be attributed to the congested work schedule at the schools which left little time for other extra activities. For some respondents, it could have been lack of interest in the issue, while the length of the questionnaires could have put off some in responding to it. Nevertheless, at last, all questionnaires were collected back from all respondents. The second problem was that some respondents left some questions unanswered while others gave very interesting opinions, but the issue of anonymity made it difficult to make a follow up since the respondent was not known (Borg and Gall, 1989). These challenges had to be counteracted by using in-depth interviews as discussed below.

3.7.2 In-Depth Interviews

In-depth interview is another instrument which was used to collect data in this study. This strategy is preferred because it enables probing and illuminating what has been said by the respondent by asking for further clarifications there and then. As observed by Ogula (1998), a personal interview helps a researcher to measure what the person knows, likes and dislikes, by observing the facial and body expressions, which could not be done in a case of a questionnaire. Indeed, through taking note of the comments being made by the respondents, facial and body expressions, tone of the voice, gestures, evasion of some questions, and the level of their cooperation, the researcher was able to get the kind of information which could not be gathered in the questionnaire (Sidhu, 2003). The thrust of interview questions for teachers involved finding out how teachers have understood the meaning and participated in the process of PAS. Apart from finding out about the understanding the meaning and the participation of teachers in the process of PAS (see Appendix 2).

Interviews for teachers were conducted in the deputy head teachers' offices which were conducive for privacy, unlike doing interviews in the crowded staff rooms. Unfortunately, due to long hours of loading shedding by ZESCO, the company entrusted by government to supply electricity throughout the nation, most of the sessions were not recorded. However, this inadequacy did not affect verifications of data collected in the sense that the researcher, who had to rely only on note taking, became extra careful and took note of every word said by respondents.

The interview with the head teachers and heads of departments was done in their respective offices and the thrust of the questions involved finding out about the administration of the PAS, how they have helped their subordinates to understand the PAS and encourage them to participate fully in the process. Issues of biasness and feedback were also discussed, and how the PAS document can be improved on. Also discussed were issues how effectiveness and efficiency amongst teachers have been achieved as a result of PAS.

It must be noted here that interviews for teachers were very laborious, mainly due to lack of recording the proceedings, with each interview going beyond one hour, while those for the head teachers and heads of departments took about 45 to 60 minutes each. Due to a busy work schedule at school, teachers' and heads of departments' interviews were done over a stretch of days with each respondent giving his/her own time and day for interviews. Though teacher respondents volunteered to offer information, some did not cooperate fully especially when it came to answering those questions bordering on non-professional attitude by the administrators in administering of the PAS. This situation compelled the researcher to employ the questionnaire strategy besides the interviews, as seen from the previous section.

3.7.3 Document Analysis

To substantiate data collected from other strategies mentioned above, document review was used. The PAS document was analysed with the view of identifying flaws such as different questions seeking same answers. The analysis was quite tedious due to the bulkiness of the document.

3.8 Data Collection Procedures

According to Kombo and Tromp (2006), data collection refers to the gathering of information to serve or prove some facts. Data collection is vital in everyday living. In this study, both primary and secondary data were collected. Primary data was collected through interviews and questionnaires that were administered by the researcher. Additionally, the researcher used observations. Secondary data was also obtained from books, journals and previous research reports relevant to this study.

A Self-administered Questionnaires were distributed to the teachers through the Head of Departments, and each respondent was required to complete the questionnaire on his own. All questionnaires were constructed in English, to ensure uniformity in the way the questions are asked and also because the target population is literate to understand and answer the questions. After collection, questionnaires were checked for consistence, coded and entered into SPSS for analysis. One to one in-depth interviews were conducted and transcribed in readiness for analysis. Consent was sought to record and make notes of the interviews and strict anonymity and confidentiality was assured.

3.9 Data Analysis

Qualitative and Quantitative data were analysed separately and then mixed together. The quantitative data collected was encoded and analysed using analytical software called Statistical Package for Social Sciences (SPSS) version 27. Various tables and charts were produced to represent descriptive statistics to ease the analysis and evaluation of the data collected.

The Qualitative data was analysed using the thematic approach/analysis, based on themes from the objectives. This was done by identifying the major themes, placing the coded materials under the major themes, developing a summary report, identifying major themes and the associations between them, then finally used to present the findings. The APAS manual was used as a guiding principle in analyzing and contextualization the data collected.

3.10 Ethical Considerations

The ethics of social research challenges researchers mainly in two ways: the way to treat research participants and the type of activities to engage in (Bryman, 2004). In view of this, participants were told about the risks, benefits, purpose of the study, and were also guaranteed anonymity and confidentiality. Participants were interviewed on condition of anonymity and in this way their privacy was respected (Merriam and Simpson, 1995). Permission to take part in the study was sought from individual participants and participation was purely voluntary. Permission was also sought from the DEBS office and head teachers of the selected schools.

3.11 Validity and Reliability

The concept of the validity and reliability is embedded in the fact that no two interviewers are alike and the same person may provide different answers to different interviewers. (Kombo and Tromp (2006). The manner in which a question is formulated can also result in inaccurate responses and individuals tend to provide false answers to particular questions. Sometimes respondents might also give incorrect answers to impress the interviewer. To decide which

answer is most accurate, the researcher tried in a tactful way to verify the answer using other methods. In this study, validity and reliability was made possible by scrutinising of verbatim interview scripts and use of the actual words uttered by the respondent, and also by giving a detailed explanation of the whole process of data collection that the researcher had given and the use of multiple techniques to collect data.

3.12 Summary

This chapter has presented the methodology used in the study. It focused on the research design, sampling techniques and procedures, the sample size and methods used to collect and analyse the findings of the study. The next chapter presents the research findings.



CHAPTER FOUR

PRESENTATION OF FINDINGS

4.0 Introduction

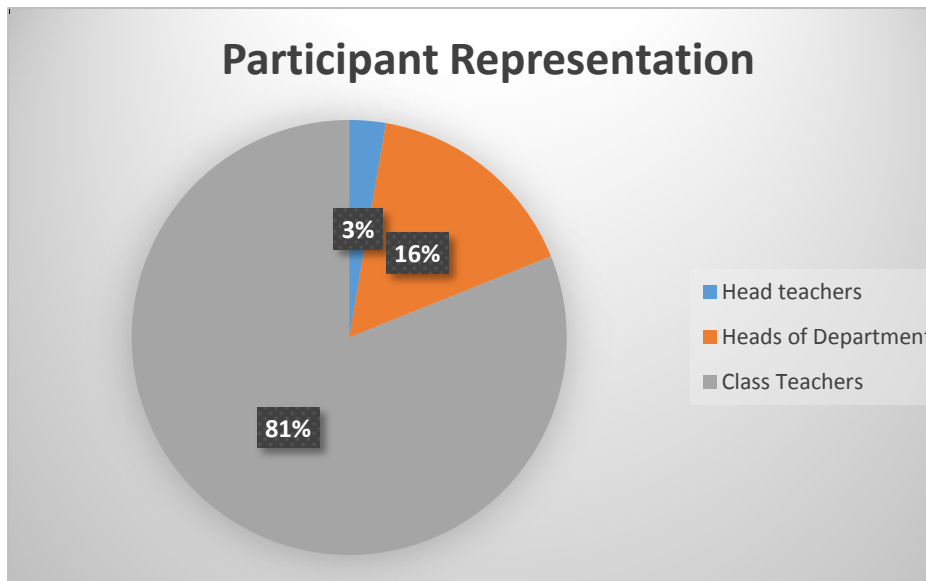
This chapter presents the findings of the study. The main objective of this study was to determine the relevance of the PAS in the Ministry of General Education by establishing its effectiveness and efficiency in terms of performance by the teachers in selected secondary schools. Using largely a mixed method paradigm, this research employed an exploratory sequential design. Its target population consisted of teachers (90), heads of departments (18) and head teachers (03) from the three (3) selected secondary schools within Lusaka district, giving a sample of 111 participants. Random and purposive sampling was used to obtain the sample. It should be clearly noted that in the tables below, when reference is made to all participants the total number comes to 111, and when referring to teachers only the figure comes to 90. In order to collect data to help in answering research questions, the researcher used the following evaluation instruments: interview schedules for the teachers, heads of departments, and head teachers, questionnaire for teachers only, and analysis of documents. In order to achieve the researcher's objectives, this study was guided by three research questions:

4.1 Characteristics of Participants

Table 4.0 Distribution of participants by designation

| Designation | Frequency | Percentage |
|----------------------|-----------|------------|
| Head teachers | 03 | 3 |
| Heads of Departments | 18 | 16 |
| Class Teachers | 90 | 81 |
| Total | 111 | 100 |

Graph 4.0 Participant Percentage Representation



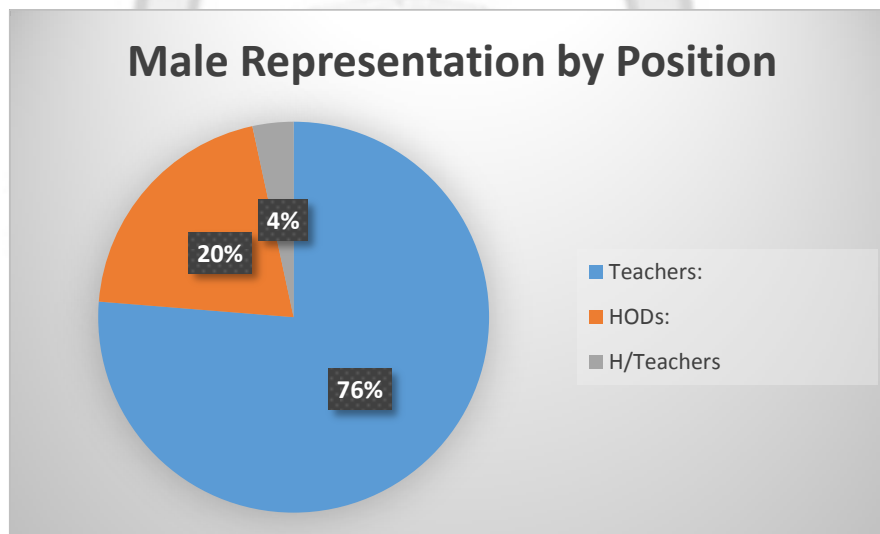
The results in table 4.0 indicate that most participants were class teachers representing 81% followed by Heads of Departments (16 %) and lastly by Head teachers (3%). The reality on the ground is that class teachers form the largest part of employees in the Ministry of Education. In a school set up, head teachers and heads of departments constitute the school management or administrators, and in this case, they are the appraisers and naturally they are the minority. Administrators, in this case head teachers and heads of departments, are the people responsible for the implementation of PAS. Therefore, it was necessary for the researcher to get their views on the process of PAS. Class teachers present the employees, hence are the appraisees, and they form the largest part of the workers. Therefore, in this study, it was necessary that the large sample came from the class teachers who are the majority and the most affected group when it comes to the performance assessment. They are the people on the ground implementing the educational goals of the Ministry of General Education, and therefore, it was necessary that the researcher gets their views on the application of the PAS in terms of assessing their performance.

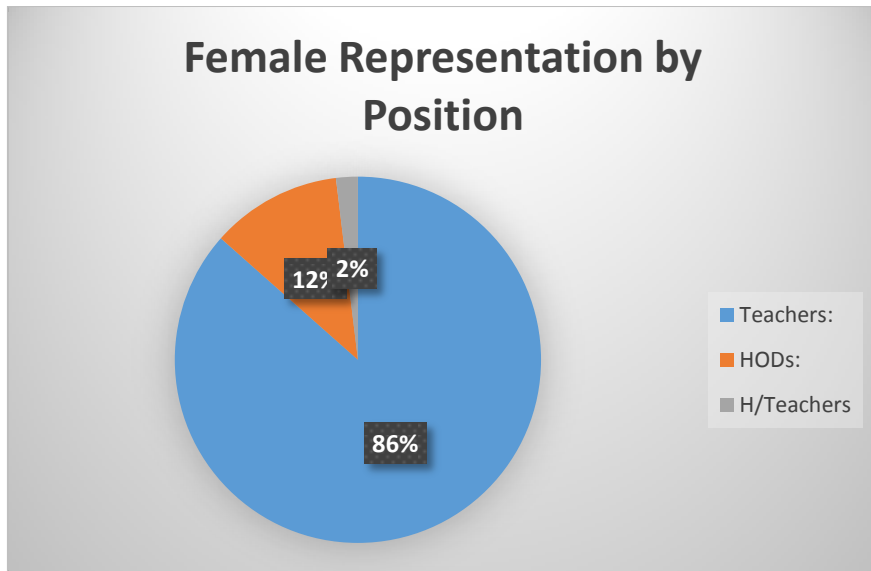
4.2 Participants by Gender

Table 4.1 Distribution of participants by Gender

| | Frequency | Percent |
|-------------------|-----------|------------|
| Male | | |
| <i>Teachers:</i> | 45 | |
| <i>HODs:</i> | 12 | |
| <i>H/Teachers</i> | 02 | |
| Total | 59 | 53 |
| Female | | |
| <i>Teachers:</i> | 45 | |
| <i>HODs:</i> | 06 | |
| <i>H/Teachers</i> | 01 | |
| Total | 52 | 47 |
| Total | 111 | 100 |

Graph 4.1 Participant Percentage Representation by Position





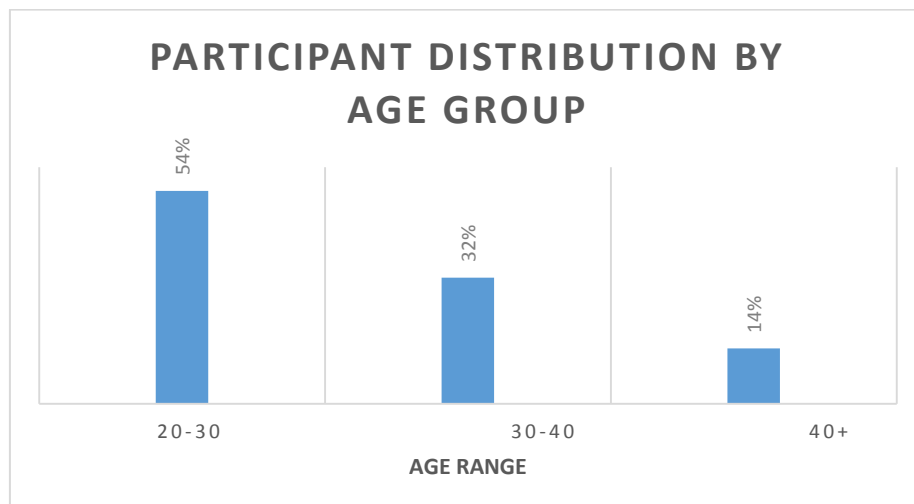
According to the data in table 4.1 above, there are more male participants representing 53% than female respondents representing 47%. However, the researcher discovered that this unbalanced representation did not affect the quality and validity of the data collected from the two groups

4.2 Participants by Age

4.2 Distribution of participants by Age

| | Frequency | Percent |
|-------------|-----------|---------|
| Valid 20-30 | 60 | 54 |
| 30-40 | 35 | 32 |
| 40+ | 16 | 14 |
| Total | 111 | 100 |

Graph 4.2 Participant Representation by age



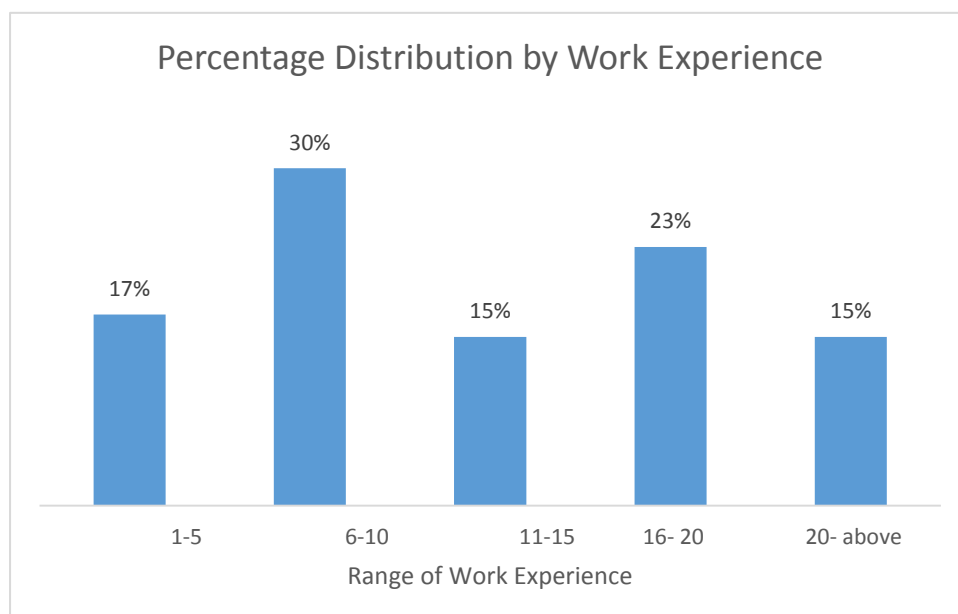
From the data collected, the author found that the majority of the participants are in the age group of between 20 and 30 for both males and females representing 54%, followed by 32% of the participants are in the range of 30 and 40, and lastly by 14% who are 40 and above age. The table shows that most teachers are young and therefore have more years to serve in the Ministry of General Education. According to Zambian laws of retirement, the earliest retirement age is 55 years. This implies that the majority of the participants will have to pass through the process of PAS for many more years, and therefore, it was necessary for the researcher to get their opinion on the relevance of the PAS. The information from the table also implies that the majority of the participants may have little experience with the assessment process by the virtue of their age which may go side by side with their years of service in the Ministry of General Education as we shall notice in table 4.3.

4.3 Participants by Work Experience

Table 4.3 Distribution all participants by work experience

| | | Frequency | Per cent |
|-------|-----------|-----------|----------|
| Valid | 1-5 | 19 | 17 |
| | 6-10 | 33 | 30 |
| | 11-15 | 17 | 15 |
| | 16-20 | 25 | 23 |
| | 20- above | 17 | 15 |
| | Total | 111 | 100 |

Graph 4.3 Participant Percentage Distribution by Work Experience



The research findings according to the table above show that 17% of the participants had served the schools from 1 to 5 years, 30% for 6-10 years and was the largest category, 15% for 11- to 15 years, 23% have served for 16 to 20 years and last but not the least, have served for 20 years and above represented by 15%. This table indicates that the second majority (17%) have work experience of 1-5 years. This may imply that teachers in this category may have less experience in terms of assessment using PAS. Therefore, the researcher deemed it necessary to interact with this group in order to get their views on the relevance of the PAS as an assessment tool for teachers.

4.5 Frequency of the Appraisal

Table 4.4 Distribution of teachers by frequency of the Appraisal

| Responses | Frequency | Percentage |
|------------------|------------------|-------------------|
| Annually | 12 | 13.3 |
| Every other year | 18 | 20 |
| Cannot remember | 35 | 39 |
| When necessary | 22 | 24.4 |
| Never | 03 | 3.3 |
| Total | 90 | 100 |

Data gathered indicate that the majority of teachers, 35 (39%), could not remember the last time they were assessed, followed by 22 (24%) who were appraised when it was necessary. The 18 (20 %) were assessed every other year, while 12 (13.3 %) were appraised annually. Lastly, 3 (3.3 %) indicated that they had never been assessed. These were from the category of teachers whose work experience was between 1 and 5 years. This variation may imply that there is no proper systematic approach when it comes to the assessment of teachers. If the majority cannot even remember, that again may indicate that the system is not even consistent.

4.6 Purpose of Appraisal

Table 4.5 Distribution of all participants on the purpose of appraisal

| Responses | Frequency | Percentage |
|------------------|------------------|-------------------|
| Promotion | 45 | 41 |
| Confirmation | 50 | 45 |
| Both | 16 | 14 |
| Total | 111 | 100 |

From table 4.5, majority of the participants (45%) understood PAS to be for confirmation, followed by 41% who understood PAS to be for promotion only, and 14% understood PAS for both confirmation and promotion. From the above information, it can be presumed that participants' understanding of PAS is only for the purposes of confirmations and promotion, which is not the case. Narrowing PAS to confirmations and promotion is underestimating the major objectives of PAS; that is to enhance performance of the employees.

4.7 Teachers' Understanding of Performance Appraisal System

Table 4.6 Distribution of teachers' understanding of Performance Appraisal System

| | | Frequency | Percent |
|-------|--------------------|-----------|---------|
| Valid | Understood | 82 | 91.1% |
| | Did not Understand | 08 | 8.88% |
| | Total | 90 | 100.0 |

Graph 4.4 Percentage Distribution on Teachers' Understanding of Performance Appraisal System

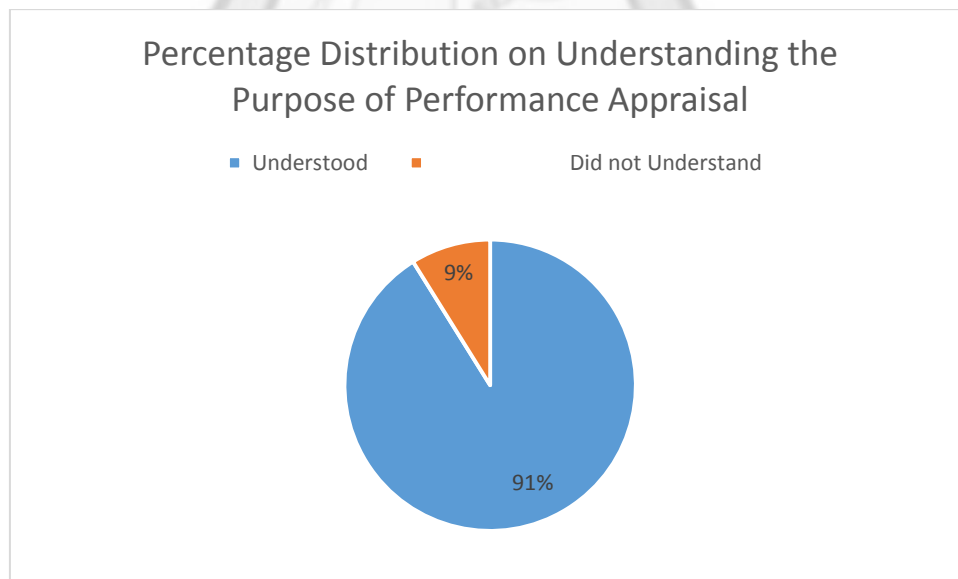


Table 4.6 above shows the findings on the teachers' understanding and awareness of the Performance Appraisal System. 91% of the respondents indicated that they are aware of the performance Appraisal System and 9% indicated that they were not aware of it. The research findings generally revealed that the majority of the teachers were aware or did understand what the Performance Appraisal System is. Most of them explained that it has to do with assessment of the teachers' performance, monitoring, recommendation for upgrade and promotion.

4.8 Appraises' Participation in the Process of Performance Appraisal System

Table 4.7 Distribution of appraisees' participation in the process of PAS

| | | Frequency | Percentage |
|--------------|------------------|------------------|-------------------|
| Valid | Fully | 48 | 53.3 |
| | Partially | 30 | 33.4 |
| | Not sure | 12 | 13.3 |
| | Total | 90 | 100 |

Assessment of performance is an important tool in the Ministry of General Education and in the running of the school. The researcher therefore wanted to know if the appraisee participated in the process of their Performance Appraisal. The study revealed that 48 (53%) out of the ninety (90) teachers interviewed had participated in the process of the PAS, while 30 (33.4) claimed to have partially participated. 12 (13.3%) participants claimed not to be sure if at all they participated fully. This information may imply that there is need to do more sensitization on the process of participation in the PAS.

4.9 Participants' Opinion on the need to improve on the PAS

Table 4.8 Distribution of participants views on the need to improve on the PAS

| Response | Frequency | Per Cent |
|-----------------|------------------|-----------------|
| Yes | 70 | 63 |
| No | 21 | 19 |
| Not sure | 20 | 18 |
| Total | 111 | 100 |

In response to the questions whether there is need to improve some parts of the PAS, and on suggestions on how the PAS could be made more efficient, 70 of the 111 participants (63%) positively indicated that there is room for improvement and making the PAS more efficient. 21 participants (19%) indicated that the process and the document are effective in their form and do not need any change. However, 20 participants (18%) were not sure if at all the status of the process and document of PAS needs to be changed or improved on. Results indicate that there might be a need to improve certain parts of the PAS to make it more efficient and effective.

4.10 Summary

The chapter presented the findings as they were collected from the participants as guided by the three (3) research questions. The first question was to establish the meaning and understanding of PAS among head teachers and teachers. The second question tried to establish if the appraisee participate in the PAS in selected secondary schools in Lusaka district of Zambia, while the third tried to identify the flaws in the use and application of the PAS. The following chapter discusses the findings presented in chapter four.



CHAPTER FIVE

THE DISCUSSION OF DATA

5.0 Introduction

The aim of this study was to find out whether the PAS has been effective and also whether it has improved performance in selected schools. Data was collected through questionnaires, interview guides and document. The research sought to establish the relevance of the Performance Appraisal System (PAS) in terms of effectiveness and efficiency in assessing teachers in the selected schools in Lusaka district of Zambia.

The chapter therefore discusses findings regarding the Evaluation of the effective implementation of the Performance Appraisal System (PAS): a case of selected secondary schools in Lusaka District. The discussion contains both quantitative and qualitative data and was discussed based on the research objectives. The objectives of this research as outlined in chapter one (1) were as follows:

- I. To establish the meaning and understanding of PAS among head teachers and teachers.
- II. To examine the participation of the appraisee in the PAS in selected secondary schools in Lusaka district of Zambia.
- III. To identify the flaws in the use and application of the PAS.

5.1 Responses from the Teachers

5.1.1 Research Question 1: What was the meaning and understanding of PAS by the teachers?

Assessing the respondents' understanding of the PAS was the first objective of this study. In order to find out whether the PAS has been effective and also whether it has improved performance in selected schools, it was first important to know the teachers' understanding and awareness of the process. To this effect, teachers were questioned on how they understood the process of PAS

To obtain qualitative data, the interviews' main question was on awareness/understanding of the performance appraisal system in the ministry of general education. This question was asked to each participant in order to get their own understanding and personal view about the Performance Appraisal System. 82 (91%) out of the 90 interviewed indicated that the PAS is a tool that is used to assess and monitor subordinates for the purpose of confirmation and promotion (see table 4.5). The participants further explained that this tool can be more

effective if the one being appraised is fully and actively involved and that the recommendations made to higher authorities in the PAS are realised:

“The PAS is mainly used for the purposes of confirmation in appointments and promotions...but unfortunately in most cases, the appraisee is not even actively involved and recommendations made are never acted upon by those in higher authority.”

Notwithstanding the above participants, it was however found that eight of the teacher participants did not understand the Performance Appraisal System. One of the participants bluntly said: *“Honestly speaking, I don’t know much about the PAS...you know I am just less than a year since I was employed...”* However, generally speaking, the results of this study indicate that teachers understood PAS as an instrument whose purpose is for confirmations and promotions. The component of enhancing performance is over-shadowed. (See table 4.6 above).

The above findings are in consistence with the findings of other studies done by other scholars. According to Shelly (1999), performance appraisal is described as the process of obtaining, analyzing and recording information about the relative worth of the employee. The focus of performance appraisal is measuring and improving the actual performance of the employee and also the future potential of the employee. It is a systematic way of reviewing and assessing the performance of an employee during a given period of time and planning for his future. Therefore, narrowing PAS to confirmations and promotion is undervaluing the rich concept of PAS whose main objective is to enhance performance of the employees.

Another scholar, Lansbury (1988) observed that when conducted properly, appraisals serve the purpose of showing employees how to improve their performance, setting goals for employees, and helping managers to assess subordinates’ effectiveness and take actions related to hiring, promotions, demotions, training, compensation, job design transfers and terminations. The findings are also in line with what Fletcher (1994) observed that, the main objective of an appraisal system is basically to review performance, potential and identify training and career needs. It also endeavors to determine whether employees should receive an element of financial reward for their performance.

The study by Kamfwa also revealed that APAS was not effectively used in appraising performance in concerned Ministries. Departmental and Individual Work plans and target setting were not strictly adhered to in all the concerned Ministries. Furthermore, APAS was only used for the purposes of confirmation and substantive promotions in the Civil Service.

It can be concluded from the results of this study that though the majority of participants claimed to understand the meaning of the PAS, in the actual sense, they did not fully understand its main objective. Therefore, it is very important that more sensitization is done among teachers.

5.1.2. Research Question 2 -To what extent does the appraisee participate in the process of PAS in the selected secondary schools in Lusaka district of Zambia?

Participation of the Appraisee in the PAS process

As observed by Rasch (2004), the discussion between the appraiser and appraisee should cover the review of overall progress, problems encountered, performance improvement possibilities, long term career goals, specific action plan about job description and responsibilities, employee development interest and needs, to concentrate specific areas of development, to review performance objectives and standards, ongoing feedback and periodic feedback.

In other words, participation of the employee or appraisee in the process of PAS should go back to the designing of both individual and departmental work plans. The departmental work plan is what each department in the organisation, in this case a secondary school, must do in terms of the work plan. It has got the annual and long term objectives and it has set targets and a list of activities (see Appendix 6). A departmental work plan must have the personnel to be involved in achieving set goals and a list of materials. It should also have the assumptions and a work plan chart. The individual work plan is derived from the departmental work plan and it involves describing what the employee, in this case a teacher, is expected to accomplish, and agreeing on what will be the results of the employee's efforts. Generally speaking, the process of defining individual work plan for the employee should involve the participation of both the supervisor and the subordinate.

Further, some participants acknowledged that the process of PAS is very accommodating in the sense that the atmosphere was very conducive for answering the questions accordingly. This is incompatible with what Nyirenda (1990) discovered in his research. He asserts that there are certain standards or requirements that a performance system should meet if it is to serve its purpose for the organisation using it. A good performance appraisal system must be job oriented, reliable and valid for the purpose for which it is being used, standardized in its procedures and practical in its administration, and it should be conducive to the employee and be suited to the organization culture.

Selective Appraisal

It was also revealed that not all teachers are appraised but just a selected few. Hence, the process is not transparent. The process is done in secret; only teachers favored by administrators are appraised, making the process selective and unfair. These observations are in line with those made by Rasch (2004) that if the system is poor, it will not give adequate effect. Problems such as leniency or harshness error, central tendency error, personal bias error, and contrast error can affect the performance appraisal of an employee. Each employee should be evaluated by his or her supervisor and to discuss with each other to set objectives for upcoming evaluation.

This is in line also with what scholars Ikemefume & Chidi (2012) observed that effective performance appraisal system is important in improving the performance of the employee in that it is him or her to bring out their opinions or to seek clearance on the duties of the job. However, an effective performance appraisal system should also be free of bias with the appraiser being objective by making sure that there is fairness and equity. Transparency is cardinal in giving feedback to employees regarding their strengths and weaknesses. Performance Appraisal should also be concerned with establishing a plan for performance improvement.

One respondent added that:

‘Unlike in the Annual confidential forms, the PAS gives chance to the appraisee and the appraiser to reach an agreement before rating is done. If the appraisee is not satisfied with the way the assessment is done, they have the right to refuse to sign the document’.

Asked to describe the process of the PAS in terms of participation, another respondent said that: *“The process is very accommodating as the atmosphere was very conducive for answering questions accordingly”*. In line with the above responses another participant noted that:

“The process serves two main purposes: to ensure that workers are fairly and effectively assessed, and to increase work performance”.

Another respondent said that:

“The process is usually not very conducive and transparent because, most of the times not all the teachers are appraised, only few are picked for appraisal and others are left out”.

Yet another respondent revealed that:

“The PAS is usually done in secret and only with the teachers that are favored by the administrators so that they are promoted”.

This respondent further commented that when this is done the conclusion is that the PAS is only meant for a few individuals and not for every teacher in the school. *“I have been seeing officers being appraised but not all are invited to do so, the process is very selective”.*

The above sentiments are in line with the observations by Rasch (2004) who asserts that most employees have mixed feelings with performance appraisal systems. While some believe that it carries some biases and largely fails to meet its objectives, others find it a means to justify their performance. He further says managers commit mistakes while evaluating employees and their performance. Some of these biases are perceived by employees as ways of unfairly interpreting their performances. Biases and judgment errors of various kinds may spoil the performance appraisal process. Shelly (1999) also notes that bias refers to inaccurate distortion of a measurement.

Lack of Objective Feedback

According to one of the participants, the Performance Assessment system is not helpful or effective in that, every time the respective teachers are assessed no feedback is given. The documents instead are just piled up in one corner and left to accumulate dust. Another respondent further added that even if one is appraised for promotion in a given school to fill up a vacancy usually they would just see the higher authorities sending another teacher from elsewhere to come and fill that vacancy even when there are teachers who qualify for that positions or who could have even been acting in the said position.

The above observations are consistent with those of other scholars. In his findings of his study, Kamfwa (2015) also observed that feedback should be provided by the end-user because no feedback was ever provided by PSMD. And according to Wesley (2003), feedback is as important as conducting the appraisal itself. He further observes that without feedback, most of the workers would lose confidence in the system since they would not be able to identify it with their development.

Feedback has been identified as a major requirement of a good appraisal system. In his study, Mate (2006) observes that for any performance evaluation to be effective, it has to be followed up with feedback so that workers can know how effective their performance is. Through feedback, managers can address issues such as the kind of behavior on the job that need to be encouraged and discouraged, and who needs to undertake training to enable them improve their skills and therefore perform better.

Some scholars (Walsh and Fisher, 2005) have declared that the ideal purpose of the appraisal is to present employees with worthwhile feedback that the latter can instantaneously use to improve respective performance. Employers should encourage their employees to perform well by motivating them through increase in monetary compensation and benefits.

According to Cummings and Worley (2005) early studies concluded that objective feedback as a means for improving individual and group performance has been “*impressively effective*” and has been supported by a large number of literature reviews over the years. Feedback was found to have a consistently positive effect across studies. Although most appraisal studies have focused on the relationship between performance and individuals, several studies have demonstrated a positive relationship between group performance and feedback.

Therefore, from the observations from the above scholars, there is need to ensure regular feedback; failure to do that could affect staff interest in the process, hence defeat the purpose of the assessment which is to enhance effectiveness and efficiency in the workers.

Another respondent on some allegations that some supervisors are not serious and do not interact with appraisee when using the PAS commented that:

“It is not true, it would be a wrong practice since the Assessment information demands that the two (supervisor and Appraisee) should interact”.

This respondent further said that there is also confirmation from the appraisee that needs to be documented to indicate that the two agreed on what has been recommended.

Lack of Participation

One of the respondents stated that there is lack of full participation from some of the appraisee. To explain this, he said the appraisee lack knowledge of the PAS resulting in little or no appreciation of its use or low/ passive participation in the whole process. Some appraisees are very skeptical in giving information in the whole process.

From the above sentiments of most scholars and respondents, the researcher concluded that there is no commitment on the part of supervisors on providing feedback on rewards, sanctions, training and skills gap, and on fairness, hence, rendering the process of appraisal ineffective and meaningless to most appraisees.

5.1.3 Research Question 3 - What are some of the flaws found in the use and application of the PAS?

Time and Frequency of Conducting Assessment

The researcher further engaged the participants to bring out the flaws that are found in the use and application of the PAS. During the interview one of the respondents stated that:

The PAS is usually done at the end of the year and this is the same time that the schools are very busy with exams and winding up the activities of the year, as a result it is done in a hurry thereby not serving the intended purpose.

As indicated by a number of scholars, basically, the appraisal part is the formal assessment done on employees' performance usually at the end of a period to find out whether goals were achieved, standards were met and feedback communicated to employees to encourage them to perform better to meet corporate set goals. This observation implies that if teachers are not assessed frequently, they may lose the momentum of performance, hence, become less effective and efficiency. This may defeat the objectives and goals of the PAS. In this case, annual appraisal or accessing a teacher once per year, or when there is need for promotion, is not in the best interest of the PAS objectives and goals. Therefore, there is need to work out a detailed program indicating periods when assessment should be done.

Apart from the frequency of the assessment, the timing of the programme also presented challenges. As observed by respondents, the end of year is one of the busiest terms due to the administration of end of year examinations, especially those involving examination classes such as grade nines and twelves. According to most participants, both teachers and administrators are very busy such that if the assessment is to take place, it is usually done in a hurry without following the proper procedure. And since most teachers are busy conducting exams, the chances are that they may not even be captured for assessment. This observation is in line with what the researcher observed that during end of years almost all the teachers and administrators are too busy even to have time to administer the PAS. Therefore, there is need to adjust the period for assessment of teachers.

Lack of Motivation

Another respondent said the PAS is done quite alright but people/teachers are not even considered by the higher authority for promotion, as a result most teachers are not even willing to be appraised because they feel it's just a sheer worst of time. This observation brings out again the need for fair play and motivation of teachers. If workers are discriminated against and not motivated by administrators or managers, they are likely to be less effective and efficient hence, defeating the purpose of PAS objectives and goals. This

observation is in line with the findings of Kamfwa (2015), who noted that among the gaps were that assessment of workers should be consistently applied and motivate them by identifying those high performers who deserve promotions and also identify low performers for training to enhance their skills competences.

As observed by Atta-Quartey (2015) in his study, motivation has been a critical factor in determining employee performance. Motivating employees to achieve a desired outcome is one of the most important functions of a supervisor, and that supervisors who are able to motivate their staff achieve the highest results and hence, help the organisation to achieve success.

There is, therefore, need for the Ministry of General Education in Zambia to have good motivational programmes in terms of confirmations and promotions of teachers to encourage them to continuously improve upon their work performance.

Duplication of the PAS Features/Components

Another respondent stated that there is a lot of duplication in the actual document used therefore there is need for it to be restructured so that repetitions are avoided. Asked if there are some parts of the PAS which need to be improved on or removed, one respondent agreed that the Key Result Areas and Principal Accountabilities share the same information with Targets set during Appraisal period. This observation is in consistence with what the researcher discovered in the analysis of the PAS document. Therefore, there is need to reconcile the two areas.

Head Teachers' and Heads of Departments' Perceptions on the PAS

Different detailed in-depth interview questions were provided for the head teachers and heads of departments, being supervisors and appraisers for the teachers. In order for the researcher to achieve the objectives of her study, it was necessary not only to get the views from the teachers as appraisees, but also to get views of administrators as supervisors and appraisers of their subordinates who in this case are teachers. As usual, many views were expressed by various respondents in this category, but only those answering the three research questions were considered and analysed.

One of the questions asked was to confirm the criterion used by supervisors in the Ministry of General Education and other government ministries, in the assessment of teachers or rather civil servants. Responding to this question, all respondents confirmed and approved the use of the PAS as being the approved and official document giving guidelines in assessing civil servants, teachers included. *"We use the PAS for both promotion/appointment and*

confirmations, and as a means of assessing whether our objectives are being realised by our staff...” mentioned one head of department.

In response to the questions whether there is need to improve some parts of the PAS, and on suggestions on how the PAS could be made more efficient, majority of the participants (12) positively indicated that there is room for improvement and making the PAS more efficient. Four (4) respondents indicated that the process and the document are effective in its form and do not need any change. However, five (5) respondents were not sure if at all the status of the process and document of PAS needs to be changed or improved on. Results indicate that there might be a need to improve certain parts of the PAS to make it more efficient and effective.

The following are the two major suggestions made by the respondents who felt that some changes must be effected on the PAS to make it more efficient:

1. The document to be reduced to a few pages: it was observed that the document in its present form is very bulk, with some repetitions, making it tedious to fill in. The bulkiness of the document could be one of the reasons why the process has become a mere rubber stamp. This observation is similar to what was observed and suggested by teacher respondents in the same study.
2. Continuous Assessment process: it was indicated that it is not fair to base one's performance on one assessment only. Therefore, a suggestion was made that let the process be a compulsory continuous one; one should be assessed at least 4 times per year, once per quarter of the year and this should be mandatory to all workers to be assessed, and supervisors to carry out the exercise of assessment of each and every worker who qualifies. It was observed that the advantage of such a process will be that every worker would be given an opportunity to be assessed, hence avoiding favoritism and biasness. Further, the process will not be done in a hurry since there will be enough time to do the exercise, hence making the process credible and appreciated by all stakeholders. And lastly, this will compel all supervisors to be serious with the process, hence avoiding being accused of biasness and favoritism by their subordinates (see responses from teachers).

In response to the question suggesting that some superiors or supervisors are alleged not to be serious and do not interact with the appraisees when using the PAS, the majority of the respondents, especially from the category of heads of departments, accused head teachers not being serious with the process of PAS. One respondent cited of an incident where the filled in

PAS were not submitted to the Teaching Service Commission for processing, and as a result, some teachers were not confirmed in their appointments or promotion:

When I remained acting head teacher when the head teacher went on leave for a few days, I discovered a box full of PAS papers which were supposed to be forwarded to the Teaching Service Commission to be worked on...the head teacher had not forwarded the papers and yet he kept on assuring teachers that papers were with TSC....

This sentiment was expressed by respondents at each one of the selected secondary school and this may indicate that it is a common practice by most supervisors, and if this is the case, then the objectives and goals of the PAS has been compromised.

5.3 Document Analysis

One of the research instruments used in this study for the collection of data was document analysis. In order to establish the relevance of the PAS in terms of its effectiveness and efficiency in the assessment of teachers in the selected secondary schools, it was necessary for the researcher to critically analyze the PAS document. The analysis was guided by the following questions:

1. Is the PAS document clear in stating to assessment objectives?
2. From the document is there evidence of appraisee participation in the process?
3. From evidence from the document, are there some flaws in the use and application of the PAS?

According to the analysis of the researcher, it was discovered that the PAS document has very clear and well stated objectives. The interpretation of the PAS is clearly stated and covering all the parts (see appendix 6) as follows:

Part 1:

1. It is important to ensure that relevant files and documents are consulted when completing this part.

Part2:

1. Purpose of the Job: This is a brief statement on why the job exists/what it intends to achieve, as stated in the Job Description.
2. Key Result Areas and Principal Accountabilities: These should be as stated in the Job Description.

3. Targets set during Appraisal Period against each Key Result Area: These should be as agreed with the supervisor. When completing Part 2-3, the appraisee should take note that one KRA can have more than one target.
4. Comments by Appraisee on targets achieved/not achieved: This should give an account of attributes/factors that contributed to the achievements/non-achievements of targets set.
5. Comments by Supervisor on targets achieved/not achieved: This should give an account of the attributes/factors that contributed to the achievement/non achievement of targets set.
6. Additional Contributions made by Appraisee: This should give brief account on the significant contributions made, if any, by the appraisee to the Ministry/department.
7. When making comments on targets not achieved, the supervisor and appraisee may ensure that they take into account: Financial Resources, Equipment and tools, staffing levels, Health related, Unrealistic targets, Lack of support/co-operation, Negligence, Incompetence.

Part 3:

1. The follow up action to be taken is a recommendation made by the supervisor taking into account the rating on both the targets and performance competencies. This recommendation could either relate to skills development, reward or sanction.

Part 4:

1. In Part 4.1 job holders are expected to be open and free to express themselves, giving reasons for their comments on whether they agree or disagree with the assessment by the supervisor.
2. In parts 4.2 and 4.3, the countersigning officer and the Permanent Secretary, respectively, are expected to approve or otherwise the submission from the supervisor.

Part 5:

1. PSMD is expected to promptly update the human resource information data bank, for use in effectively managing the human resource in the Public Service. PSMD will also acknowledge receipt of the Appraisal form.

From the document, there is enough evidence to show that the appraisee participates as reflected in Part 2, and from the document, there is no sign of any flaws. From this

observation, the researcher concluded that the document on paper is perfect; the flaws may be observed in the application of the document.

5.4 Summary

This chapter presented the findings of the study in relation to the research questions set out in chapter one. The next chapter presents the summary, conclusion and the recommendations from the results of the study.



CHAPTER SIX

CONCLUSIONS AND RECOMMENDATIONS

6.0 Introduction

This chapter gives the summary of the findings of this study. It also gives the conclusions that have been drawn from the study and the recommendations. Finally, suggestions are made for areas of further research. The research focused on establishing the relevance of the PAS in terms of enhancing effectiveness and efficiency among teachers in the Ministry of General Education in Zambia.

6.1 Conclusion

The main purpose of this study was to find out the relevance of the PAS by establishing its effectiveness and efficiency in terms of performance by the teachers in selected secondary schools in Lusaka district in the Lusaka province of Zambia. The findings from this study indicate that the PAS as a tool for measuring or assessing teachers' performance is still very relevant. In order to ensure that teachers are fairly and effectively assessed, and to increase their work performance, the PAS remains the most effective tool. As observed by Cascio (1992), the PAS is the total process of observing an employee's performance in relation to job requirement over a period of time. It clarifies expectations, sets goals, and provides on-the-job coaching, storing and recalling information about performance. We can conclude that on paper, the PAS document is a good paper but in practice the process has got a number of operational challenges as outlined in the following paragraphs.

The study has revealed that though being still relevant, the PAS is not as effective and efficient as it is supposed to be. This is due to a number of factors revealed by the study. The first factor is that though most of the teachers seem to understand the meaning and purpose of PAS, their understanding was limited only to promotion and confirmation, rather than enhancing effectiveness and efficiency in performance. This is a very narrow understanding of PAS for it implies that once a teacher is confirmed and promoted, there is no need of working hard and no need of assessment again. This in itself is a grave misunderstanding which has affected the efficiency and effectiveness of a PAS.

The study has also revealed that though most teachers claim to have participated in the process of assessment, the participation was limited to an agreement on the ratings and the pending of signatures by both the appraiser and the appraisee. Again this in itself is a big misunderstanding which may have greatly affected the effectiveness and efficiency of PAS. The reality is that the talked about participation should start at the preparation of the departmental and individual work plans at the beginning of the year.

Another revelation from the study is that some supervisors' attitude has contributed to the ineffectiveness and inefficiency of the PAS. Some supervisors have been accused of practicing favoritism and biasness in the selection of teachers to be assessed. Further, supervisors do not give feedback to the appraisees after the assessment, and have been accused of not forwarding documents after assessment to the relevant authority for action. This attitude has demoralised teachers and has affected the effectiveness and efficiency of the PAS.

The study has also revealed that holding assessment during exams period at the end of the year disadvantages and disturbs most teachers especially those involved in the preparation and administering of exams. It was also noted that teachers should be assessed at least four times per year instead of being assessed only once at the end of the year.

Finally, the study revealed that the PAS document is too bulky with a number of duplicated questions. This makes it difficult and tedious for the teachers, even supervisors, to read through and understand the document and this definitely has affected the effectiveness and efficiency of the PAS. Therefore, there is need to restructure the document and reduce it to a manageable document.

The researcher is of the view that, with its extensive literature review, this study has shed more light and has helped, in finding a lasting remedy to the effectiveness and efficiency of the PAS in the civil service in general and Ministry of General Education in particular.

6.2 Recommendations

From the findings of the study, the researcher has recommended the following:

1. There is need for the Ministry of General Education to sensitise more teachers on the understanding of the process of PAS.
2. Supervisors should be reoriented by the MOGE in the administering of PAS.
3. There is need to restructure the PAS document to reduce it to a manageable document by removing all duplicated questions.
4. The administration of PAS should be adjusted so that it does not coincide with the exams period at the end of the year.
5. Teachers should be assessed at least 4 times in the year rather than once per year.
6. Performance evaluations for those in management positions should assess more than just the essential job performance areas mentioned above. They should also assess the teachers' people/pupils skills, ability to motivate and provide direction, overall communication skills and ability to build teams and solve problems. It should have

either a separate assessment form for managers or a special managerial section added to the standard evaluation form

7. Set guidelines for feedback: Feedback is what performance evaluations are all about. So before you implement your performance evaluation system, make sure that everyone who will be conducting the assessment knows what kind of feedback to give, how to give it and how to get it from the teachers in return.
8. Give balanced feedback: Don't make the common error of glossing over teachers' deficiencies and focusing only on his or her strengths. It is by understanding their weaknesses that teachers can take ownership of their performance and role in the practice. And when given the support they need to make improvements in these areas, teachers can learn to take pride in their work and are willing to take on new challenges with confidence.
9. Outline expectations for improvement: When you address areas where improvement is needed, outline your expectations for improvement and how you intend to help the teacher to meet them. For example, if a teacher is speaking harshly with other pupils/teachers and does not seem tolerant with them, give the teacher some examples of his or her behavior and offer some suggestions to resolve the problem, such as role-playing sessions or a communication skills, workshop or seminar. Define the boundaries by letting the teacher know what is acceptable and what will not be tolerated, and then establish a plan for monitoring performance and re-evaluating him/her.

6.4 Areas for further Research

This research is far from being exhaustive. The issue of assessment of workers is a very emotional and sensitive topic in the civil service. Therefore, it affected the majority of respondents' answers in terms of authenticity. In order to extract credible and dependable answers, there was need for more time, but that was lacking in this research. Therefore, further study should accord more time of interaction with teachers.

There is also need to expand on the population for a substantive sample so that findings can be generalised proportionately. This was a study of only 3 selected secondary schools and only included a small group of teachers who were picked on randomly. Therefore, in order to get exhaustive findings, further research should include more secondary schools and increase the sample of teachers.

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KWAME NKRUMAH UNIVERSITY

APPENDICES



Appendix 1

Questionnaire Guide for the Teachers

Date.....Time.....

Dear respondent,

My name is Sandra Mulesu, a Master of Education student at Nkrumah University. I am conducting a research concerning evaluation of the effectiveness of the performance appraisal system (PAS) in selected schools in Lusaka district, Zambia. This information is strictly for academic purposes and will not in any way be used to harm you. More importantly, all you say will be treated with strict confidentiality. Therefore, you are free to withdraw from the study at any time, and you can seek clarification from the researcher if you wish to do so. You are also free not to give answers to questions you feel like not answering. Participation in this research does not attract any monetary gain. Having heard the purpose, benefits and risks of the study, are you willing to give answers to the following questions?

1. Your age _____

2. Sex _____

3. For how long have you been working as a teacher? (Tick where appropriate):

1 – 5 years: ___

6 – 10 years: ___

11 -15 years: ___

16 – 20: years ___

20 – above years ___

4. During your career as a teacher, have you ever gone under any form of performance appraisal or assessment by your supervisors? _____

If yes, when? (mention the year): _____

If no, why?

5. How many times have you been assessed during your career?

6. From your knowledge, what is your understanding of Performance Appraisal System?

7. What was the purpose of the assessment?

a. Promotion: _____

b. Any other purpose: _____

If the answer is b, mention the purpose:

8. Do you fully understand the process of assessment or appraisal conducted by supervisors on the supervisee? _____

9. From your experience, how would you describe the process in terms of the participation of the appraisee

a. Very accommodating: _____

b. Fairly accommodating: _____

c. Not accommodating: _____

Give reasons for your answer:

10. In your opinion do you think the present PAS should be maintained or replaced by another system?

Yes: _____

No: _____

Give reasons for your answer:

11. Is there any information you would like to share with me that I have not asked, or any question you would like to ask me?

Yes: ____

No: ____

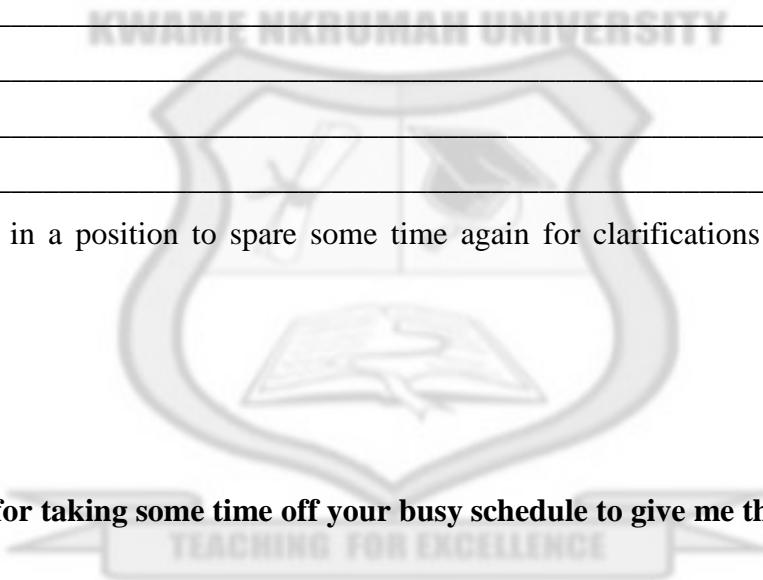
If your answer is yes, what is that information?

12. Are you in a position to spare some time again for clarifications should there be any need?

Yes: ____

No: ____

Thank you for taking some time off your busy schedule to give me this information.



Appendix 2

In-depth Interview Guide for Teachers

Date.....Time.....

Dear respondent,

My name is Sandra Mulesu, a Master of Education student at Nkrumah University. I am conducting a research concerning evaluation of the effectiveness of the performance appraisal system (PAS) in selected schools in Lusaka district, Zambia. This information is strictly for academic purposes and will not in any way be used to harm you. More importantly, all you say will be treated with strict confidentiality. Therefore, you are free to withdraw from the study at any time, and you can seek clarification from the researcher if you wish to do so. You are also free not to give answers to questions you feel like not answering. Participation in this research does not attract any monetary gain. Having heard the purpose, benefits and risks of the study, are you willing to give answers to the following questions?

1. For how long have you been working as a teacher?
2. When were you first appraised by your supervisor?
3. What was the purpose of the assessment?
4. From your knowledge, do you understand the objectives of the Performance Appraisal System? Explain
5. How can you explain the experience of the process of appraisal using the PAS?
6. From your experience of the process of PAS, do you think that it fulfils its objectives
7. If the answer for question 6 is no, give reasons why you think so.
8. Are you fully satisfied with the structure of the PAS?

Give reasons for your answer

9. From your experience, how would you describe the process in terms of the participation of the appraisee?

Give reasons for your answer:

10. Some critics of the PAS allege that most supervisors do not take the process of appraisal seriously and do not engage the appraisee. What is your opinion on this allegation?
11. In your opinion, do you think there are certain clauses in the PAS which need to be changed? If yes, what are those?
12. In your opinion do you think the present PAS should be maintained or replaced by another system?

Give reasons for your answer

13. Do you have any suggestions on how you think the PAS can be made more efficient and effective? Give suggestions.

14. Is there any information you would like to share with me that I have not asked, or any question you would like to ask me?

If your answer is yes, what is that information?

15. Are you in a position to spare some time again for clarifications should there be any need?

Thank you for taking some time off your busy schedule to give me this information.



Appendix 3

In-depth Interview Guide for Head Teachers and Heads of Department

Date..... Time.....

Dear respondent,

My name is Sandra Mulesu, a Master of Education student at Nkrumah University. I am conducting a research concerning evaluation of the effectiveness of the performance appraisal system (PAS) in selected schools in Lusaka district, Zambia. This information is strictly for academic purposes and will not in any way be used to harm you. More importantly, all you say will be treated with strict confidentiality. Therefore, you are free to withdraw from the study at any time, and you can seek clarification from the researcher if you wish to do so. You are also free not to give answers to questions you feel like not answering. Participation in this research does not attract any monetary gain. Having heard the purpose, benefits and risks of the study, are you willing to give answers to the following questions?

1. How long have you been serving in your position?
2. How many teachers are under your supervision?
3. What criteria do you use to assess your teachers?
4. Apart from the PAS, are you familiar with any other system of assessment?

If yes explain

5. Can you explain why and when you have to use PAS as a supervisor?
6. Can you explain how comfortable you are when using the PAS?
7. In your opinion, do you think that the PAS is efficient and effective in achieving its objectives?

Give reasons

8. Do you think there are some parts of the PAS which need to be improved on or removed?

If yes, explain the reasons

9. There are some allegations that some supervisors are not seriously and do not interact with appraisee when using the PAS. What is your opinion on this allegation?
10. Do you have any suggestions on how you think the PAS can be made more efficient and effective? Give suggestions.
11. Is there any information you would like to share with me that I have not asked, or any question you would like to ask me?

12. Are you in a position to spare some time again for clarifications should there be any need?

Thank you for taking some time off your busy schedule to give me this information.



Appendix 4

Document Analysis

1. Is the PAS document clear in stating to objectives?
2. From the document is there evidence of appraisee participation in the process?
3. From evidence from the document, are there some flaws is the use and application of the PAS?



Appendix 5:
Performance Appraisal System Document

PAS FORM 1



REPUBLIC OF ZAMBIA

CONFIDENTIAL

Issued By: THE PERMANENT SECRETARY
PUBLIC SERVICE MANAGEMENT DIVISION

PERFORMANCE APPRAISAL SYSTEM (PAS) FORM

ANNUAL/INCREMENTAL/CONFIRMATION/PROMOTION (Delete which is not applicable)

Note: 1. **Confirmation and Promotion Appraisals** to be channeled to **Teaching Service Commission**.

2. **Annual and Incremental Appraisals** to be channeled to **Public Service Management Division**.

PART 1: PERSONAL PARTICULARS (To be completed by the Appraisee but initiated by the Human Resources and Administration Department.)

PERFORMANCE APPRAISAL:

FOR THE PERIOD: (Month) _____ 20____ TO (Month) _____ 20____

TS NO:

PMEC EMPLOYEE NO: (AS IT APPEARS ON PAYSリップ):

SURNAME: _____ OTHER NAMES: _____

JOB TITLE: _____ SALARY SCALE: _____

DATE OF APPOINTMENT TO PRESENT POST: _____

MINISTRY/PROVINCE: _____

DEPARTMENT: _____

STATION: _____

Supervisor as indicated on

2.1. Job Purpose (To be completed by the Appraisee, as stated in the Job Description)

2.2. Individual Work Plan and Ratings

Note: **Attach the duly completed Individual Work Plan**

2.3. Comments by the Appraiser on Targets (as set in the Individual Work Plan):

a) **Achieved:**

b) **Not Achieved:**

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only**

Signature:.....

Date:.....

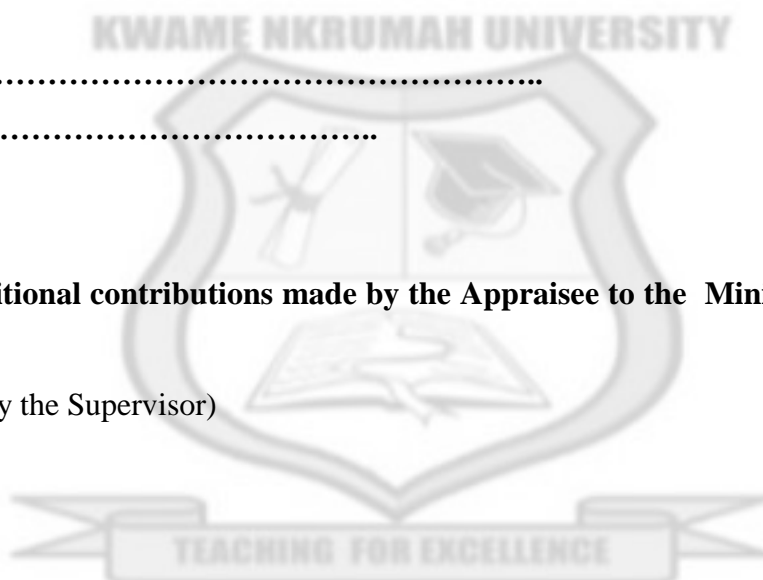
2.4. Comments by the Supervisor on Targets (as set in the Individual Work Plan):

a) **Achieved:**

b) **Not Achieved:**

Signature:.....
Date:.....

2.5. Additional contributions made by the Appraisee to the Ministry/Department (to be completed by the Supervisor)



Signature:.....
Date:.....

PART 3: PERFORMANCE COMPETENCIES (To completed by Supervisor using rating key* below)

3.1. COMPETENCIES/ATTRIBUTES

RATING*

| | |
|--|--------------------------|
| a. Management/Supervisory skills:- | <input type="checkbox"/> |
| Ability to guide others towards meeting set goals and objectives | |
| b. Job knowledge:- | <input type="checkbox"/> |
| Level of understanding and ability to apply knowledge and skill to perform the job. | |
| c. Quality of Work:- | <input type="checkbox"/> |
| The degree to which an employee applies himself/herself in performing work to the required standards i.e. completes his/her work with accuracy, minimal error. | |
| d. Promptness in completing assignments:- | <input type="checkbox"/> |
| Completing assignments on time. | |
| e. Dependability: | <input type="checkbox"/> |
| Ability to follow instructions, maintain good conduct, time-keeping and devotion to government duties. | |
| f. Accountability: | <input type="checkbox"/> |
| Willingness to shoulder responsibility and to be answerable for the achievement/non achievement of objectives. | |
| g. Initiative and Creativity: | <input type="checkbox"/> |
| Ability to be innovative, resourceful, creative, promote new ideas and resolve problems within or outside set guidelines. | |
| h. Communication skills: | <input type="checkbox"/> |
| Ability to communicate effectively both orally and in writing. | |
| i. Tact and Courtesy: | <input type="checkbox"/> |
| The employee's sensitivity, integrity, politeness and temperament in dealing with others. | |
| j. Attitude: | <input type="checkbox"/> |
| Interest shown towards the job. | |
| k. Adaptability: | <input type="checkbox"/> |
| Ability to cope with changing ideas, work environment, technologies as well as ability to get along with superiors, peers and subordinates. | |
| l. Team work: | <input type="checkbox"/> |
| Co-operation with fellow workers and supervisors and promoting an environment which encourages open communication and consensus. | |
| Overall Rating on Competencies/Attributes** | <input type="checkbox"/> |

**3.2. What type of follow-up action do you recommend for the appraisee?
(Overall recommendation)**

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Date:.....

Signature:.....

Name:.....

Job

Title:.....

*Rating Key: Outstanding = 4 Good = 3 Fair = 2 Poor = 1

Non Applicable = x

**Overall rating on Competencies/Attributes is total rating divided by the number of Competencies/Attributes rated.

PART 4: COMMENTS ON APPRAISAL

4.1. Comments by Appraisee

The appraisal ratings and comments were discussed with my Supervisor and my comments are:

Signature:.....

Date:.....

4.2. Comments by Countersigning Officer Refer to paragraph 13 User Guide. Delete which is not applicable)

I, as countersigning officer, agree/disagree with the appraisal made by the supervisor because of the following reasons:

Signature:.....

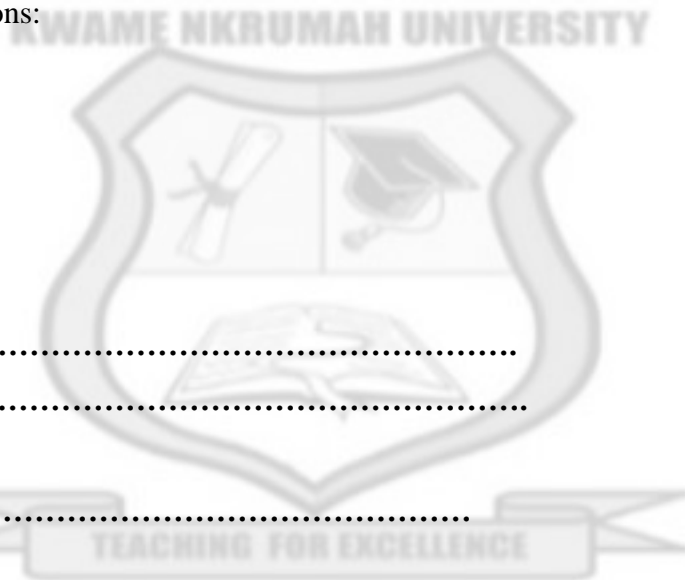
Name:.....

Title:.....

Date:.....

4.3. Comments by Permanent Secretary (Delete which is not applicable)

I, Permanent Secretary, agree/disagree with the appraisal made by the supervisor because of the following reasons:



Signature:.....

Name:.....

Date:.....

INDIVIDUAL WORK PLAN

(To be attached to every Appraisal as may be appropriate)

Name _____ **of** _____ **Job**
Holder:..... **Work**

Plan

Period:.....
.....

Job

Title:.....
.....

Department/Section:.....
.....

Job Purpose (As in the Job Description)

.....
.....
.....
.....
.....
.....
.....
.....
.....
.....

(To be completed by the Teacher while the rating be completed during Appraisal by the Supervisor)

| KEY RESULT AREA | PRINCIPAL ACCOUNTABILITIES | SCHEDULE OF ACTIVITIES | TARGETS | RATING |
|-----------------|----------------------------|------------------------|---------|--------|
| | | | | |



Supervisor's key for Rating: Above Target = 3, On Target = 2, Below Target = 1,

Overall Target Rating =

(I.e. total rating divided by the number of targets)