EMPLOYEES PERCEPTIONS OF PERFORMANCE APPRAISAL IN PUBLIC TECHNICAL VOCATIONAL AND ENTREPRENEURSHIP TRAINING INSTITUTIONS IN ZAMBIA

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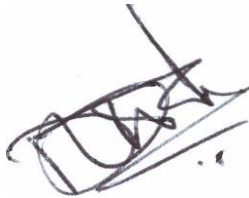
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I declare that the above dissertation is my own work and that all the sources that I have used or have quoted are indicated and acknowledged using complete references.

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ABSTRACT

The purpose of this study was to explore employee perceptions of performance appraisal in two public Technical Education Vocational Entrepreneurship and Training (TEVET) institutions located in the Southern Province of Zambia. This study followed a quantitative research approach using the census method to obtain data. Seventy-three (73) participants out of a total population of 129 at varying employment levels consented and participated in the study.

A 59 item self-administered questionnaire was administered to obtain responses. The main conclusion from this study was that employees held positive attitudes about performance appraisal. The study found that the performance appraisal system was integrated into institutions' culture and that the respondents were satisfied with the performance appraisal process and that 68% of the respondents agreed that the performance system in their institution was fair. However, concerns about the low frequency of appraisal meetings were noted. The frequency of performance evaluation on how well the employees were meeting their targets was mostly once in a year. This called for urgent attention by the management of the institutions to ensure that at least two appraisals were conducted in a year. The study also found evidence of rating standards varying from supervisor to supervisor. The study recommended that supervisor training in rating formed part a continuous process. These findings and the recommendations in this study are expected to be of benefit to the principals and supervisors in the institutions.

The findings of the study contributed to the knowledge in the field of education management and leadership by providing empirical evidence about employee's perceptions about performance appraisal in the two public TEVET institutions in Zambia.

Keywords

Distributive justice, Organisational justice, Perception, Performance, Performance appraisals, Performance management, Procedural justice and TEVET institution.

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'In the past, we have been leaders of willing servants. In the future, we must be servants of willing leaders…' Lou Tice

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LIST OF ACRONYMS AND ABBREVIATIONS

ACR	-	Annual Confidential Report
APAS	-	Annual Performance and Appraisal System
EIZ	-	Engineering Institution of Zambia
GDP	-	Growth Domestic Product
GRZ	-	Government of the Republic of Zambia
HRM	-	Human Resource Management
KSBC	-	Kasiya Secretarial and Business College
LIBES	-	Livingstone Institute of Business and Engineering Studies
MDD	-	Management Development Division

MESTVEE	-	Ministry of Education Science Vocational Training and Early Education
MSTVT	-	Ministry of Science Technology and Vocational Training
OJ	-	Organisational Justice
PA	-	Performance Appraisal
PAS	-	Performance Appraisal System
PMP	-	Performance Management Package
PSMD	-	Public Service Management Division
PSMPSP	-	Public Sector Management Program Support Project
TEVET	-	Technical Education, Vocational and Entrepreneurship Training
TEVETA	-	Technical Education, Vocational and Entrepreneurship Training Authority
TQF	-	TEVET Qualifications Framework
UNISA	-	University of South Africa

1.0 CHAPTER 1 INTRODUCTION

1.1 General background

Zambia, like any other developing country, joined the global trend of instituting public sector reforms in their administrative systems to meet the human capital challenges of the 21st century where the performance of employees must be measured and managed. In the last decade, public sector reforms in Zambia focused on improving performance management and institutionalising strategic performance management in the Zambia public service (World Bank, 2005:2). Performance appraisal in the Zambia Public Service has been receiving significant attention in the last two decades. In 1997, the Zambian Government embarked on the Public Sector Management Program Support Project (PSMPSP) whose purpose was to improve performance management and to institutionalise strategic performance management in the public service (World Bank, 2005:2).

The enactment of the Technical Education and Vocational and Entrepreneurship Training Act (TEVET Act No.13 of 1998), placed the institutions under Management Boards, public Technical Education Vocational Entrepreneurship Training (TEVET) institutions. Previously, the institutions were under the Department of Technical Education and Vocational Training (DTEVT) in the Ministry of Science Technology and Vocational Training (MSTVT). Under the government, the Annual Confidential Report (ACR) was used to report on employee performance in the year. It entailed the supervisor reporting to the officer at the end of each year. There were no institutional strategic plans, departmental plans nor individual work plans on which to base the evaluation of the performance of the officers. In all cases, there was no feedback on the Annual Confidential Report made on the employee. The researcher experienced this phenomenon during his tour of duty in the Zambia Teaching Service as a teacher.

Poor performance coupled with bureaucratic rules, regulations and routine tasks, rigidity and 'inertia' characterised Zambia Public Service. The government acknowledged that the Civil Service Annual Confidential Reporting System on individual performance was just a matter of routine serving little purpose as it led to the loss of confidence in the creditability of the Annual Confidential Reporting System by both the employee and the government

(Zambia, 2003: i). The government established a legal framework to institutionalise Annual Performance Appraisal Systems (APAS) through the Performance Management Package (PMP) and included APAS in the Terms and Conditions of Service for Public Service to develop and introduce new instruments for measuring individual performance, (Zambia, 2003:52).

In comparison, the ACR and PMP had the following characteristics:

Table 1. Characteristics of Annual Confidential Report and Performance Appraisal System[1]

Annual Confidential Report	Annual Performance and Appraisal System
• Closed system • Secretive • Appraisee not involved in the appraisal process	• Open system • Not secretive • Appraisee actively participates in the appraisal process
• Did not encourage the culture of work planning • Lacked focus • Subjective	• APAS promotes the culture of work Planning • Objective

Component 2 of the Public Sector Reform Programme (PRSP) which dealt with improved management systems and process, PMP was introduced to address the subjective aspects of the Annual Confidential Report. Specifically, PMP aimed to address issues of organisational work planning, which meant that all government ministries, departments and agencies would develop annual corporate work plan the departmental work plans sections and individual would develop annual performance plans aligned to the annual institutional work plans. The annual work plan formed the basis for the annual appraisal evaluation. From the experience of the researcher public TEVET institutions already had developed strategic foundations by way of vision statements, mission statements and strategic plans

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[1] An overview of the performance Management Package (PMP). The Public Service Reform Programme (PSRP). Management Division. Cabinet Office. Lusaka.

but did not have documented performance management systems that included performance appraisal systems before the implementation of the PMP and APAS. A case in point is the situation at the institution where the researcher works where the LIBES Strategic Plan (2008-2013) was developed before the implementation of the PMP, and APAS and no formal appraisal system existed then.

In 2009, the Zambian government implemented the Performance Management Package (PMP) and Annual Performance Appraisal System (APAS) in all Public Technical Education Vocational and Entrepreneurship Training (TEVET) institutions in Zambia. The implementation of the PMP and APAS in public TEVET institutions brought about a significant shift from the way performance was managed in public TEVET institutions. For the principals and employees of the government TEVET institutions, this changed environment offered many new challenges and opportunities such as adapting to new approaches to institutional management, developing strategic plans, annual work plans and performance appraisal. Despite the fact that the institutions under review had developed strategic plans, in most cases, there was no alignment of organisational structures and job descriptions to the strategic plans. Supervisors and employees were asked to step outside these traditional narrowly-defined job descriptions where the institutional structure and job descriptions were not aligned with the institution's missions, visions and strategic plans in support of the team and organisational objectives this meant that corporate structures and job descriptions aligned with the strategic foundations and policies of the institutions.

For Principals and employees alike, responding to these changes entailed that they learn, adapt to change, solve problems, and communicate effectively in diverse groups. Additionally, employees needed to take a personal interest, and responsibility for their careers to ensure development (Armstrong, 2009:509). Performance appraisal, implemented and properly used, is one of the most powerful supervisory tools available in performance management (Dessler, 2007:313; Aguinis, 2013:26; De Cenzo and Robbins, 1999:389; Morrisey, 1983:34). The fact that performance appraisal was not meeting its potential in many organisations is no secret, particularly to supervisors who have the greatest responsibility for its efficient use (Morrisey, 1983:34). If implemented and used poorly, performance appraisals may lose credibility with the organisation's employees (Aguinis, 2013:8; De Cenzo et al. 1999:375).

Since the implementation of the performance management package and annual performance appraisal system in the public TEVET institutions in 2009, no empirical study has been undertaken to evaluate the efficacy of the systems let alone to investigate employee perceptions about the appraisal. From the researcher's experience officers from the ministry have from time to time visited the institutions to monitor and evaluate the use of PMP and APAS. The visits did not amount to a compelling scientific study on which decisions could be based. The idea of this study originated from the researcher's experience in the implementation of the PMS, and Performance Based Reward System at Orapa Community Junior Secondary School in Botswana from 1998 to 2006 and at the Livingstone Institute of Business and Engineering Studies (LIBES) from 2009 to date, where the researcher is an employee. The literature search revealed that there was no empirical evaluation of the employee's perceptions of performance appraisal. Further, there has been no feedback as to how the employee's perceived performance appraisal in the public TEVET institutions.

TEVET is critical to economic success and long-term development in Africa in general and Zambia in particular, a country facing several challenges to growth and development on many fronts. TEVET in Zambia provides economic and social benefits, both to the individual and the public, produces qualified human capital, adapts and generates knowledge. Employees in TEVET institutions make a significant contribution to the country's human capital development by training craft persons, technicians and technologist who, in essence, are the cadre of employees who turn resources into wealth. It is, therefore, important to investigate what these employees hold perceptions about performance appraisal in their institutions and the extent to which performance appraisal was contributing to the effectiveness of these institutions. Therefore, this research is important because research suggests that fairness perceptions about performance appraisal help to the promotion of efficiency in organisations (Moorman, Blakey and Niehoff 1998:210). Further, research reveals that employee perception of fairness of performance appraisal is a significant factor in employee acceptance and satisfaction of performance appraisal (Longenecker, Liverpool and Wilson (1988:312); Kavanagh and Brown (2007:134); Bretz, Milkovich and Read (1992:20). A good perception will create a positive

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working environment in the organisation while a negative attitude will create many problems for the organisation that finally, it will affect organisational performance. These perceptions depend on the actions of both the supervisor and the employee and their behaviours toward each other in the appraisal process.

This study is, therefore, significant because its findings can form a basis for further research into the issues of performance appraisal in public TEVET institutions in Zambia and fill the gap of knowledge that exists in the literature about employee perceptions of performance appraisal in Zambia's government TEVET institutions.

1.2   Rationale for the study

A literature search indicated that although there is significant research on the use of performance appraisal in the Zambian corporate world and public sector, there is little literature on employee perceptions about performance appraisal in the public TEVET institutions in Zambia. Within the public TEVET sector in Zambia, most research focused primarily on implementation of the Performance Management Package (PMP) programme. Empirical knowledge on employee perception of performance appraisal is needed in this area since there is considerable research that indicates that performance appraisal if done well, creates benefits to organisations (Dessler, 2007:313; Aguinis 2013:26; Noe, Hollenbeck and Gerhart 2011:225).

This topic is relevant to TEVET institutions because there was scanty information about the employee's perceptions of performance appraisal in the two TEVET institutions since its implementation in 2009. This study, therefore, provided empirical evidence about employee attitudes about performance appraisal that could enable the managements in the institutions to appreciate what perceptions their employees held about performance appraisal as well as understand how performance appraisal information was used and the benefits that are derived from its use. The results of this study can be utilised by the institutions to give impetus to improving, their existing appraisal processes and systems and to the Ministry of Education, Science, Vocational Training and Early Education to understand and appreciate the efficacy of performance appraisal in the institutions. This study contributes to knowledge to the broader understanding of how well performance

appraisal was implemented as well as to understanding what perceptions the employee held about the performance appraisal and what their benefits and challenges are.

1.3   Purpose of the Study

The daily routine of the academic world is undergoing continuous change. New expectations about academic employment are influencing academic workload, job tenure, salary, career and promotion considerations, and creating challenges for public TEVET institutions in Zambia. TEVET institutions in Zambia are being asked to justify themselves, their objectives, and methods of attaining these objectives, the allocation of their resources, priorities and responsibilities to society. Students, stakeholders, industry and the public want to see evidence of the efficiency and effectiveness of these institutions. Therefore, TEVET institutions must demonstrate their value to be able to continue to compete for funding from the Government and the support of their customers and stakeholders. Consequently, the quality of academic staff and how they are trained, recruited, rewarded, utilised and motivated are crucial to the effectiveness of a TEVET institution. These demands for increased accountability, efficiency and value keep enhancing the pressure on the adoption and use of performance appraisal systems to evaluate employee performance in public TEVET institutions.

Performance appraisal is a critical part of the performance management in any organisation (De Cenzo, et al. 1999:389) it is important therefore that the employee's perceptions are known through an empirical study. The purpose of this study was to explore employee perceptions of performance appraisal in two public TEVET institutions. Demands for management reform, including mandates to apply business-like strategies, are evident in public TEVET institutions. As a result, TEVET institutions are challenged to go through an unstable and challenging environment and that they are under pressure to manage their most significant internal resources: their staff. Further, since perceptions about performance appraisal whether it is effective or fair is largely contingent upon the employee in the TEVET institutions, it is worthwhile to explore the employee's perceptions about performance appraisal.

1.4   Problem statement

Although the performance appraisal system was implemented in all the twenty-eight public TEVET institutions in Zambia in 2009, not much was known about how organisational stakeholders (appraisers and appraisees), perceive and make sense of their appraisal experiences within the context of the performance appraisal systems in their institutions. Much of the research on performance appraisal in Zambia was focused on the effectiveness of the performance management system in the public sector since its implementation.

Longenecker and Nykodym (1996:151-152) proposed that the cognitive perceptions people have about performance appraisals and performance management systems were a key determinant of a system's long-term success or failure. Therefore, if employees were not content with appraisals, they are subsequently reluctant to participate actively in the process, do not see any value in it, which in turn creates low morale, and this inevitably affects productivity. It is important to have a better understanding of employees' perception of the appraisal in TEVET institutions as this can assist in finding ways of tailoring appraisal systems in a way that satisfies the key stakeholders for system effectiveness. Negative perception may result from the fact that performance management systems including performance appraisal in the public sector have not always been priority concerns and hence have not received the attention they deserve (Cintrón and Flaniken, 1986:32). Just like other management practice, employee appraisal systems should be dynamic. In practice, in the two public TEVET institutions under this study, there is no empirical research on employee perception of the performance appraisal systems to inform what perceptions of employees in these institutions hold about performance appraisal.

There is a continued need for reviewing and updating the appraisal systems to conform to organisational changes and the current management practices which has not been the case at the two institutions. The researcher was not aware of any study on employee perceptions of the appraisal systems in Zambia's public TEVET institutions in general and the two institutions in particular and firmly believes that it is critical for managements in these institutions to know how staff perceive the performance appraisal system. The process of

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performance appraisal is about the individual and, therefore, the success of any appraisal system depends on how it is perceived by the employees (individuals) for whom it is intended. The best people to give their views, attitudes about how they feel about performance appraisal in the workplace are the individual workers and hence the decision to use the census method to obtain the answers to the research questions. Further, research reveals that employee fairness perceptions about performance appraisal have critical implications for employees and organisations (Warokka, Gallato and Moorthy, 2012:2).

Therefore, the purpose of this study was to explore employees' perceptions of the performance appraisal system of the two TEVET institutions.

1.5   Research Objectives

1.5.1   The primary purpose of this study is to explore what perceptions are held by employees of the two public TEVET institutions about the Annual Performance Appraisal System (APAS).   From the primary research objective the other aims of the study were to:

1.5.1.1   Determine factors that influence the employee perceptions about performance appraisal.

1.5.1.2   Investigate the extent to which the institutions have institutionalised performance appraisal.

1.5.1.3   Recommend ways to improve Performance Management and APAS in public TEVET institutions.

1.5.2   Research questions

1.5.2.1   The primary research question that stems from the aim of the study and that this study sought to answer was: "What are the perceptions of employees about the performance appraisal system in public vocational training institutions in Zambia?"

1.5.3 Other research questions

1.5.3.1	What perceptions do employees in management, academic and non-academic departments of the two public TEVET institutions hold about whether performance appraisal is used to evaluate comparatively employees, to decide salary incentives and promotions about their contribution to the institution?
1.5.3.2	Do employees perceive that performance appraisal is used to provide feedback, identify strengths and weaknesses, determine transfers and assignments and establish individual training needs?
1.5.3.3	Do employees perceive that performance appraisal is used to determine the type of training and development needed by employees to assist employees in enhancing skills and capabilities?
1.5.3.4	To what extent has performance appraisal been integrated into the institutions' culture and how it is contributing to the overall performance of the institutions?
1.5.3.5	Is performance appraisal used to recognise good performance and identify poor performance to decide ultimately on promotions, retention and termination?
1.5.3.6	Do employees perceive the appraisal system as fair?
1.5.3.7	Do employees perceive that their raters are competent?
1.5.3.8	Are employees satisfied with the performance appraisal system?
1.5.3.9	What factors do influence employees' perceptions about the appraisal?

1.5.3.10   What recommendations can be made to serve as guidelines for effective appraisal in public TEVET institutions?

1.6   Research Methodology

The quantitative survey research approach was chosen for this study. Welman and Kruger (2001:191) describe the quantitative research method as a means of obtaining appropriate data for investigating the research problem through different methods and techniques relating to numbers. Regarding this approach, everything is observable and can be measured and thus explained (Cooper and Schindler, 2011:161).

The reason for choosing the quantitative research approach is that a quantitative research approach would ensure consistency and reliability of data collection.   It would cast the researcher's net widely to obtain as much data as possible using the census method with the intention of arriving at findings that could be broadly generalised within the institutions in the study. The survey strategy allowed the researcher to collect data that was analysed quantitatively using descriptive statistics. Further, the data gathered using the survey approach was used to suggest possible reasons for particular relationships between variables and to develop models of these relationships.

1.7   Limitations and Delimitations

1.7.1 Limitations of the study

The following are the limitations of the study:

1.7.1.1.   The study was limited to the Kasiya Secretarial College (KSC), and Livingstone Institute of Business and Engineering Studies (LIBES). Although the research would have been conducted in one institution the

opportunity to do research in the other institution offered additional benefits to the study of finding out what perceptions employees in the other institution held about performance appraisal.

1.7.1.2   The findings may not be relevant and generalisable to other public TEVET institutions in the country. The use of self-report instruments can result in response bias, which could limit the usefulness of the findings.

1.7.1.4   Considerable consultation about the wording of the research instrument and suggestions from the pilot study were considered. However, the level of understanding of the English language in the questionnaire may have affected the responses made by employees with low academic qualifications.

1.7.2 Delimitations of the Study

This study researched employee perceptions about performance appraisal in the two public TEVET institutions in Zambia, a subset of 28 public TEVET institutions, and this may limit the inferences that can be drawn from this study as they might apply to all public TEVET institutions.

1.8   Demarcations of chapters

1.8.1   The demarcation of the dissertation is as follows:

Chapter 1:   **Introduction and Overview**:   This chapter outlines the general background, the rationale for the study, the statement of the problem. The rest of the chapter describes the following aspects: the purpose of the research, study objectives and research questions. The chapter introduces the research methodology, limitations and delimitations of the study.

Chapter 2:   Literature review

The chapter gives a comprehensive account of the relevant literature reviewed of the views of various scholars and authorities in the performance management systems with particular reference to performance appraisal. The arguments arising from the literature review point to the answer to the central questions of the study to understand the factors that can affect employee perceptions of the appraisal systems in the two public TEVET institutions.

Chapter 3:   Research design and methodology: The methodology used in the research is detailed in this chapter of the dissertation. The chapter includes:

- The study type
- Major research themes or variables on which data was collected
- Study population
- Data collection techniques
- How data was collected and by whom
- Description of data analysis and statistical tests
- Limitation of the study

Chapter 4:   Analysis, Findings and Discussion: The chapter covers the systematic presentation of the results of the analysis of data and discussion of the research objectives and research questions.

Chapter 5:   Conclusions, recommendations: The chapter provides conclusions and recommendations arising from the analysis and discussion in chapter 4.

1.9   Definitions of key terms

1.9.1   **Employee**:   An employee appointed regarding Part III, Section 12 of the Technical Education Vocational and Entrepreneurship Training Authority Act 13 of 1998 of the Laws of Zambia.

1.9.2   **Public TEVET Institutions**:   These are institutions registered according to Part IV, Section 15 of the Technical Education Vocational and Entrepreneurship Training Authority Act 13 of 1998 of the Laws of Zambia.

1.9.3   **Perception**:   "Dynamic way and complex way, in which individuals select information (stimuli) from the environment, interpret and translate it so that the meaning is assigned which will result in a pattern of behaviour or thought." (Mullins, 2005:1060).

1.9.4   **Performance Appraisal**:   Process of measuring employee performance against established goals and expectations (Mondy and Noe, 2005:252).

1.9.5   **Organisational justice:**   organisational justice refers to perceived fairness in the workplace and comprises of distributive, procedural, and interactional justice (Greenberg, 1988:342).

1.10   Summary

The purpose of this chapter was to introduce the topic of performance appraisal and its use in the two public TEVET institutions in the study. The chapter described the relevant issues of performance appraisal including its purposes, benefits, challenges, and the effects on employee perceptions about performance appraisal. A description of the statement of the problem, the conceptual framework, the research questions used, and the significance of the problem that was made. The next chapter outlined the theories and importance of motivation and justice in performance appraisal in institutions. The arguments arising from the literature review pointed to the answers to the central questions of the study to understand the factors that can affect employee perceptions of the appraisal systems in the two public TEVET institutions.

2.0   CHAPTER 2   LITERATURE REVIEW

2.1   Introduction

The previous chapter provided an overview and background of this study. The rationale and foundation for this study and the concept of performance management and performance appraisal in the two public TEVET institutions were discussed. The key operational terms were identified and defined in the context of the study.

This chapter discussed the administrative and developmental purposes of performance appraisal in performance management. The principles of various processes of assessment and common errors in performance appraisal are discussed in the context in which they affect perceptions of performance appraisal. It provided definitions for different concepts, and they relate to the purpose of appraisal in organisations. The chapter presented the theoretical and conceptual framework of the study and also examined research findings of similar studies to determine associations with the current study. Application of the motivational theories of goal setting and expectancy theory and concepts of performance appraisal models and principles were carefully reviewed to inform this study. The chapter examined in depth the issue of justice in performance appraisals in organisations and their applications in the two TEVET institutions in the present study. The extent of application of theory and practice of performance appraisal in the TEVET institutions was also examined to form the basis for studying employee perception of performance appraisal in the two public institutions.

Perception has a critical role in the way individual's reason, construe situations and assign meaning to life phenomena, society in general and organisations. Perceptions influence people's life experiences, attitudes, and feelings. According to Mullins (2010:209) perception forms the basis of organisational behaviour and that situation can be evaluated regarding its perceptual inferences. Therefore, it is important that supervisors and employees are aware of their perceptions and how their perceptions differ. Supervisors must understand which management tools may cause organisational problems and result in negative perceptions (Mullins, 2010:444). One such management tool with a potential to

cause organisational problems is performance appraisal. Mullins (2010:317) states that for there to be cohesiveness in the organisation human resource policies and procedures will need to be equitable, fairly conducted for performance appraisal to positively influence employees' behaviour and future development; employees must experience positive appraisal reactions or else the system will be doomed to failure. Performance appraisal systems have been the focus of many management studies; however, there is limited research on the experiences and perceptions of organisational personnel about performance appraisal systems, particularly regarding justice and perceived impact on organisational outcomes in the TEVET sector in Zambia. Because performance appraisal is an important management tool used in many organisations, more research is needed to expand the knowledge base of the concept. The primary objective of the present study is to explore and describe employers' and employees' perceptions of performance appraisal, thereby gaining a deeper understanding of how these attitudes are perceived to bear on individual employees and institutions. The chapter included background information regarding performance appraisal systems and attitudes and includes discussions of gaps in the literature, indicating the need for the present study, particularly in studies on performance appraisals in Zambian public TEVET institutions.

Because of the emerging importance of performance appraisal systems, the concept is a relatively new area of research in Zambia in general and in public TEVET institutions in particular. Research on performance appraisal involves several challenges, regarding the framework or what is appraised and the process or how it is appraised. These research challenges need to be addressed in further investigations to generate useful clarifications and possibly generalisations of findings of employee perceptions about appraisal in TEVET institutions in Zambia.

2.2   Motivation theories, performance management and appraisal

It is important to consider theories about motivation and that motivation can be a key to a successful organisation and to understand the link between perceptions of performance appraisal and organisational outcomes.

According to Carrel et al. (1999:374), well-motivated employees are said to be more productive and perform quality work. Therefore, motivation can play a significant role in enhancing employee performance. The fundamental conceptual foundations for performance management lie in motivation theories and, in particular, goal-setting theory, expectancy theory and equity theory that underpin this study. The goal-setting theory states that not only does the assignment of specific goals result in enhanced performance but that, assuming goal acceptance, increasing the challenge or difficulty of goals leads to increased motivation and increase in performance (Locke and Latham, 2006:265). On the other hand, Expectancy theory suggests that individuals change their behaviour according to their anticipated satisfaction in achieving personal goals (Lunenburg, 2011:1). Both theories have important implications for the design of performance management and appraisal systems. The other critical theory that also forms the basis of this study is the equity theory. The Equity theory (Adams, 1963:423) helps understand how justice values in employees influence motivation.

Motivation remains, however, one of the most challenged tasks for organisations to motivate their staff in their unique way. A supervisor should strive to align organisational goals with the employees' individual goals through effective performance management and appraisal. Moreover, the performance appraisal process and its result affect employee motivation, and this may have an effect on the employees' perception of the appraisal process. Hence, it is important to have a clear understanding of these theories and determine how they impact of performance appraisal in organisations.

2.2.1   Goal setting theory

Goal setting theory is a recognised and empirically verified theory of motivation. The goal-setting theory introduced by Locke infers that workers who are given pronounced and specific objectives to achieve will get motivated to work for the organisation (Locke, et al. 2008:388).

According to Locke et al. (2006:266), goal setting can improve chances of success. The elements that can improve the likelihood of success are clarity of the goal; challenge;

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commitment to the achievement of the goal by the supervisor and supervisee; provision of timely feedback to the employee; and the complexity of the task. There is a relationship between performance and motivation in organisations, and this agrees with the notion of goal-setting and clear exposition results in confident employees (Cole, 2004:46). Clearly explaining the meaning of the objectives to the employees ensures that employees have a clear view on what the organisation intends to achieve. Roberts (2002:336) asserts that the high performing employees are goal-directed. Clearly established goals enable employees to achieve the organisational vision, goals and strategic objectives. The assumption is that when employees recognise and understand what is expected and how they are to meet their targets, such employees will be motivated to realise the goals within the set deadlines (Roberts, 2002:337). Locke et al (2006:266) and Latham, Borgogni and Petitta (2008:388) established that consultation in goal setting produced higher performance and that when such goals are assigned to, not as a result of greater commitment to employee's goals, but because stretching goals are set (Armstrong, 2009:327; Roberts, 2002:336). Objectives set by the employers and employees should regularly be discussed so that institutions remain in regular contact throughout the appraisal cycle (Armstrong, 2009:327). Roberts (2002:337), affirms that for challenging goals to result in high performance, sufficient, timely and appropriate feedback is vital. The emphasis is on realistic goals that result in higher levels of performance as opposed to simple objectives. Also, stretching goals yield higher levels of outcomes and ultimately, behavioural intentions lead to choice behaviour. Carrel et al., (1999:105) and Mol, (1990:115) disagree and argue that low goals are more motivating than high goals. They see a modest goal as a goal where success is most likely.

According to Armstrong (2009:237), the goal setting theory highlights four mechanisms that link goals to performance results. Firstly, goals focus attention on priorities, and they motivate energy towards the realisation of objectives. Secondly, they motivate employees to use their knowledge and skills to increase the chances of success the more challenging the goal, the more employees draw on their full range of competencies (Locke, et al. 2006:265). Furthermore, in PA setting goals and objectives is critical as it ensures desired employee outcomes. Individuals have certain motivational dispositions of an institution such as incentives. Higher levels of performance can be achieved by setting goals that are specific, challenging, but achievable (Lewis, Goodman and Fandt, 1995:513).

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The importance of goal setting in organisations remains paramount. Once goals are established and pursued in the institution, there exists a sense of purpose and focus on achievement of such objectives.

2.2.2   Expectancy theory

Victor Vroom introduced expectancy theory. The theory is made on the concept that people are motivated to do that which will be followed by valued and chosen outcomes (Graham and Bennett, 1998:68). The theory states that an employee is motivated when there is an acceptance that the performance will result in an evaluation that will help in the achievement of individual goals. Valance, instrumentality and expectancy are combined factors of motivation that the theory focuses on (Dessler, 2007:441). Valence is the value of the apparent result. Instrumentality is the point of view of an individual whether he or she will obtain what they want. It shows that a successful act will eventually lead to the desired result. Expectancy refers to the different level of expectations as well as confidence regarding one's capability (Dessler, 2007:441; Armstrong, 2009:327). The expectancy theory focuses on three things namely the effort and performance relationship; performance and reward relationship; and rewards and personal goal relationship (Noe et al. 2005:502).

According to Lunenburg (2011:5), Vroom's theory provides a process of cognitive variables that reflects individual differences in work motivation. In this model, employees do not act just because of high internal drives, unmet needs, or the application of rewards. Instead, they are rational people whose beliefs, perceptions, and probability estimates influence their behaviour. From a management standpoint, the expectancy theory has some important implications for motivating employees. It identifies several important things that can be done to motivate employees by altering a person's effort-to-performance expectancy, performance-to-reward expectancy, and reward valences.

According to Lunenburg (2011:5) and Mullins (2010:283), the expectancy theory has some important implications for the motivation of employees and that the theory provides the basis for motivation by altering the individual's effort. Graham et al. (1998:68) add that the implications of Vroom's theory are that managers should clearly state what the employees

should expect, so that the employees see the connection between their effort and what rewards to expect from the effort and that managers should ensure that rewards match the employee's needs. Mullins (2010:273) states that expectancy theory does, however, draw attention to the complexities of work motivation. Expectancy theory provides further information in helping to explain the nature of behaviour and motivation in the work situation and contributes to identifying problems in performance. Expectancy theory shows that managers in institutions should give attention to some factors. The factors include: the use of rewards to bring about performance by using high valence outcomes; establish precise relationships between effort–performance and rewards as perceived by the individual and developing clear procedures for the evaluation of different levels of performance and pay attention to intervening variables such as abilities and traits, role perceptions, organisational systems and support facilities, which, although not necessarily direct motivational factors, may still disturb evaluation.

As can be noted from the above, performance is a vital component of expectancy theory, and that performance is concerned with the linkage between effort and performance, and between performance and rewards. The question that arises, therefore, is whether employees in the present study in the two institutions see their effort leading to performance and performance to rewards. Employees need to know what to expect from them and know how their performance will be measured. Furthermore, employees need to feel confident that if they put in an effort within their capabilities, it will result in a satisfactory performance as defined by the criteria by which they are measured.

2.2.3   Organisational Justice Theory

The growing desire for justice, in general, and in organisations, in particular, continues to receive a great deal of attention from researchers. Justice, or fairness, plays an important part in the human culture and affects various areas of human life. Most research on performance appraisal is on how just the appraisal system is about its functions. Prior studies reveal that employee perception of fairness of performance appraisal is a significant factor in employee acceptance and satisfaction of performance appraisal (Longenecker et al. (1988:312); Bretz et al. (1992:20). A good perception will create a

positive working environment in the organisation while a negative perception will create many problems for the organisation that finally, it will affect organisational performance. These perceptions depend on the actions of both the employee and the supervisor and their behaviours toward each other in the appraisal process. If the supervisor uses fair and transparent performance appraisal benefiting to the employee, then supposedly, the latter has a right perception of him.

Organisational justice is the reflection of justice perception to working environment. In other words, it is the reflection of justice perception related with working environment (Greenberg, 1988:340; Cropanzano, Bowen and Gilliland, (2007:34). Greenberg (1988:340) discusses organisational justice in three dimensions as; distributional, procedural and interactional justice. Distributional justice conveys perceptions of workers whether the savings gained at work and rewards are distributed fairly or not (Moorman et al. 1998:352; Folger and Konovsky, 1989:115). Procedural justice conveys perceptions of workers towards right processes followed by the organisation (Warokka et al. 2012:5; Folger et al. (1989:115). Interactional justice includes normative expectations of workers such as communication at work depends on sincerity and respect in the application of work processes (Warokka et al. 2012:15). Literature suggests that management scholars acknowledge the importance of justice as an essential requirement for the efficient functioning of organisations and personal satisfaction of individuals they employ. Cropanzano et al. (2007:36); Warokka et al. (2012:2) contended that justice concerns are prevalent in organisations because such concerns affect employees' attitudes and behaviours toward their organisations. Hence, it is not strange to see that recent theories of justice are applied to negotiation, labour and employee dispute resolution, job satisfaction, pay raises, and performance appraisal systems in organisations.

According to Bretz et al. (1992:20) managers and supervisors consider fairness issues in the performance appraisal system as one of the main challenges faced by organisations. Several studies suggest that the concepts of justice are applied to employees' reactions to their organisation's performance appraisal system. Further, research evidence indicates that employees' perception of the fairness of the organisation's performance appraisal system is more positively related to procedural aspects of the evaluation than to the outcome of the

evaluation Cropanzano et al., (2007:35). However, most of the research that leads to these conclusions had not been conducted in Zambia. In contrast, this study applies organisational justice theories to employee's perception of performance appraisal systems in a distinctly different culture in Zambia. In organisations, employees behave in ways that may, in part, be described by whether a certain outcome was perceived as just. A sense of injustice occurs when an outcome is inadequate to one's contribution or input.

2.2.4   Distributive Justice Theories

The central theme in many social systems is how to distribute and allocate scarce resources and rights and obligations among participants. Theories of distributive justice posit conditions under which particular distributions and allocations are perceived as just or fair. Individuals' satisfaction with their jobs depends, to a large extent, on the actual benefits they receive from doing their work as well as their perceptions of fairness in how that work is judged and rewarded. Organisations are concerned with the perceived fairness of the appraisal systems, distributive justice that involves evaluation of the outcomes received and a judgement of procedures that determined the outcomes (procedural fairness) are important to employees. Distributive justice is concerned with the reality that not all workers are treated alike; the allocation of outcomes is differentiated in the organisation.

The principle of distributive justice is a significant step in understanding how people judge themselves and their work. An implication of this principle is that individuals compare themselves regarding investments and rewards while at the same time expecting differences in the outcomes or rewards to correspond to differences in their investments.

An important implication of the principle of distributive justice is that the greater the amount of inequitable treatment, or the more that the standards of justice are violated, the greater the dissatisfaction and disapproval expressed toward the person(s) who is responsible for it. Further, differences in expectations regarding a reward or outcome have the potential for creating conflict among those who received the reward or outcome

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2.2.5   Equity theory

There are many theories to help understand employee motivation, and Equity theory is one of them.   Equity theory helps in the understanding the influence of motivation on individuals.   It helps understand how personal values influence individual motivation. According to Leventhal (1976:3) and Sudin (2011:68), people hold beliefs about their inputs and outcomes. The inputs include education, experience, skills whereas outcomes include pay, incentives and recognition, people compare themselves to referent other; people form beliefs about others inputs and outcomes; people compare their input/outcome ratio with other's input/outcome and perceptions of inequity motivate behaviour to restore equity.

According to equity theory, the basic premise of equity theory is the equity principle: the perceived fairness of an outcome depends on how precisely it corresponds to the outcome the person expected to receive Cropanzano et al., (2007:37). When the two are unequal, it is likely that the allocation or distribution will be perceived as inequitable. Further, there are two primary consequences of inequity. First, injustice produces anxiety or tension. Second, this anxiety will motivate behaviour designed to eliminate the inequity. The equity theory has received widespread interest and acceptance by organisational behavioural scholars because it identifies inputs and outputs in quantifiable business-related terms. On the other hand, Cropanzano et al., (2007:37) have emphasised the importance of expanding the notion of distributive justice beyond the unidimensional principle of equity measure. They argue that when individuals deal with questions of justice and allocation of resources, they focus on the values governing the distribution, the rules themselves, and the implementation of these rules, the decision-making procedures, i.e., the means of deciding what values, rules or ways of implementation will prevail. These are evaluated regarding whether or not they meet a person's standards of justice.

In short, it must be taken into account that people compare outcomes, as well as the fact that individual's judge the procedures used in reaching the outcome as just or unjust. According to Folger and Greenberg (1985:149), the perceived fairness of organisational outcomes is based on the evaluation process by which they are decided. They reason that

procedure are considered important in organisational settings because they represent employee's participation in the allocation process of the organisational resources. Concerns about the decisions process form the basis of what is referred to as procedural justice. Theories of procedural justice research on procedural justice indicate that individuals indeed evaluate the organisational procedures used in decision-making (Ikramullah, Shah, Hassan, Zaman and Khan, 2011:95). Also, Ikramullah et al. (2011:95) argue that procedures that allow the greatest amount of exchange of information and evidence before the allocation of outcomes are most likely to produce fair distribution. Individual use of justice rules may involve consideration of any or all of the following criteria which are significant for procedural fairness: consistency in the extent to which allocation procedures are consistent over time; subdual of bias; accuracy; correct ability; representativeness; ethicality.

Finally, performance appraisal plays a vital part in the expectancy model of motivation. If the objects the individual employees are seeking are unclear, if the criteria for measuring that objective attainment are vague, and if the employees lack confidence that their effort will lead to satisfactory appraisal of their performance or if they feel that there will be unsatisfactory payoff by the institution when their performance objectives are achieved, it can be expected that individuals would work considerably below their potential.

2.3   Performance management system and performance appraisal

There are differences between performance management and performance appraisal (Armstrong, 2009:618) in that performance management is the systematic way of obtaining results from the organisations and managing employee performance using agreed standards (Bacal, (2005:5). Performance appraisal (PA), on the other hand, is one of the tools used in performance management to review the performance of an employee and the organisation in a given period (Dessler, 2007:312). The difference between performance management and performance appraisal can be best dealt with by examining their nature and purpose.

Whereas performance management serves the strategic, administrative, informational, developmental, organisational and documentation purposes, performance appraisal serves as a valuable tool to review the performance of employees in a given period. Armstrong, (2009:619-620); Carrell et al., (1999:258) further distinguish performance management and performance appraisal stating that performance management is an ongoing process, whereas performance appraisal is done at discrete time intervals. Torrington and Hall (2009:100) state that performance management is a framework in which performance can be directed, monitored and refined by human resources, and that the link can be audited. Therefore, performance management is not a substitute for performance appraisal; nonetheless, performance evaluation should be seen as being an important aspect of the performance management process. Performance management is more concerned about the consolidation and attainment of institutional goals and improving organisational performance (Noe et al., 2005:330). Performance management is an approach to performance whereby other management tools are also utilised to ensure that the organisation improves in its performance and gains a competitive edge over its competitors. Performance appraisal, on the other hand, is more concerned about the evaluation of the employees' past and current performance with the purpose of evaluating an employee's performance and initiating plans for development, goals and objectives (Mondy et al., 2005:252). According to Beardwell and Holden (1998:538), performance management is a combined and continuous process that improves, communicates and enables the future direction, core competencies and values of the institution and helps to create a horizon of understanding. Armstrong (2010:618) defines performance appraisals as a systematic way of evaluating employee performance and the potential for development. Graham et al. (1998:240) add that appraisal is the judgement of an employee's performance in a job based on considerations apart from productivity. Mullins (2010:511) describes performance appraisal as a proper management tool that documents the achievements of an individual formally about set targets.

From the definitions, it can be determined that performance appraisal is the process and mechanism by which supervisors work to align employee performance with the organisation's goals. Further, from the above definitions it can be noted that performance management is a process, not an event, which is integrated not isolated with other human resource management processes and is continuous in nature. It involves regular

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communication between supervisors and subordinates. It requires supervisors and subordinates establishing clear expectations concerning the job and goals, providing on-the-job training, monitoring performance, gauging performance at the end of the performance cycle and providing appropriated regular feedback on performance (Swan, 1991:11).

2.4   The purpose of performance appraisal

Noe et al. (2007:332-333) identify three purposes of appraisal, strategic purpose, administrative purpose and developmental purpose. According to Noe et al., (2007:332-333), the administrative purpose of appraisal involves comparative evaluation of employees to decide salary incentives and promotions. These are between-person evaluations to recognise good performance and identify poor performance to decide ultimately on promotions, retention and termination. The developmental purpose of appraisal involves assisting employees to enhance skills and capabilities.   These are within-persons evaluations to provide feedback, identify strength and weaknesses, determine transfers and assignments and establish individual training needs (Noe et al., 2007:333). The strategic purpose entails the need for strategic congruence and alignment between organisational and individual goals (Noe et al., 2007:332).

Further, Noe et al., (2007:332) suggest that what should be evaluated in an appraisal can include the following three categories namely, job specific task performance, non-job-specific task performance and citizenship behaviours. Job-specific performance includes written and oral communication, supervision, leadership, management and administration. Managers face particular challenges when conducting a performance appraisal; in general, performance is difficult to measure. Also, since some tasks are interdependent, it 's hard to evaluate the outcome of the task based on multiple employees.   Non-job specific performance relates to all activities outside the particular job description such as effort, personal disciplines, facilitation of peer and team performance.   Lastly, citizenship behaviours include courtesy, altruism, peacekeeping and cheerleading that is commonly evaluated under personal attributes. Citizenship behaviours are optional in nature and are not directly recognised but promote the efficient functioning of an organisation. Citizenship

behaviours may cause political problems if a supervisor is favourable towards an employee due to positive citizenship behaviours.

Mondy et al. (2005:252-253) suggest that one of the main purposes of performance appraisal in institutions is to establish a system that integrates target setting, measurement and reward in a coherent, integrated and transparent manner. The common purpose of performance appraisal is to improve the performance of individuals and subsequently the performance of the organisation. Therefore, the purpose of performance appraisal is to assist managers to become more entrepreneurial and the institutions more efficient and effective. Grote (2002: 4-5) discusses many purposes of PA and states that PA offers feedback to workers about their performance; gives insight on when to increase remuneration, upgrade or downgrade them; inspires hard work, and helps to reposition and gauge targets. He adds that PA defines individual and fundamental needs for capacity building and offers legal backing for workers' decisions. Graham et al. (1998:240) and Dessler (2007:313) support the view that appraisals help managers to decide what merit increase to pay; determine the future use of the employee; identify development needs for the employee and to motivate the employee to perform better. The other purposes for appraisal include improvement of employee motivation and morale, clarification of expectations and the reduction of uncertainty concerning performance, determination of rewards, identification of training needs, the improvement of communication, selection of people for succession purposes, corrective action plans, discipline and target setting.

Mondy et al. (2005:254) add that performance appraisal involves employee-manager (subordinate-supervisor) relationship and documents comments from both parties during the annual appraisal. The major critiques of PA are that individual employees performance appraisal takes a quasi-degree of the accuracy of measurement, engenders dysfunctional employee competition and conflict where an unreasonable amount of responsibility for poor performance is assigned to each employee while the overall work process is undervalued, and the importance of the workgroup is underemphasised. Employee appraisal is a depiction of progress and achievements as perceived at a particular time and agreed on ways to development and improvements for the coming period (Noe et al., (2007:330).

Roberts (2002:333) reveals that performance appraisal presents some disagreements and conflicts about the concept of appraisal. He states that the main criticisms are that:

> "… individual performance appraisal assumes a false degree of measurement accuracy, engenders dysfunctional employee conflict and competition, assigns an inordinate amount of responsibility for poor performance to individual employees while undervaluing the overall work process, underemphasizes the importance of the work group and often used as a managerial control device" (Roberts, 2002:333)

According to Ahmad and Bujang (2013:7), the challenges in performance appraisal bring to the fore issues that need to be addressed so that performance appraisal objectives are met. They identify some of the challenges about the fairness of the evaluation decision were raters have problems evaluating the performance in a proper way. They note that performance of individual employees that are not measured accurately can lead to dissatisfaction with the appraisal system. They observe that when raters are not knowledgeable and do not have the required skills to conduct appraisals can affect the efficacy of the process of evaluation because bias, unfairness and unreliability may occur.

Employee performance appraisal systems are all concerned with the evaluation of the present situation and reviewing past performance, and planning for the future. The assessment of performance is a duty that should be done at all levels in an organisation (Kondrasuk, 2011:63). The criteria for those in management may be different at those extremes, but the standard is expected to be the same. Appraisal standards for managers will be most probably being based on corporate objectives while standards for low-level grades of employees will be based on task performance. These measures of performance are usually discussed and agreed by the supervisor and subordinate. The work plans to describe what the organisation expected from the employee. Performance appraisal can only address the achievement of standards or objectives if they have been clearly defined and understood by all concerned (Roberts, 2002:335). From the onset, it should be clear what levels of performance are acceptable, that the standards are valid and attainable, and that allowance will be made for factors outside the control of the employee (Roberts, 2002:335). Unless the standards are quantifiable, measuring achievement is difficult and open to misinterpretation. Sometimes the display of behavioural traits such as reliability,

integrity, creativity and judgement are considered. This consideration comes with the difficulty of setting measurable standards for such characteristics; final evaluation may be open to the subjective perceptions, views and biases (Kondrasuk, 2011:63).

Despite these criticisms about performance appraisal, employee appraisal offers an ideal opportunity to supervisors to discuss training needs and identify possible courses of action to achieving new knowledge and skills (Mondy et al., 2005:254). Performance appraisal determines the course of action be taken including a commitment to enable the employee to acquire these new skills, and the supervisor to set timescales for the achievement of specific objectives. At the same time, the supervisor should capitalise on strengths, seek to remedy weaknesses and consider the employee's career goals (Mondy et al., 2005:258).

2.5 The Organisational Context of Appraisal Systems in the Public TEVET Institutions

2.5.1 Contextual Background

The institutions in which the study was conducted are established by the Technical Education Vocational and Entrepreneurship Training Authority Act 13 of 1998. Employees in the two public TEVET institutions have been using the performance appraisal since its implementation in 2009. It was assumed that the performance appraisal systems were successfully implemented in the two institutions by the guidelines from the then Ministry of Science Technology and Vocational Training (MSTVT). It was expected that the appraisal systems in the institutions were contributing to an enhanced performance by individuals and the institutions. This study was based on the assumption that employees' perceptions towards performance appraisal determined their work performance, in other words, motivated or de-motivated them. The importance that the employees attached to performance appraisal determined their perception of the system and its overall performance. As noted above some of the disagreement and conflicts about appraisal may stem from the organisational context within which it operated. The issues in the organisational context and environments (Mondy et al., 2005:255) such as organisational culture, commitment and ownership need to be explored.

2.5.2 Organizational Structure and Culture on Performance Appraisal

Organisations differ in many ways including having different types of clients, using different technologies, having employees with different skills, developing different structures and coordinating styles and relating differently to their external environments (Mullins, 2010:746). While there are common elements in the various types of organisations, no two organisations are the same. When considering the relevance of performance appraisal to TEVET institutions in Zambia, it is important to understand these institutions' distinct structural characteristics as compared to other organisations and how these characteristics may influence the acceptance and use of performance appraisal in institutions. In addition to organisational structure, organisational culture can also influence the use of performance appraisal. Understanding the organisational culture of institutions can help clarify how institutions are managed because culture seems to have a causal impact on managerial style and decision practices (Masland, 2000:145). The blend and predominance of various types of cultures at a particular institution can influence management practices that can then affect whether or not performance appraisal is used for the purposes for which it is used, and its success at the institution.

Even with the best intentions, it is unlikely that performance appraisals can ever be made completely objective and accurate. However, it should be realised that organisations are political in nature, and many decisions, especially evaluative ones, may be heavily influenced by their probable political consequences. A supervisor, exercising professional judgement, may be less interested in providing an accurate appraisal than in motivating or otherwise influencing the behaviour of subordinates. Interpersonal dynamics is often more essential to a harmonious and efficient workplace than an accurate appraisal for a particular subordinate. Also, managers may shy away from having candidly accurate evaluation filed in an employee's permanent personnel folder. Such statements may adversely affect an employee's motivation, commitment, and possibly entire career. These realities make it possible that no organisation, however, hard they try will be able to eliminate political behaviour and organisational culture from the appraisal process. Such appreciation notwithstanding, the appraisal process should not be dismissed as merely another example of organisational politics. It is important to realise that performance appraisal will probably

always reflect an element of managerial discretion and that such discretion in not necessarily wrong.

2.6 Performance Appraisal Methods and Errors

2.6.1 Performance Appraisal Techniques

There are several commonly used methods of performance appraisal (Owoyemi and George, 2013:242). The performance appraisal techniques are essay appraisal, paired comparison, graphic review scale, weighted checklist, person to person rating, forced ranking and critical incidents. These methods are used to determine an employee's rating and may have an effect on the perceptions of performance appraisal by employees. Recent research has included more studies and relied on surveys and measures with some review of actual performance appraisal documentation to investigate the occurrences of the organisational context and attitudinal influences on raters, ratees and the results of performance appraisal. Rating methods are used to rate the performance, and they are prone to rater errors that can have an effect on the ratee's perception of the performance appraisal (Carrell et al., 1999:265).

The **Graphic Rating Scale** (GRS): Is said to be a popular form of the appraisal scales (Noe et al., 2007:344; Parab, 2008:26). GRS is used mainly in evaluating performance based on quantity and quality of work (Carrel et al., 1999:267). In this, the rating of an employee is done on specific areas only. The rater has to mark the employee by a particular scale that best describes the employee's performance in the organisation (Carrell et al., 1999:268). GRS helps in analysing employees on a quantitative scale and can help to compare and contrast the employee's behaviour on this scale. There is greater standardisation of items, so comparability with other individuals in diverse job categories is possible (Henderson, 1984:175).

Critical incident method: Is a technique that requires a written record of behavioural actions positive or negative about an employee (Carrell et al., 1999:274; Noe et al., 2007:346).

Essay method: it is a method that compares each employee performance to a determined standard describing the employees target level of achievement (Mondy et al., 2005:264; Carrell et al., 1999:275).

Work standards: The method compares the performance of each employee to an expected level of performance (Mondy et al. 2005:264, Carrell et al., 1999:267).

There are potential problems in rating employees during appraisal that are likely to affect employee perceptions of the performance appraisal (Graham et al., 1998;243); Noe et al., 2007:363; Mullins, 2005; 769; Kondrasuk, 2011:62). Employees performance may be evaluated, but there is a difficulty in reducing a multi-factor appraisal into a single rating (Fowler, 1988:33). There are two types of common errors in performance appraisal. They are distributive and temporal errors. According to Carrell et al. (1999: 265-266); Mullins (2005:769); Noe et al., (2007:365) rating errors may have a serious effect on the perceptions of the employee about the appraisal. The rating errors include:

Bias: It also referred to as the 'halo' error. It hinders an effective evaluation. The bias can be positive or negative it emanates from the manager generalising one positive assessment to all aspects of the appraisal.

Leniency: This a tendency when managers give undeservedly high ratings to an employee to facilitate, for example, a pay increase

Central tendency: Is also referred to as distributional error is a tendency when a rater uses one part of the scale.

Recent behaviour Bias: In this type of error, there is a tendency for managers to remember the recent events when the appraisal period covers a longer period e.g. one year.

Personal bias (Stereotyping): This occurs when managers permit an individual or personal differences such as race, ethnicity or age to affect the rating.

Manipulating the evaluation: When managers are in full control of the process and, therefore, in a position to manipulate the ratings.

2.6.2 Challenges in Performance Appraisal

Employee performance appraisals can present some challenges. A performance appraisal allows constructive feedback to employees and even helps determine if an increase in

compensation is appropriate. By using a set of standard rating criteria for each employee, fairness can be ensured in the process. However, some challenges must be overcome to maximise the effectiveness of the appraisal process.

2.6.2.1 Appraiser Inexperience

If the organisation was implementing an appraisal system for the first time, managers might not be comfortable with the appraisal process, which may create awkwardness during the review. A way to overcome this is to follow a standardised review format that is used for every employee. The standardised review format ensures that each employee is treated equally, and will help managers become comfortable with the process more quickly.

2.6.2.2 Employee Resistance

An appraisal process can make employees uncomfortable, as they may not enjoy the scrutiny or view the whole procedure as a negative endeavour. The uncomfortable feeling and scrutiny can be alleviated by explaining the process at the beginning of the appraisal. Employee resistance can be reduced by giving appraisal guidelines to employees ahead of time so that they have a better idea of what to expect.

2.6.2.3 Appraiser Bias

Supervisors who are the core of the appraisal system are human and subject to personal biases. They can also be swayed by an employee's recent performance while overlooking actions that may have taken place earlier in the appraisal period. Bias can be overcome by taking accurate notes of employee actions throughout the appraisal period so that reference can be made to the notes when preparing evaluations.

2.6.2.4 Not Linked to Rewards

An employee may have done an excellent job during the appraisal period, which is acknowledged during the review. However, the organisation may be experiencing tough times or may have limited resources to offer a significant pay raise. Failure to link

performance to rewards creates disgruntlement and reduced productivity as the employee may feel that there is no point in making an extra effort if it isn't adequately rewarded.

2.6.2.5   Not Focused on Development

There is a tendency to focus on areas that need improvement during the appraisal but fail to provide suggestions as to ways the employee can improve. As a result, the employee may feel that the purpose of the appraisal is to point out only what is wrong. If there are negative points in the review, it is important for supervisors to work with the employees to develop an improvement plan.

2.7   Performance Appraisal Systems

The performance appraisal methods most widely used today include the 360 degrees feedback, the Balanced Scorecard (BSC) and the Management by Objectives (MBO). MBO can have a positive effect on the performance of the employee and the organisation (Noe et al., 2007:352; Carrell et al., 1999:276).

According to van der Westhuizen et al. (2011:279) 360-degree appraisals are a multiple rater/multiple source approaches to the assessment of an individual's work performance. De Cenzo et al. (1999:308) asserts that the 360-degree appraisal is an appraisal method that seeks performance feedback from sources such as oneself, superiors, peers, team members, customers and suppliers. It means that an employee can evaluate him/herself, by his/her supervisor, by a colleague performing the same or similar job, by someone within his/her team by a customer who receives service from the person being evaluated.

The 360-degree feedback is an appraisal method that uses multiple approaches to assessing employees. It seeks performance feedback from various sources that are in contact with the relevant employees. It is a fair method of appraisal as it minimises favouritism. The problem is, however, that it might take long to complete as many people are involved. Therefore, the 360-degree appraisal method is the best as it is performance based and the participation

by individual sources in assessments such as oneself, supervisor, peers, customers and suppliers. This method eliminates favouritism and brings maximum fairness to the process.

Management by objectives (MBO) is an appraisal method that focuses on the motivation of individual performance, but, due to its processes, can also evaluate the performance. MBO involves the supervisor and subordinates who jointly develop, discuss and agree on specific goals. They develop action plans; supervisors help their subordinates to reach their set goals, and supervisors and subordinates review at present the extent to which objectives were accomplished (van der Westhuizen et al., 2011:278). De Cenzo et al., (1999:301) concur, stating that MBO evaluates employees to determine the extent to which they have accomplished the set goals. Cole (2004:158) adds that MBO provides a unique form of results-oriented appraisals. Both supervisor and subordinate should agree beforehand on specific objectives and measures.

Employee contribution to the organisation's goals and results is critical to its success. There are elements common to MBO programmes. Firstly, employees are involved in goal-setting and managers collaborate to determine the goals and performance measurements for the subordinate. The employees and the supervisor agree on what should be achieved and how what is achieved will be measured. Secondly, it involves objective feedback regarding advancement towards accomplishing the goals. In the MBO method, performance is considered regarding measurable objectives. Goal setting is subjective, dealing with negotiation between the supervisor and the employee. There are disadvantages with the MBO method of appraisal such as the significant amount of paperwork, vague responsibilities and goals measures that require the employees to measure objectives that are not measurable. The problem with MBO is that it leaves out consideration of other factors that might affect performance either negatively or positively, such as job behaviours, competencies and availability of resources.

The advantages and disadvantages of the MBO are:

Advantages:
- Improves employee motivation
- Improves communication in the organisation

- Flags up and highlights training needs to be required to achieve objectives
- Improves overall performance and efficiency
- Attainment of goals can lead to the satisfaction of Maslow's higher order needs

Disadvantages:

- May demotivate staff if targets are too high and unrealistic, also if imposed rather than agreed
- Requires the cooperation of all employees to succeed
- Can be bureaucratic and time-consuming (meetings, feedback)
- Can encourage short-term rather a more focused long-term growth
- Objectives may go out of date and can restrict staff initiative and creativity
- Setting targets for certain specialised employees may be difficult

The two institutions in the study have adopted the MBO model in the evaluation of employee performance. The process involves the following steps:

Figure 1. Performance management process LIBES*
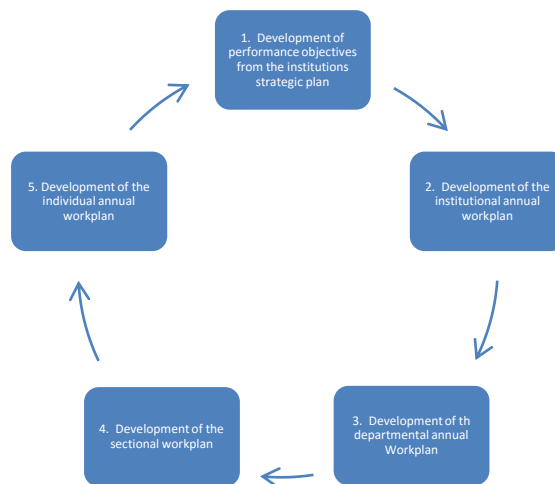
Note* The performance management process developed for LIBES by the researcher while serving at the Institute.

2.8   Feedback and Performance Appraisal

Feedback plays a significant role in employee perceptions of the fairness, legitimacy, and rationality in performance appraisal (Flaniken, 2009:6). Feedback on performance appraisal and effectiveness of an employee's behaviour are essential for learning and for motivation in performance-oriented organisations. De Nisi and Kluger (2000:139) state

that feedback forms an important tool in the performance appraisal process. Feedback is a useful management tool for improvement, especially if it is specific and behaviorally oriented, as well as both problem-oriented and solution-oriented (Mullins, 2010:667; Armstrong, 2010:641). Appraisal feedback at LIBES forms an important part of the employee's staff development action plan. The feedback on any employee development is documented, and the employee training and development needs are included on to the institution's training plan that later informs decision making when assisting employees to pursue studies.

Feedback is essential because it forms a model for the employees who help to get a review of past performance and an opportunity to improve their skills for the future Mathis and Jackson (1997:345). Feedback is a valuable resource only when employees get motivated to request for it. Feedback assists in the reduction of uncertainty and provision of information relevant to self-evaluations Mondy et al. (2005:253). There is also evidence that performance feedback communicated appropriately can lead to substantial improvements in performance (Ali, 2012:200). From the experience of the researcher, negative feedback is less accepted and perceived as less accurate than positive performance appraisal feedback.

2.9   Employee Perceptions of Performance Appraisal

Perception has a critical role in the way individual's reason, construe situations and assign meaning to life phenomena, society in general and organisations. Perceptions influence people's life experiences, attitudes, and feelings. According to Mullins (2010:209) perception forms the basis of organisational behaviour and that situation can be evaluated regarding its perceptual inferences. Therefore, it is important that supervisors and employees are aware of their perceptions and how their perceptions differ. Supervisors must understand which management tools may cause organisational problems and result in negative perceptions (Mullins, 2010:444). One such management tool with a potential to cause organisational problems is performance appraisal.

Performance appraisal systems have been the focus of many management studies; however, there is limited research on the experiences and perceptions of organisational personnel about performance appraisal systems, particularly regarding justice and perceived impact on organisational outcomes in the TEVET sector in Zambia. Because performance appraisal is an important management tool used in many organisations, more research is needed to expand the knowledge base of the concept. The primary objective of the present study is to explore and describe employers' and employees' perceptions of performance appraisal, thereby gaining a deeper understanding of how these perceptions are perceived to bear on individual employees and institutions. This Chapter reviewed related literature to the topic of the present study. The chapter includes full background information regarding performance appraisal systems and perceptions and includes discussions of gaps in the literature, indicating the need for the present study. The literature review contains a discussion of performance appraisal systems, as well as the past and contemporary research perspectives on employee perceptions of performance appraisal systems.

The discussion laid emphasis on studies related to the perceptions of employees regarding performance appraisal. The chapter likewise includes an analysis of emerging conceptual and theoretical frameworks for management research, particularly in studies on performance appraisals. Psychological theories related to motivation and perception and sociological theories related to meaning and value are discussed to provide a more holistic understanding of the research topic. Because of the emerging importance of performance appraisal systems, the concept is a relatively new area of research in Zambia. Research on performance appraisal involves several challenges, regarding the framework or what is appraised and the process or how it is appraised. These research challenges need to be addressed in further investigations to generate useful clarifications and possibly generalisations.

The perceptions of performance appraisal are influenced by many factors related to the process. Researchers in the fields of business management and organisational behaviour, therefore, should approach the study of performance appraisal perceptions from a holistic point of view. Longenecker et al. (1988:312) stated that although many factors influence the perceptions of performance appraisals, the experiences regarding fairness in performance appraisals is the most significant and critical challenge faced by supervisors

and managers. Experiences and perceptions regarding justice in the appraisal process should thus receive particular attention. Several studies have been conducted on negative and positive perceptions of performance appraisal systems. Thompson and Dalton (1970:152) suggested that one of the many reasons for the negative perceptions is that performance appraisals are one of the most emotionally charged activities in business life—the assessment of an employee's contributions and abilities.

In a study of perceptions of employees in some selected public and private organisations in Lagos Nigeria, Ikemefuna, and Chidi (2012:93) report that there was substantial agreement that a performance appraisal is an essential tool for organisational development and that it serves as a tool for employees' performance management. They also reported that performance appraisal was used for identifying training and development needs. The study highlighted some weaknesses that affected the effectiveness of performance appraisal as halo-effect, error of central tendency and stereotype and favouritism. These are important findings as they highlight points of action for human resource practitioners and managers in organisations. The study concluded that many workers perceived performance appraisal in a negative light. Workers perceived performance appraisal in a negative light, as a result, of some inherent errors in the performance appraisal process. Ikemefuna et al., (2012:93) recommend that more attention should be paid to issues dealing with appraisal politics and pursuance of fairness and transparency in the whole performance appraisal process. They further recommend that all efforts should be made to adopt open reporting systems to have a motivational effect on employees Ikemefuna et al., (2012:95).

In another study of the appraisal system and its effectiveness, impact on performance and job satisfaction of the technical education and manpower training department in Pakistan, Khan (2009:53), reported that appraisal styles and managerial styles had a strong bearing on the performance appraisal approach of the supervisors and that job satisfaction, motivation level and productivity of the faculty members whose performance was being evaluated and reported upon. He also reported that satisfaction level of 85% of faculty members got enhanced if their exemplary performance was reciprocated with rewards (Khan, 2009:53). This finding has implications for the appraisal process. Job satisfaction is significant to the employee, and it has an important bearing on the perceptions the employee may hold about the appraisal. Khan also found that lack of positive feedback to

the employees regarding their performance on the job was a potential barrier in the way of improving their performance (Khan, 2009:285).

Boachie-Mensah and Seidu (2012:73) investigated perceptions about rater's bias and errors in a Polytechnic in Ghana. Data was collected from a sample of 140 academic and administrative employees using a semi-structured interview. The study reported that there was a negative perception held by the two categories of employees of the Polytechnic about performance appraisal. The employees held that the performance appraisal system was affected by subjectivity, influenced by some significant errors, the most common of which were the similarity and the halo effect biases. The study reported that there was little employee participation in formulating criteria, agreeing performance standards and objectives for the appraisal (Boachie-Mensah et al., 2012:82). The study also reported that employees were not well-versed about the time, process and purpose of performance appraisal in the polytechnic. However, despite the negative perception of performance appraisal, the majority of the employees were committed and willing to submit to the process. Concerning individual career development, most employees viewed the PA system as significant to both their personal career goals as well as the objectives of the Polytechnic. They reported that there was irregular and inadequate feedback on appraisal outcomes to all employees, except in the case of very poor performers (Boachie-Mensah et al., 2012:82). The results of this study suggest that the subjectivity, rater errors and biases have significant managerial implications for the need to train managers and employees in the performance appraisal process in the institution and also to provide the necessary resources to make PA effective and efficient in meeting the objectives of performance appraisal. Further, the report suggests that subjectivity, rater errors and biases can have an influence on employee perception of performance appraisal.

In a similar study to examine perceptions of public servants in Malaysia towards fairness in appraisal found that perceived fairness of performance appraisal had a significant impact on the employee's satisfaction of performance evaluation (Salleh, Amin, Muda and Halim, 2013:125). These findings, according to Salleh et al. (2013:126) indicate that a performance appraisal is an important tool for influencing attitudes towards institutional commitment when employees are satisfied with the appraisal system. In a similar study to investigate factors affecting employee performance appraisal system in Kenya, it was found

that implementation process, rater-ratee relation, rater accuracy, informational factors and employee attitudes all have an impact on performance appraisal system (Ochoti, Maronga, Muathe, Nyabwanga and Ronoh, 2012:44). These are significant findings and have implications for human resource practice. This view supports the aspect of training for raters that can significantly contribute to the positive perception of performance appraisal (Kondrasuk, 2011:65; Roberts, 2002:94).

Employee perceptions about performance appraisal depend on some factors. It is more likely for employees to be involved and supportive of a given PA system if they perceive the process as a useful source of feedback that helps to improve their performance (Mullins, 2007:764). For employees to embrace and contribute to the performance appraisal system, they need to see that performance appraisal contributes to their prospects for promotion, salary increase and development. Employees need to be involved in the whole performance appraisal process to increase ownership, confidence and transparency in the system. Without employee involvement, adequate explanation or discussion, performance appraisal could become unproductive. Also, staff motivation, attitude and behaviour development, communicating and aligning individual and organisational aims, and fostering positive relationships between management and employees are essential for successful appraisal. Therefore, performance appraisal is necessary for effective assessment and managing of employees' performance in public TEVET institutions. In the Zambian government TEVET institutions' context, performance appraisal is a shared responsibility. The Principal as supervisor of the institution plays a strategic role in the institution's performance appraisal policy, ensuring that the performance of employees at the institution is monitored and reviewed. The Principal is responsible for implementing the institution's performance appraisal policy and ensuring that APAS reviews take place (Zambia, 1997:4). Performance appraisal in Public TEVET institutions involves management, supervisors and employees working together to ensure that objectives are discussed and agreed. Regular and objective feedback is given; adequate coaching, training and development are provided (Parab, 2008:7).

The view of the researcher is that the introduction of the PMP and the APAS in public TEVET institutions was intended to ensure all employees and managers are supported and recognised for their contribution to improved learning outcomes for their students. From

the researcher's experience, since the implementation of performance appraisal in the Institute, managing performance in general and performance appraisal, in particular, was an ongoing process that included evaluating employee performance against agreed objectives, coaching and counselling, giving individual feedback on performance in a constructive, goal-focused manner.

Research indicates that goal setting can increase job performance (Carrell et al., 1999:105). In the institutions where the research was conducted, the Management by Objectives (MBO) approach was recommended by the government for use during the implementation of PA in the public TEVET institutions. MBO is based on goal setting theory. It is worth noting that in the two institutions under the study, employees are involved in setting goals. Goal setting helps to develop positive attitudes towards the performance appraisal process (Roberts, 2002:335). In the experience of the researcher, employees involved at the planning stage of the performance appraisal process were more enthusiastic to attend PA interviews.

Effective performance management in the public service requires specific tools and deliberate measures. The experience of the researcher is that TEVET institutions have made a significant achievement in recognising the need to ensure that performance in the public TEVET institutions is monitored and evaluated by using management tools. Much as the installation of the performance management tools is important; it is also imperative to ensure that the performance management and appraisal systems are continuously institutionalised in the public TEVET institutions to pave the way for creating and attaining a performance culture in the entire government TEVET system in Zambia. A performance management culture cannot be created by chance or by revolutionary means. This culture must be established evolutionary by putting into place a supportive incentive regime, including strategies to counsel and develop the poor-performers, as well as giving tangible rewards and non-tangible rewards to the good performers in the public service. The performance management tools should serve as means to good performance; hence, they should not become ends in themselves. Effective performance management and appraisal require the institutional and legal frameworks. However, the legislation is a necessary, but not sufficient condition for institutionalising the tools for managing performance. Both the

stringent (laws) and simple measures, including counselling and training are required to enforce compliance with performance management and appraisal requirements.

There is a growing critique of performance appraisal systems. Firstly, they are seen as adding more pressure to a short-term view among managers who may well hamper performance in the public TEVET institutions over an extended term. Secondly, they are often proffered in a very prescriptive fashion, with many writers advocating a single best way for performance appraisal, to the neglect of important variables such as the degree of centralisation, unionisation (Kondrasuk, 2011.62). The real danger is that performance appraisal system cannot be merely borrowed from one organisation and applied in another as many advocates appear to suggest. If performance appraisal has to work the first important step is to change the focus to an appraisal that embraces performance planning, review, feedback and development.

2.10   Benefits of Performance Appraisal

Performance appraisal allows the supervisor and subordinate to have time for a one-on-one discussion of critical work problems that might not otherwise be addressed. Similarly, the existence of a performance appraisal system indicates to employees that the organisation is concerned with their individual performances and advancement. The existence of an evaluation system has a positive impact on the employees' sense of worth, commitment and belonging. Employee performance appraisal offers an opportunity to focus on employment activities and objectives, to spot and correct existing problems and to boost future performance and thus, the performance of the whole organisation is enhanced. Performance appraisal usually provides employees with acknowledgement for their work efforts, if any and, as a result, it brings them satisfaction and it offers an opportunity for the workforce to be monitored by assessing any improvement or decline in performance. During the performance appraisal, many aspects of feedback are obtained. These provide vital information on whether training and development needs should be considered. The presence or lack of working skills, for example, can become very evident. The supervisor and subordinate can thus agree upon any demand for training. As far as the organisation is

concerned, performance appraisal feedback can provide a regular and efficient training needs assessment for the organisation. The information obtained from appraisals can also give an indication of an organisation's human resource planning.

2.11   Performance Appraisal in the Public Service

Traditionally, public service institutions have been described as 'non-productive' and 'ineffective' and have been 'attacked for lack of performance' (Mwitwa, 2000:19; Boland and Fowler, 2000:417; Castano and Cabanda, 2007:79). Lapsey and Mitchell (1996: 3-6) state that performance management in the public service 'is a complex multi-dimensional concept that suffers from deficiencies including selectivity, manipulation, restricted disclosure, understandability, interpretability, variability and the motivational outcome performance measurement can have on those whose performance is being managed or measured. Townley (2001:305) argues that one of the implications of the imposition of abstract PMS and PA is that it stifles the local learning processes. The system-wide controls gradually replace systematic evaluation that relates purpose, values and administrative systems. The contention is that the effectiveness of PMS, such as an annual performance appraisal system could be impaired if these local conditions and considerations of the culture fit are not considered in the process of introducing PMS into an institution (Mendonca and Kanungo,1996:66).   Measures and targets cascading through the organisation are believed to represent organisational reality. Drucker (1977:133) agrees that performance and results are quite different in service institutions from the ones obtaining in the private sector. The main causes of failure to perform in public service institutions are that managers are not business-like; they need better managers and people. In the public sector, managers set objectives and results are tangible (Agarwal, 2011:10).

There are some problems in the actual performance appraisal primarily due to rater bias. Some supervisors are too lenient and thus, have a tendency to rate all employees positively rather than measuring their performance. Another problem is the 'central tendency' where supervisors position the majority of the employees in the centre of the performance scale, even though they deserve better or worse grade. The halo effect is another error usually made during appraisals. The halo effect arises when a supervisor's general feeling about an

employee influences the overall judgement. Performance appraisal systems are at times criticised for weaknesses in the system design itself. Sometimes they assess the wrong behaviour or consequences or focus on employees' personality instead of on their work performances. Very often standards for appraising employees are not related work and as a result, employees may not likely be interested in such a system where performance measures are unsuccessful in highlighting important aspects of the jobs. Some organisations found that PAS is a constant cause of tension since evaluative and developmental concerns often come into disagreement. It is said that the appraisal can serve only one of them at a time. Also, they find that PA dehumanises and demoralises to pass on judgements that then become a source of apprehension and stress to employees.

The idea of appraising performance has existed in Zambian public service for many years and had revolved mainly around an Annual Confidential Report (ACR), an annual review of behavioural attributes of a subordinate. Such appraisal was often restricted to management or supervisory groups, was backwards-focused on historical performance, and did not seek to adopt a strategic approach. In the TEVET institutions under study, the concept of performance management and appraisal is a more recent development that took a future-oriented strategic focus to maximise their current performance and future potential. This increased focus on performance at all levels in the institutions arose from the pressures of the need for government to be efficient, accountable and deliver on its mandate.

There are concerns expressed about PA that it is unreliable, and it is difficult to measure performance. PA should be flexible enough so that as goals and strategies change, employees characteristics will need to change (Stoner, Freeman, and Gilbert, 2006:394). For example, academic achievement of students cannot be equated with effectiveness (Jacobson, 1992:182). That is how the community, government and other stakeholders narrowly define organisational effectiveness. It is, however, essential to realise why there is so much over reliance on test scores as measures of achievement. Jacobson (1992:37) states that the relationship between teachers' efforts and performance or student's academic results is not straightforward and that the realisation that certain conditions such as overcrowded classes and inadequate resources are preventing lecturers from gaining their anticipated performance related rewards. Johnson (1994:181) agrees that without a clear consensus on what institutions and lecturers are aiming at and if institutions do not define

their goals, and if they pursue many goals simultaneously, expectations for lecturer's performance will be vague, muddled and contradictory. He adds that no evaluation instrument no matter how carefully designed can rectify such issues. According to Johnson (1994:182), the class and uniformity of unfinished work of lecturers' and the individuals being taught are outside their control. The expectation is for lecturers to put in the best with what is given; rejects are not an option.

Ingvarson and Chadbourne (1997:61) posit that PMS is deficient of the ability to equip lecturers with a hint of what is best; they see it as a weak form of professional advancement. They add that PA does not accurately measure the quality of their work and that it does not give them ample desire to better performance. The implementation of the PMP and APAS in the public TEVET institutions meant that all institutions were to implement the PMP and APAS as required by the government. The 'one size fits all' as institutions were made to implement the systems without due consideration to the local conditions in each of the public TEVET institutions. The one-size fits all arrangement was likely to cause PMS and PA 'a threat to the autonomy and professionalism' of the lecturers (Storey, 2002:323); Hodkinson, 1997:69). Down and Chadbourne (2000:213) contend that although policy says that PMS enhances educator's knowledge and can improve their classroom practice, there is little evidence to that effect.

Perceptions influence people's opinions and approaches towards particular phenomena; it is expected that the employees of a TEVET institution might hold diverse views about the PA system in the institution. Perceptual reactions to the appraisal system are clearly important to appraisal system operational effectiveness. Employees perceptions of performance appraisal are a critical factor in the system's success or failure. If employees were not happy with the appraisals, they would be unwilling to take actively part as they will not see the value that in turn lowers their morale and inevitably affects productivity. It is, therefore, important to have a better understanding of employee's perception of the appraisal process to (or "intending to") finding ways that satisfy key stakeholders.

The researcher observed and noted that each of the two public TEVET institutions had a unique set of conditions, tasks, objectives, access to assets, skills, knowledge, and abilities of its staff, management and organisational culture. These conditions may have a bearing

on the perceptions employees may hold concerning performance appraisal in the two institutions.

2.12 Roles in Performance the Appraisal Process

All employees in an institution should understand their roles in the performance appraisal process. They need to create a sense of ownership and commitment to the organisation. The following are the levels of appointment and roles:

- **Senior management**: Should be seen as giving the system all the support from the management perspective.
- **Managers and supervisors** (as appraisers): Should be committed and ensure that employees in their departments are appraised in a fair and objective manner.
- **Employees** (appraisees): Should be committed to the transparent participation in the appraisal process and ensure the implementation of action plans
- **Human resources section**: Who should drive the entire process including the alignment of the appraisal process with the organisational strategy?
- **New employees**: New employees should be informed about the appraisal system during orientation/induction?

2.13 Supervisor's Role

The role of the Supervisor in the performance appraisal system firstly involves making ratings at the end of the appraisal period. Secondly, counsels, mentor, coach, and judge performance. Thirdly, they commit to and understand the performance appraisal system, and skills in setting expectations, standards, and goals. Fourthly, they should be skilled in communication, listening, and providing goals. Fifthly, they should be firm when required and emphatic when needed; and, finally, management must provide role models for others, taking time and effort to make the system work (Kondrsuk, 2011:62-63). These roles are

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underscored by Walters (1995:69), who states that the role of the supervisor in performance appraisal as the host of the meeting is critical to the success of the appraisal meeting. Therefore, the supervisor should prepare the meeting place; ensure that there are no physical barriers to inhibit the discussions and also to appropriately position the participant during the meeting. The supervisor is responsible for evaluating the subordinate, since the supervisor is in the best position to observe and judge (Dressler, 2010:332; Mondy, 2005:258) how well the subordinate performed the job; the supervisor should establish performance expectations on standards; should provide regular feedback on employee performance and, keep an accurate record of the subordinate's performance.

According to the Annual performance Appraisal System User Guide (Zambia, 1997:6) the roles of the supervisor in the appraisal process are:

- Agree jobholder's Key Result Areas (KRA) and Principal Accountabilities be pursued during the appraisal period.
- Ensure that appropriate work plan/targets are set and are **SMART**. (**S**pecific **M**easurable, **A**chievable, **R**ealistic and **T**ime-bound).
- Ensure that work plan/targets are kept up to date and reviewed at least once during the year.
- Record any changes in-year.
- Give feedback in-year on performance to date
- Assess performance competencies bearing in mind that the jobholder does not have to demonstrate all the observable behaviours as outlined in Part 3 of the APAS form.
- Recommend the type of follow-up action that should be taken on the appraisee.
- Prepare for and carry out the appraisal interview, and agree on targets for the coming year.
- Consider training and development needs and how they will be met in the coming year. In the case of delay remind the Human Resources Department of the need for appraisal to give the completed appraisal form to the countersigning officer
- Ensure completed appraisal form is sent to Public Service Management Division (PSMD).

2.14   Employees' Role

According to Ali (2012:207) employees should understand and support the performance management system by being willing to participate in the setting of performance expectations on standards; being reasonable in their acceptance of performance feedback from their superiors and should assess themselves realistically; call attention to biases, inaccuracies, and job changes that signal changes in the system; and articulating their views clearly and take responsibility for performance improvement.

Walters (1995:69) adds that the supervisor and subordinates should prepare for the meeting independently. Each should gather relevant information such as job descriptions, information concerning previous training and development, any past performance review documents, information regarding recent performance review, and related personal data such as health and attendance records. Therefore, it is necessary that employees should participate actively in the implementation of the performance appraisal (Roberts, 2002:335). Roberts (2002:335) further states that employees should be (a) Engaged in setting performance standards. (b) Participate in performance reviews and assessments. (c) Be positive when accepting results of the performance evaluations and assessments, whether negative or positive. (d) Be involved in developing their personal performance plans, ensuring their developmental needs are met.

According to the Annual Performance Appraisal System (APAS) User Guide (Zambia, 1997:6) the roles of the employee in the appraisal process are:

- Producing the first draught of the work plan and targets for the year ahead and agreeing on them with the supervisor. These should be recorded on the Performance Against Target Form.
- If circumstances change during the year, ensure that the targets, including training and development plans, are amended, as necessary.
- In the case of delay, the job-holder should remind the supervisor of the need for an appraisal.
- Completing the appropriate parts of the form.

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- Discuss any disagreements about the assessment with your supervisor
- Prepare for the appraisal interview and use it as an opportunity to focus on how to improve performance.
- Consider training and development needs for the year ahead and discuss them with the supervisor.

From the preceding discussion, the following conclusions can be drawn: (1) Performance appraisal has multi-dimensional objectives. (2) The major problems that affect the functioning of performance appraisal can broadly be classified into behaviour-related problems such as rater's subjectivity, biases, appraisal anxiety, ratee's anxiety, mistrust in appraisal system, etc.; performance appraisal technique-related problems such as graphic scales versus forced distribution scales, use of the full range of scale, etc.; performance appraisal format related problems such as item-relevance, performance versus trait and performance appraisal end-use-related problems such as non-linkage of performance with rewards, training and development, and career planning.

2.15 Characteristics of Appraisal in two Public TEVET institutions

The appraisal process in the two institutions is similar in almost all respects except for the forms used in the appraisal process. Performance appraisal in the two institutions is conducted to review the performance of employees about confirmations, renewal of contract, and reward of merit pay for those employees who met or exceeded the agreed targets. The appraisal process in the two institutions can be characterised as follows:

Step 1:   Management develops the institutional work plan from the strategic plan. The work plan provides the performance objectives in the performance period. Work plans are linked to the annual budget.

Planning: The employee and his/her supervisor develop and agree on performance objectives aligned with the section and departmental work plan.

Step 2:   **Appraisal Meeting**: The appraisee completes an appraisal form and arranges for an appraisal meeting with the appraiser. The appraiser and the appraisee arrange a suitable venue and time for the meeting.

Step 3   **Evaluation:** During the appraisal meeting, the Supervisor evaluates the employee and rates the employee accordingly. The agreed objectives are discussed and rated according to the agreed criteria, and the personal attributes are rated by the supervisor on a pre-determined scale.

Step 4   **Action**: The completed appraisal form is submitted to the Reviewing Officer, who may agree or disagree with the recommendation of the appraiser.

Step 5   **Feedback**: Depending on the outcome of the rating during the appraisal, the follow-up action is completed. The follow-up may be confirmation of the appointment, renewal/non-renewal of contract termination of the contract.

2.16   Conclusion

This chapter provided a scope of the nature of performance management and appraisal, whereby performance appraisal is regarded as a valuable performance management tool for evaluating organisational performance through the evaluation of individuals. Performance appraisal is defined as a process of accomplishing institutional goals by employees with the purpose of enhancing service delivery. There are various methods of assessing performance, which are appropriate rating technique or forced ranking, absolute rating technique, MBO, and 360-degree appraisals. Therefore, it is necessary to establish an assessment instrument and decide on the frequency of appraisal beforehand.

The chapter gave an insight into the concept of performance appraisal by examining the role of the motivational and justice theories with regard and how these had an effect on current research in performance appraisal. The goal-setting theory, equity theory, the justice theories were discussed, and relevant research on the concepts was outlined. There

are no existing empirical studies conducted about employee perceptions of performance appraisal in the Zambia public TEVET institutions. It is, therefore, important to know through empirical study what perceptions and challenges, if any, are incurred so that appropriate remedies are sought. The next chapter discusses in depth the research design and research methodology adopted to operationalise the study.

3.0   CHAPTER 3   RESEARCH DESIGN AND METHODOLOGY

3.1   Introduction

The previous chapter explored the theories of motivation, concepts, nature and scope of performance appraisal and established that a performance appraisal is an important tool in performance management. Methods of measuring performance using various methods of evaluation and the performance appraisal cycle were discussed. The role of all important players in appraisal process was discussed, and the importance of training all employees involved in the performance appraisal process was also discussed. It was established that employee perceptions about the appraisal system were anchored on the elements of the theory of organisational justice (distributive justice, informational justice, procedural justice and interactional) and other factors such as employee satisfaction factors. This chapter focuses on the research design and methodology adopted in the study. The methods and procedures for selecting the population are discussed. The data collection process and methods are in this part of the study. Description of how data was analysed and issues of validity, reliability and ethical considerations are also discussed.

3.2   Research Design

The research design is the arrangement of conditions for collection and analysis of data in a manner that aims to combine relevance to the study purpose with economy in procedure. Mouton (2001:55) further states that a research design is a plan according to which research participants are identified to collect information from them. Research design strives to address complex social reality; it is the architectural plan of a research project or a conceptual structure within which a research activity must be conducted. It is the arrangement of conditions for the collection and analysis of data in a manner that aims to combine relevance to the research purpose. Also, research design provides a framework for the collection and analysis of data (Bryman, 2001:29). Cooper et al., (2011:139) define research design as the blueprint for the collection, measurement, and analysis of data. A

research model or design represents a compromise dictated by mainly practical considerations (Gosh, 2006:207).

The quantitative survey research method was chosen for this study. Regarding this approach, everything is observable and can be measured and thus explained (Cooper et al., 2011:161). The motivation for choosing the quantitative research approach was that the approach would ensure consistency and reliability of data collection and analysis in an attempt to cast the researcher's net widely in order to obtain as much data as possible with the intention of arriving at findings that could be broadly generalised within the institutions in the study. The survey strategy allowed the researcher to collect data that could be analysed quantitatively using descriptive and inferential statistics. Further, the data gathered using the survey strategy could be used to suggest possible reasons for particular relationships between variables and to develop models of these relationships.

The survey method can be used for descriptive, exploratory, or explanatory research. Survey research has several inherent strengths compared to other research methods Saunders et al. (2007:139-141). Surveys can be used for measuring a broad range of observable data, such as people's preferences, traits, attitudes, beliefs, behaviours, factual information Saunders et al. (2007:139-141). Survey research is also ideally suited for remotely collecting data about a population that is too large to observe directly. Due to its unobtrusive nature and the ability to respond at one's convenience, questionnaire surveys are preferred by some respondents. Large sample surveys may allow detection of small effects even while analysing multiple variables, and depending on the survey design, may also allow comparative analysis of population subgroups (i.e., Within-group and between-group analysis). Survey research is economical regarding researcher time, effort and cost than most other methods.

On the other hand, survey research also has some unique disadvantages. It is subject to a large number of biases such as non-response bias, sampling bias, social desirability bias, and recall bias (Cohen, Manion and Morrison, 2007:206. There are limits to the survey method such as the possible limitation to the number of questions and the inability by the researcher to follow up in case the respondent did not come out clearly and the possibility that the survey may not secure the information needed.

3.3   Selection of Participating Institutions

Three public TEVET institutions were initially selected for the study. One institution was removed from the study because the researcher could not obtain cooperation and access to the institution on time. The selection of these institutions was finally made in consultation with the two Principals. The management in the two institutions maintains the responsibility for implementation, managing and monitoring of the performance appraisal system.

To date, monitoring and assessment of the efficacy of the performance appraisal system in the two institutions had remained limited to monitoring and evaluation meetings conducted by officials from the Ministry of Education Science Vocational Training and Early Education. Both institutions have been using the performance appraisal process since it was introduced as a mandatory requirement by the government in 2009. Other considerations for selection of the two organisations included management support for the study, the employees of the two institutions being best suited to provide the answers to the research questions, diversity of jobs within the institutions, vicinity to facilitate data collection and the availability of funds to support the study.

The two institutions have mission statements, vision statements, work processes and employ similar classifications of employees. Both are public TEVET training institutions registered at the highest grade with Technical Education Vocational and Entrepreneurship Training Authority (TEVETA). In spite of the similarity in the operations, they use slightly different performance appraisal system forms. One of the institutions uses forms that were customised to suit the requirements of the institution whereas the other one maintained the form as was given by the government with only slight changes.

3.4   The Population

The research problem had a bearing on the population. According to Sekaran (2003:265), the population is the study object and consists of individual groups, institutions, human products and events or the conditions to which they are exposed. Although it is usually not practically and economically feasible to involve all members of the population in a research

project due to mainly cost, time constraints and population size, it was felt that it would be important to involve all eligible employees of the two institutions who met the criteria of having done one performance appraisal and who had voluntarily consented to participation in the study. It was considered that the benefit of conducting the survey census was worth the cost and it was within the manageable limits about other requirements such as transport to the research location and stationery for the instrument. Saunders et al. (2007:206) suggest that it is possible to collect data from the entire population if it's a manageable size. Accordingly, the researcher considered that all employees of the two institutions be part of the study subject to voluntarily consenting to participation in the study as required (Huysamen, 1994:37).

3.4.1 Livingstone Institute of Business and Engineering Studies

There are seventy-seven (77) employees at LIBES categorised as follows:

Management	6
Academic Staff	43
Support Staff	29
TOTAL	**78**

Fifty-nine (59) out of seventy-eight (78) consented to participate freely in the study of this number, forty-two (42) were male, and seventeen (17) were females, all four males (4) were in management.

Eighteen (23.1 %) did not participate in the study. The reasons for not participating in the study were as tabulated below:

Not eligible	2
On leave	4
Declined to participate	1
No response to consent form	11
TOTAL	**18**

3.4.2 Kasiya Secretarial and Business College

There are fifty-one (51) employees at Kasiya Secretarial and Business College, and they are categorised as follows:

Management	12
Academic Staff	13
Support Staff	26
TOTAL	**51**

Thirty-five (68.6 %) did not participate in the study. The reasons for not participating in the study were as tabulated below:

Not eligible	5
On leave	5
Declined to participate	15
No response to consent form	10
TOTAL	**35**

3.4.3 Selection of participants

The selection criteria for selecting participants in the study was determined by the requirement of the potential participant to have voluntarily consented to participation in the study and must have done one performance appraisal at the institution. Out of a total of one hundred and twenty-nine employees, seventy-six (76) consented and completed the questionnaire. However, three (3) questionnaires were removed because they were incomplete (the questionnaires had serious flaws due to failure to follow instructions on the completion of the instrument) and the data could have distorted the analysis. Therefore, with the removal of the three responses, seventy-three (73) questionnaires were accepted and subjected to analysis.

3.5   Data Collection Methods

The study utilised structured self-administering questionnaire as it intended to explore the perception of employees regarding performance appraisal. The questions covered various aspects of performance appraisal elements of organisational justice (distributive

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justice, interactional justice, informational justice and procedural justice). Literature was reviewed with a purpose of understanding the subject and defining concepts. Documents on performance appraisal in the two public institutions were analysed, and a structured questionnaire was developed based on the literature and document analysis. Secondary sources referred to included, legislation and policies, which are used in the two institutions. Welman, Kruger and Mitchell (2005:35) assert that a primary source is a written or oral account of a direct witness of, or a participant in, an event or an audiotape, videotape or photographic recording of it, while secondary sources provide second-hand information about events.

3.5.1   Instrumentation

A self-administered questionnaire was used to collect data from eligible employees defined as all eligible employees in the two institutions. All eligible participants were asked to respond to their role as an employee. The items and scales utilised to measure perceptions of performance appraisal are based on Greenberg's four-factor model of organisational justice adopted from Flaniken (2009:169). The four factors include procedural, distributive, informational and interactional aspects of justice. Part I of the questionnaire consisted questions on training in appraisal and aspects of appraisal that were covered in the training. Part II of the questionnaire included measures of employee reactions to various aspects of appraisal about processes and procedure, their most recent performance appraisal rating, reaction to the performance appraisal system, and reaction toward their supervisor. These components are considered to be indicators of employee satisfaction with the overall performance appraisal process. Part III of the instrument consisted of items on informational justice and employee satisfaction about performance appraisal. Part IV included items about the demographic information about the respondents.

A description of each part of the survey questionnaire was as follows:

Part 1 Procedural justice in performance appraisal: The items contained in this section were meant to solicit information in respect of the respondents' perception

of performance appraisal with particular regard to procedural justice in performance appraisal. Items 1 to 8 covered this part.

Part 2   Employee perceptions of distributive justice on performance appraisal: This part sought to solicit responses from employees on their perception of the elements of distributive justice about the appraisal system in their respective institutions. Items 9 to 23 covered this part.

Part 3 Employee perceptions of procedural justice/fairness of performance appraisal: This part sought to solicit responses from employees on their perception of the elements of procedural justice in the performance appraisal system and their perception of the elements of informational justice. Further, the part sought to solicit responses from employees on their satisfaction about the performance appraisal in their institutions. Items 24 to 54 covered this part.

Part 4 Demographical information. This part contains the respondents' personal particulars in respect of age, gender, length of service, qualification and category of employment in the institution. The information received was used to make comparisons of respondents' responses on how they responded to questions and also when employing factor analysis, to determine whether the postulated factors differ according to demographic variables. Items 55 to 59 covered this part.

The measuring instrument specifically designed for this study was titled "*Employees Perceptions of Performance Appraisal in Public Technical Vocational and Entrepreneurship Training Institutions in Zambia*". It was designed to measure specific perception dimensions for employees at the two selected public technical education vocational and entrepreneurship training institutions in Zambia, through the use of a 5-point Likert rating scale questionnaire. There are five rating levels from strongly agree, agree, neither agree nor disagree, disagree and strongly disagree. The ratings for the levels were:

Level	Rating
Strongly Agree	5
Agree	4

Neither Agree Nor Disagree	3
Disagree	2
Strongly Disagree	1

The level of strong disagreement was labeled 'Strongly disagree' and assigned a rating of '1', rating '2' indicating disagreement, was labeled 'disagree', the rating '3' indicating neither agreement nor disagreement was labeled 'neither agree nor disagree', the rating of '4' indicating agreement was labeled '4', and lastly the rating of '5' indicated 'strong agreement' and was labeled '5'.

The format of the instrument was such that it started with a welcome statement and explanation of the purpose of the study on the front page. It also provided instructions on how to navigate the questionnaire and a firm assurance of the strict confidentiality and anonymity of their responses. Throughout the questionnaire navigation, arrows and instructions were clearly given to ensure smooth navigation up to the end of the questionnaire.

3.6   Data Analysis

The researcher distributed a survey instrument (questionnaire) to all eligible participants who consented to participate freely in the study. The questionnaire required the participants to respond to a series of questions to solicit responses from the participants about their perceptions about appraisal in the two public TEVET institutions. The 5-point Likert-type scale (5= Strongly Agree; 4= Agree; 3= Neither Agree nor Disagree; 2= Disagree; 1= Strongly Disagree). This scale was used to determine how strongly the respondents reacted to the statement about elements and factors of performance appraisal. Other types scale including multiple choice questions and yes-no questions, were also used in the questionnaire. Respondents were asked to complete the questionnaire return it upon completion through the Vice Principal/Training and Consultancy Manager in each of the institutions. The Likert scale was found particularly useful for collecting and analysing ordinal data. However, a potential pitfall in using the Likert scale was to assume it is an interval scale and to use then incorrect statistical analysis to describe the data. Analyses of

the data were reported using descriptive statistics including percentile rank and mean scores for each of the variables.

The following is a breakdown of the framework for the design of the questionnaire entitled "Employee perceptions of performance appraisal in public technical vocational and entrepreneurship training institutions in Zambia*"* questionnaire as they related to the research questions. Each research question was listed along with the item(s) in the questionnaire that helped answer the research question and the statistical analysis that was used.

Research Question 1. What perceptions do employees in management, academic and non-academic departments of the two public TEVET institutions hold about whether performance appraisal is used to evaluate comparatively employees to decide salary incentives and promotions about their contribution to the institution? Items 9, 10, 11, and 41 addressed this question. The data were tabulated and reported, and frequencies and percentages were calculated for all responses.

Research Question 2. Do employees perceive that performance appraisal is used to provide feedback, identify strengths and weaknesses, determine transfers and assignments and establish individual training needs? Items 36, 42, 43, and 46, addressed this question. To answer this question, the data were collected, and frequencies and percentages were calculated for all responses.

Research question 3. Do employees perceive that performance appraisal is used to determine the type of training and development needed by employees to assist employees in enhancing skills and capabilities? Items 1, 2 and 50 addressed this question. To answer this question, the data were collected, and frequencies and percentages were calculated for all responses.

Research question 4. To what extent has performance appraisal been integrated into the institutions' culture and how it was contributing to the overall performance of institutions? Item 12, 13 and 14 addressed this question. Frequencies and percentages were calculated for all responses.

Research question 5. Is performance appraisal used to recognise good performance and identify poor performance to decide ultimately on promotions, retention and termination? Item 51 addressed this question, and the frequencies and percentages were calculated accordingly.

Research question 6. Do employees perceive the appraisal system as fair? Item 22, 27, 32, 33, 39 and 40 addressed this question. To answer this question, the data collected and frequencies and percentages were calculated.

Research question 7. Do employees perceive that their raters are competent? Items 19, 20 and 21 helped answer the research question. Tables and frequency tables were used to analyse the data.

Research question 8. Are employees satisfied with the appraisal system? Items 24, 25, 26, 31, 40 and 41 were used to answer the research question. Tables and frequency tables were used to analyse the data.

Research question 9. What factors influence employees' perceptions about the appraisal? Items 28, 29, 30 and 33 were used to answer the question and frequencies and percentages were used to analyse the data.

Open-ended questions were sparingly used in the study due to anticipated limitations about the language level of some respondents in the study. Question 53 asked "…How can the performance appraisal system in your college/institute be improved?" and question 54 asked "… What suggestions would you make for performance appraisals to be effective in meeting its objectives in your institution?"

Five additional items in the questionnaire (Item 55 to Item 59) sought to obtain demographic data about the participants. The demographic data collected was about gender, age, highest qualification, the length of service and category of employment (whether in management, teaching or non-teaching). The last question asked the participant the question of how performance appraisal could be improved in their institution.

3.7   Validity and Reliability

There are concerns and arguments about validity and reliability in social research that needed to be addressed (Bell, 1993:65). The right questions needed to be asked and that questions needed to be free of any ambiguities to ensure content validity. The expert judgement of the research supervisor was sought to scrutinise the measures to assist determine whether the measures would get at the concept that was the focus of attention. The structuring of terms used in the questionnaire was structured to have the same meaning to all the respondents, and the questionnaire was designed such that its content would help in answering the research questions. The questionnaire was subjected to a pilot study made up of a randomly selected group of academic and non-academic staff similar to the selected population to check on how they understood the questions about the concepts to be studied. The pilot study results showed some flaws that needed attention. The flaws included the following:

(a)   The need to give clear instructions throughout the questionnaire.

(b)   Change the design of the format such that elements of the same were grouped together.

(c)   Consideration of the language level to ensure that employees with low-level qualifications had no difficulty in understanding the questions.

From the results of the pilot survey, instructions were simplified, and graphical directions were used to guide the respondents. The format was also changed to include the grouping of elements for ease of analysis. The language simplified way and subjected to the readability tests and was found suitable to the academic level of employees in the study.

An analysis of reliability was conducted using SPSS version 14 for the 44 items and the results indicate a satisfactory Cronbach's Alpha of 0.624. See Table 2 below:

Table 2. Reliability Analysis			
		N	%
Cases	Valid	34	46.6
	Excluded[a]	39	53.4
	Total	73	100.0
a. Listwise deletion based on all variables in the procedure.			

Reliability Statistics

Cronbach's Alpha	Cronbach's Alpha Based on Standardized Items	N of Items
.624	.931	44

Item Statistics	Mean	Std. Deviation	N
Performance appraisal system in your college/institute is periodically reviewed and changed to ensure its effectiveness.	3.15	1.132	34
Performance appraisal in our college/institute is used to provide feedback to employees about how well the employee was meeting the targets.	3.56	1.050	34
Performance appraisal in our college/institute is used to enable decisions concerning pay increases (salary notch), promotions, confirmation, retention and termination.	3.71	1.142	34
Performance appraisal in our college/institute is used to encourage performance improvement.	3.76	1.103	34
Performance appraisal in our college/institute is used to set and measure goals.	3.91	.793	34
Performance appraisal in our college/institute is used to determine individual and organisational training and development needs.	3.59	1.076	34
Performance appraisal in our college/institute used to identify good performance to decide ultimately on promotions, retention and termination?	3.59	1.131	34
Was the training in performance appraisal you received effective in making you understand the performance appraisal system in your Institution/College?	4.09	.866	34
Appraisal standards and ratings vary widely from supervisor to supervisor.	3.68	1.093	34
My supervisor's personal values replace organisational standards in the evaluation process.	2.76	1.075	34
My supervisor's resistance to giving ratings, particularly negative ratings reduces the validity of ratings.	2.94	1.153	34
Performance appraisal is integrated into our institution's culture.	3.74	.790	34
The performance planning and review process requires that performance expectations be set for me during a planning session at the start of a rating period.	4.12	.591	34
The performance appraisal process measures the agreed standard set at the planning stage of the process.	4.03	.627	34
The expectations setting during the performance planning session reflect the most important factors in my job	4.12	.537	34
The performance planning and review process allows me to set the standards that my supervisor will use to evaluate my performance	4.00	.953	34
The performance appraisal process allows for performance targets to be changed when there are changes in my work	3.76	1.017	34
My performance objectives set for me during the planning session will remain the same until my rater, and I change them.	5.38	8.822	34
The College/Institute makes sure that I am assigned to a rater who is enough qualified to evaluate my work.	3.91	.900	34
The College/Institute ensures that I am assigned to a rater who knows very well what I do in my work.	3.94	.983	34
The College/Institute makes sure that my rater is familiar with the performance planning and review rating procedures and rating format.	4.82	5.042	34
I can challenge a performance rating if I think it is unfair performance ratings.	3.74	1.109	34
The performance appraisal system allows me to express my disagreement about my performance ratings to my Supervisor.	3.91	.830	34

Performance appraisal has been effective in enhancing my capacity to improve.	3.91	1.083	34
Performance appraisal has contributed to the improvement in the overall performance of your college/institute.	3.53	1.107	34
I am satisfied with the performance appraisal process.	3.35	1.070	34
Performance appraisal system in our institution is conducted fairly.	3.76	.923	34
Performance appraisal demands too much time and effort from employees.	3.29	1.219	34
Performance appraisal demands too much time and effort from supervisors.	3.29	1.031	34
Supervisors in your institution are competent to conduct performance appraisals.	3.91	.712	34
I am satisfied with the performance rating that I received for the most recent rating period of time.	3.71	.871	34
My most recent performance rating was fair.	3.74	.963	34
My most recent performance rating reflected on how well I did the job.	3.85	.958	34
My supervisor gives me the necessary support and guidance to enable me meet the performance standards.	4.03	.674	34
Overall, I am satisfied with the quality of supervision I receive at work from my supervisor.	4.03	.870	34
Performance appraisal provides feedback in my work.	3.71	.799	34
I would give my supervisor a positive rating.	3.82	.999	34
My supervisor takes the rating system and process to evaluate my work seriously.	5.15	6.916	34
The performance appraisal system in our college/institute is fair.	3.76	.819	34
The methods that the performance appraisal system uses to set my performance expectations for each rating period is satisfactory.	3.82	.673	34
I am satisfied with the method that the performance appraisal system is used to evaluate and rate my performance	3.68	.768	34
I receive feedback on how well am doing to meet the targets.	3.50	1.135	34
I receive formal, written performance appraisals feedback from your supervisor.	3.09	1.215	34
Negative feedback from performance appraisal de-motivates me.	3.15	1.329	34

3.8   Ethical Consideration

University of South Africa (UNISA) requires strict compliance with its ethical rules and guidelines for all types of social research. According to Welman, Kruger and Mitchell (2005:201); Saunders et al. (2007:51) the researcher should pay attention to ethical considerations, namely; informed consent, the right to privacy, protection from harm and involvement of the researcher. Huysamen (1994:178) argues that ethical considerations come into play in all the stages of the research. The informed consent process was completed in the present study. According to Huysamen (1994:178) informed consent as a

fundamental ethical principle in social research, which required the researcher to ensure that participants thoroughly comprehend the research process and are willing to participate in the study. Informed consent, therefore, involves researcher's accountability, respect, and regard for the study participants. The informed consent process removes potential ethical challenges relating to research, such as the relationship between the researcher and the participants, the balance between risks and benefits of participating in the study, and confidentiality (Saunders et al., 2007:180). Ethical concerns may emerge at all stages of research, and although ethical issues in research are not always clear-cut, Saunders et al. (2007:180-181) summarised the issues as follows:

- The rights of privacy of individuals
- Voluntary nature of participation – and the rights of individuals to withdraw partially or completely from the process
- Consent and possible deception of participants
- Maintenance of the confidentiality of data provided by individuals or identifiable participants and their anonymity
- Reactions of participants to the ways in which researchers seek to collect data
- Effects on participants of the way in which data is analysed and reported
- Behaviour and objectivity of the researcher

The letter of consent contained a brief description of the study's purpose and procedures, the expected duration of the study, the expected number of participants, the voluntary nature of participation and option to withdraw at any time without consequences, and a guarantee of participant anonymity and that all participant data would remain confidential. The letter also contained a statement of any possible risks or discomfort associated with participation, possible benefits of participation, how to contact the researcher regarding questions about the study, and the option to request a summary of the findings (Saunders, 2007:184).

The Informed Consent form used in the present study (see Appendix I) contained the elements described by the UNISA policy on research (UNISA, 2007:11-14) with a particular emphasis on how confidentiality would be ensured throughout the study. The

concept of confidentiality is underpinned by respect for anonymity and autonomy. The participants' identities were not to be disclosed to any third party without the participants' express approval. The participants were also informed that they would be protected from any form of intentional or unintentional harm, if any, during the research. When properly administered, Informed Consent aligns with the ethical principles of autonomy, justice, and beneficence, which researchers are expected to observe throughout the research process (Bell, 2005:48). In alignment with the requirements of social research and the UNISA Policy on Research and Ethics, all participants signed off on the Informed Consent form to indicate their willingness to participate in the study.

Confidentiality: Confidentiality was maintained during and after the study and several steps were taken to ensure confidentiality. Each participant was assigned a code on receipt of the completed questionnaire. The code was used in all material relating to the participants; Names of participants were not used. All materials related to the collected data were stored in a secured by the researcher at a location that only the researcher could access. All electronic materials were stored on a password-protected computer; only the researcher knew the password. All materials will be destroyed by the guidelines of UNISA.

Access: The Permanent Secretary, Ministry of Education Science Vocational Training and Early Education granted Authority to conduct the study in the three initial public TEVET institutions (Appendix C). Permission to access the two institutions was sought and granted by the two Principals of the two institutions (Appendix J and Appendix K).

3.9   Conclusion

This chapter discussed the research design and methodology adopted in the study. The research design utilised in the study was quantitative as it sought to understand human and social interaction from the perspectives of insiders and participants' interaction. The study examined what employee perceptions are held by employees of the two public TEVET institutions. The research approach of the study was the survey. All eligible employees in the institutions were given an opportunity to participate in the study. However, due to

ethical considerations, only those who freely consented to participate in the study were allowed to complete the questionnaire. Further, any employee who had not participated in an appraisal before the conduct of this study was not permitted to take part in the study. The study utilised the self-administered questionnaire as a method of collecting data. The next chapter focused on the discussion of the analysis and findings.

4.0   CHAPTER FOUR: FINDINGS, ANALYSIS AND DISCUSSIONS

4.1   Introduction

The study intended to establish the perceptions held by employees of the two public TEVET institutions in the Southern Province of Zambia. In this section of the study, the results of the empirical analysis are presented. The study also observed the benefits and challenges that these institutions experienced in using their performance appraisal systems. This chapter presents findings from the study about the employee perceptions of performance appraisal in public technical education vocational and entrepreneurship training institutions in Zambia.

4.2   Population

The population surveyed in this study consisted of two public TEVET institutions under the Ministry of Education Science Vocational Training and Early Education of the Republic of Zambia. The data were collected from the responding institutions during the months of September 2015. A total of 78 (60%) out of 129 employees of the two institutions completed and returned the questionnaire to the researcher. Information concerning the staffing position of each of the institutions is in Table 3.

Table 3. Staffing levels in the study institutions

Category	LIBES	KSBC	Totals
Management	06	12	18
Academic Staff	43	13	56
Non-Academic Staff	29	26	55
Totals	**78**	**51**	**129**

4.3   Demographic Characteristics of Respondents

The study put into account the gender of the respondents and their academic qualification that were considered relevant to this study. Figure 1 presents the gender information about the respondents.

Chart 1. Gender Distribution of Respondents

Gender

Female, 35.60%

Male, 64.40%
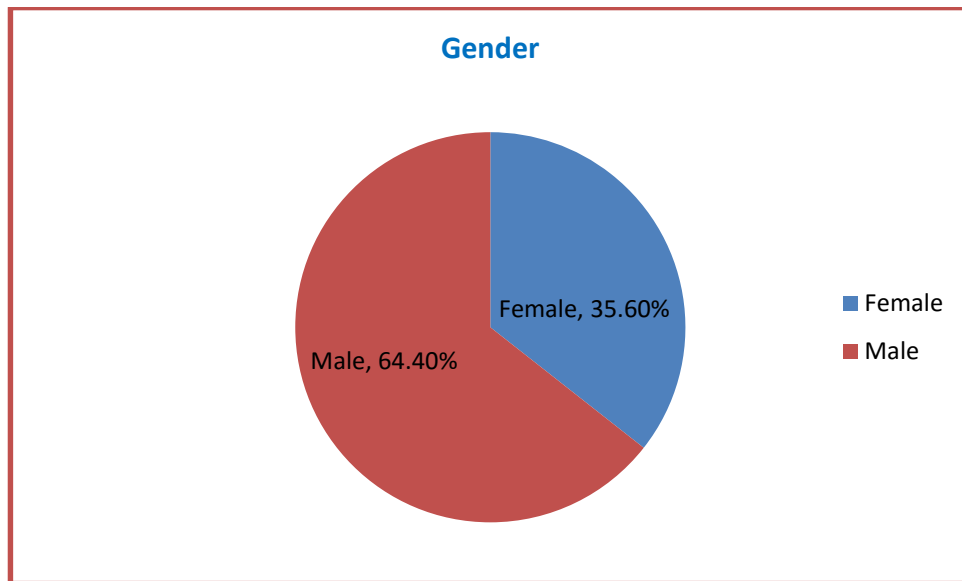
■ Female
■ Male

The data revealed that there were more males than females who participated in the study. The data informs that 64.4% of the respondents were male, and 35.6% were female.

Chart 2. Age range of respondents

Age range of respondents

Number of respondents

18-24 years	6
25-29 years	18
30-34 years	8
35-39 years	10
40-44 years	4
45-49 years	7
50-54 years	10
55-59 years	7
60- and over above	2

Age range
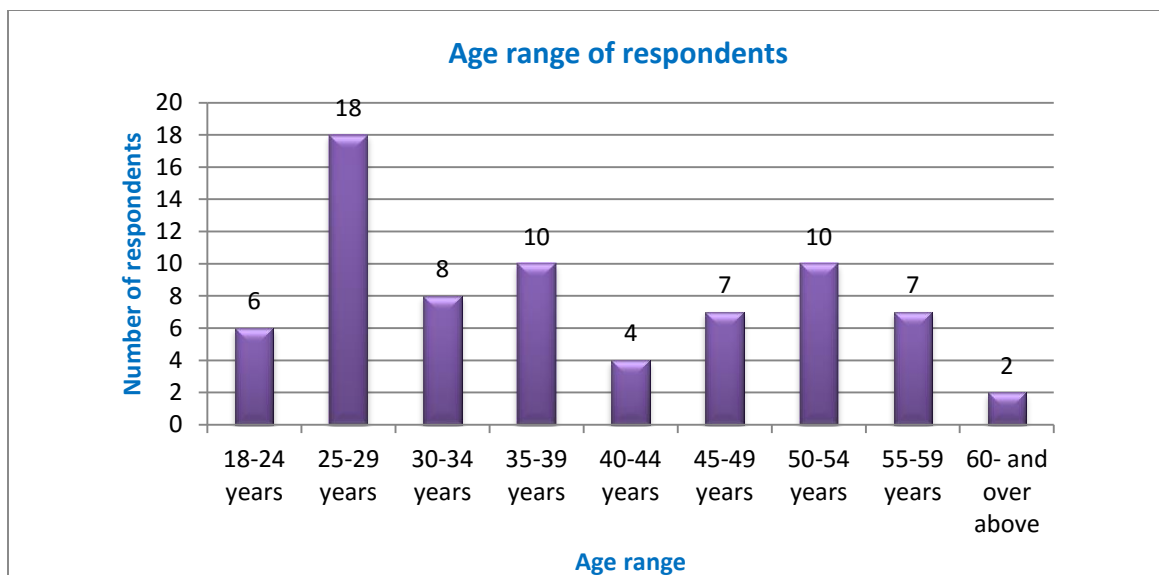
The data suggests that 58% of the respondents were less that forty years old, 15% were aged between 40 and 49 years whereas 26% were above fifty years. The data suggested a relatively young workforce.

Chart 3. Employment category of respondents

Employment categories of respondents

Category	Value
Non- academic staff (support staff)	28
Academic staff (teaching staff)	38
Management	6

(horizontal axis: 0, 5, 10, 15, 20, 25, 30, 35, 40)
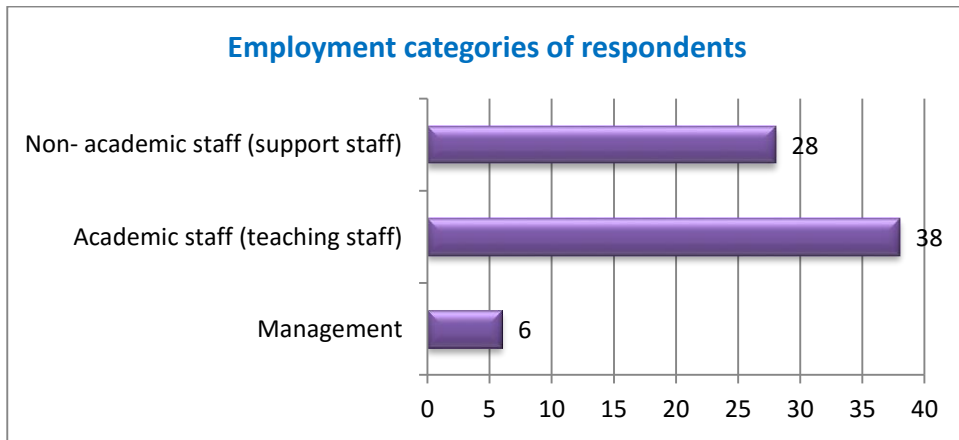
There were a total of 72 respondents who responded to this question and one missing. Out of 72 respondents, 6 were in management category, 38 and 28 were in the academic and non-academic categories respectively. On the Item about the qualifications held by the respondents, the data in figure 4 above shows that the majority of the respondents were from the academic staff.

Chart 4. Respondents by length of service

Length of service in years	Number of respondents
Less than a year	6
1-3 years	30
3-6 years	29
7-10 years	17
10 and above	17
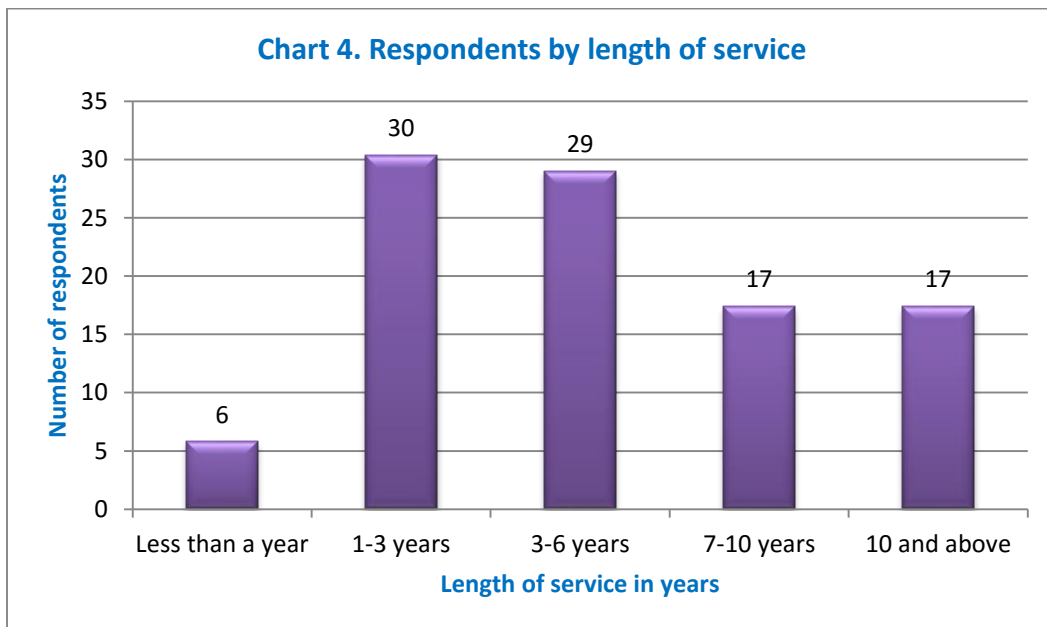
The table above shows the respondent's length of service in the institution. The results indicate that the majority of the respondents were in the range of 1 to 3 years of service (30 %). 65 of the respondents were less than three years and 35% being over seven years of

service. Although the majority had worked for three years and less, they had fulfilled the study requirement of having been appraised at least once.

Chart 5. Respondents by levels of qualification
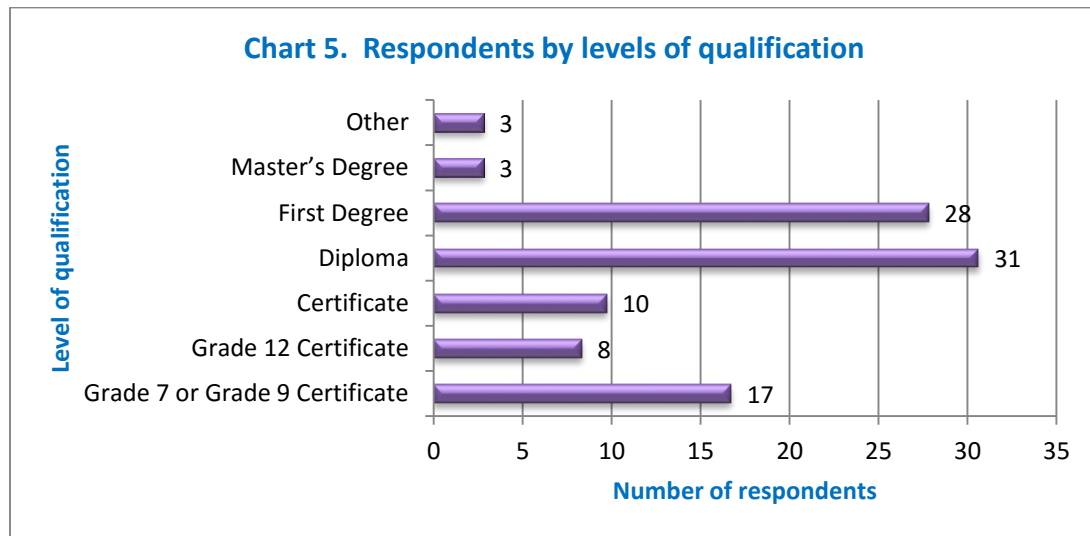
The data suggests that 35% of the respondents had qualification less than a diploma, 31% held a diploma and 30% held degree qualification. All of the academic staff held a qualification of diploma and above.

4.4   Results of the Research Questions

The main research question of the study was to determine what perceptions are employees in the two study institutions had about performance appraisal. The research questions were designed to get their reactions to the statements and issues and determine the employee perceptions about performance appraisal. The framework was designed to align statements and questions in such a way as to assist in determining the reactions using a five-point Likert scale on a continuum from Strongly Agree to Strongly Disagree where 5 represented Strongly Agree and 1 represented Strongly Disagree.

4.4.1   Research question number 1: This question sought to help determine employee perceptions about the use of performance appraisal in comparatively evaluating employees, deciding on salary incentives and promotion about their contribution to the institution. Item number 47 and 51 addressed this question.

Chart 6. Performance appraisal in our college/institute is used to enable decisions concerning pay increases (salary notch), promotions, confirmation, retention and termination.
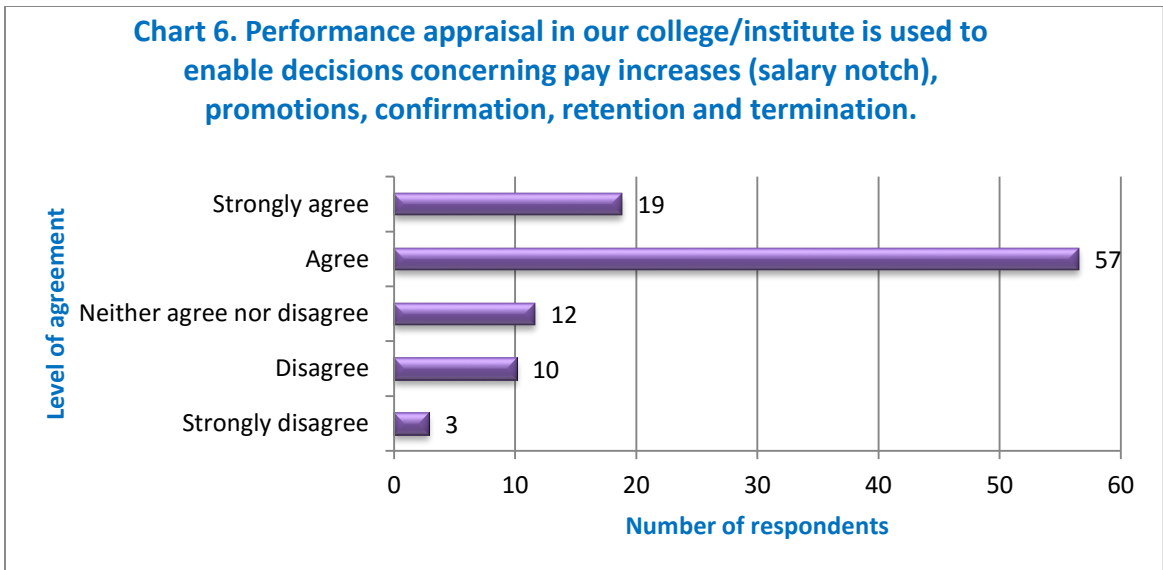
Chart 6 shows the results for Item 47. The result indicated that 57% agreed, and 19% strongly agreed that performance appraisal was used in our college/institute to enable decisions concerning pay increases (salary notch), promotions, confirmation, retention and termination. 12% neither agree nor disagreed with the statement. On the other hand, 13 % did disagree.

Chart 7. Performance appraisal in our college/institute used to identify good performance to ultimately decide on promotions, retention and termination
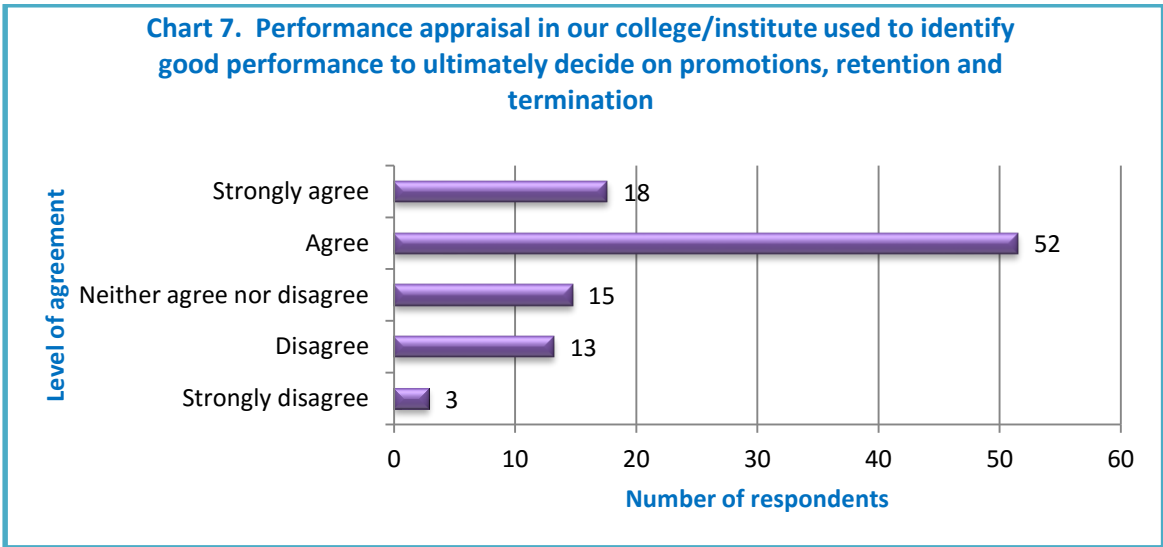
Chart 7 shows the results for the statement that performance appraisal is used to identify good performance to decide ultimately on promotions, retention and termination. The results indicated that 52% agreed and 18% strongly agreed that performance appraisal was used to identify good performance and decide on promotions, retention and termination while 13% and 3% disagreed and strongly disagreed respectively to the statement that

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performance appraisal was used to identify good performance and decide on promotions, retention and termination and 15% neither agreed nor disagreed.

4.4.2 **Research question number 2**: The research question sought to determine if performance appraisal was used to provide feedback, identify strengths, weaknesses, determine transfers and assignments and establish individual training needs. Items 36, 42, 43 and 46 addressed this question.

Chart 8. Performance appraisal provides feedback in my work.

Level of agreement	Number of respondents
Strongly agree	12
Agree	53
Neither agree nor disagree	19
Disagree	13
Strongly disagree	3
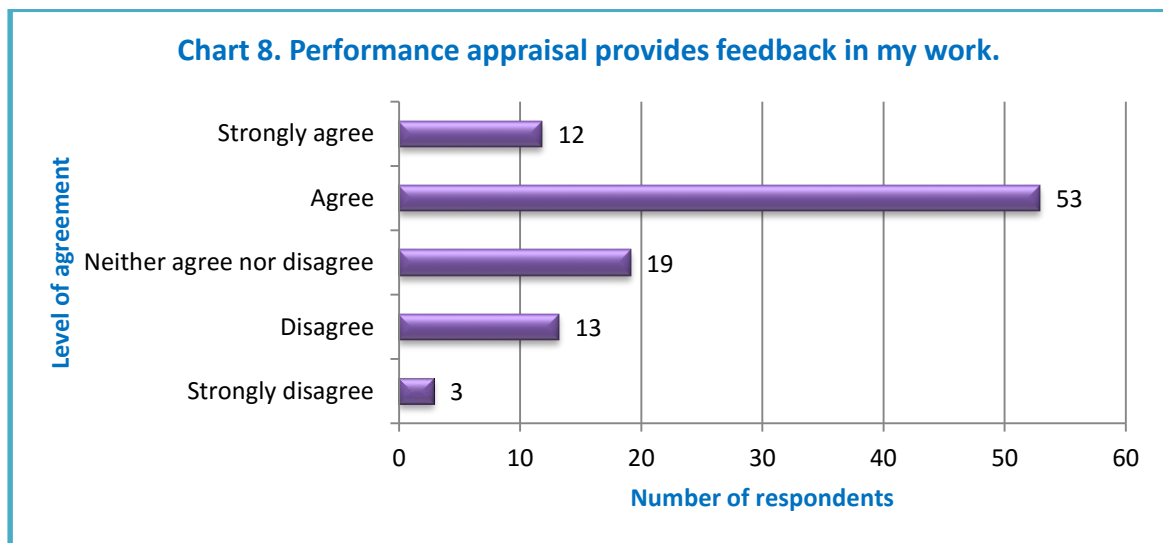
Chart 8 shows that the majority of respondents agreed with the statement that performance appraisal provided feedback in their work. 53% agreed, and 12% strongly agreed that performance appraisal provided feedback in their work. The result further showed that 19 % neither agreed nor disagreed with the statement. On the other hand, 13% disagreed and 3% strongly disagreed with the statement.

Chart 9. I receive feedback on how well am doing to meet the targets.

Level of agreement	Number of respondents
Strongly agree	13
Agree	48
Neither agree nor disagree	13
Disagree	18
Strongly disagree	8
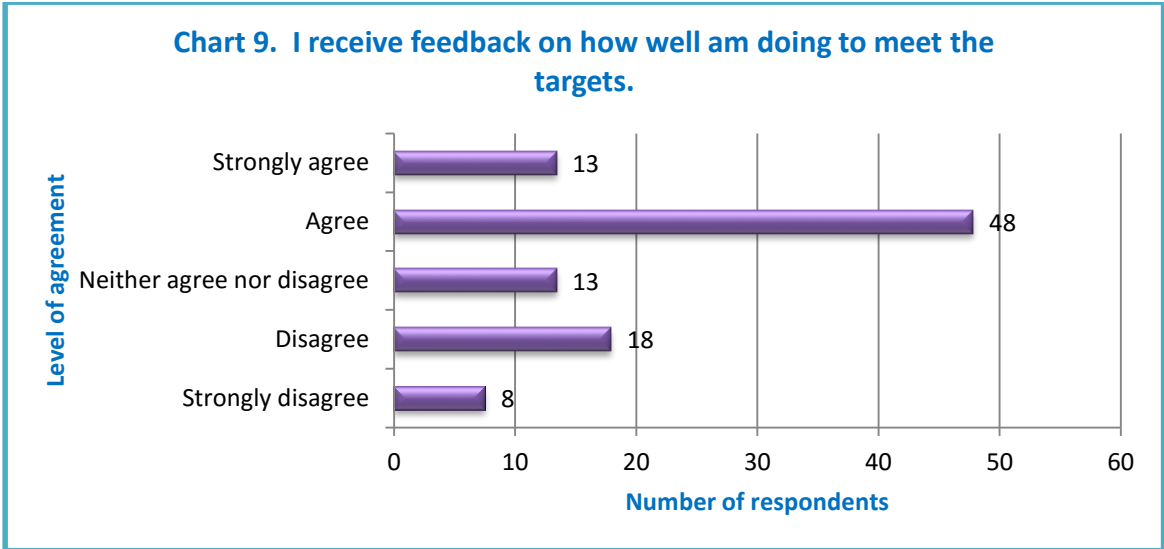
Chart 9 shows that 48% of the respondents agreed, and 13% strongly agreed with the statement that they received feedback on how well they were doing to meet their targets. It also shows that 18% of the respondents disagreed, and 8% strongly disagreed with the statement while 13% neither agreed nor disagreed. On the statement about receipt of written performance appraisal (Chart 10), 36% of the respondents agreed that they received written feedback from their supervisors, 12% strongly agreed whereas 32% disagreed with the statement. The Chart also shows that 12% of the respondents were undecided, and 9% strongly disagreed.

Chart 10. I receive formal, written performance appraisals feedback from my supervisor.

Level of agreement	Number of respondents
Strongly agree	12
Agree	36
Neither agree nor disagree	12
Disagree	32
Strongly disagree	9
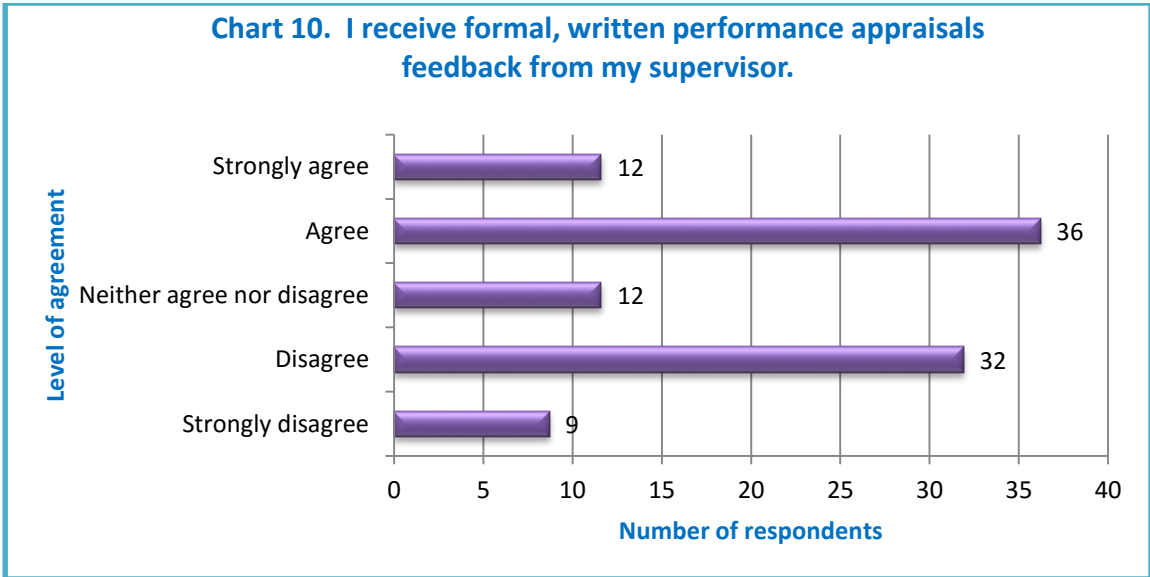
On the statement of performance appraisal being used to provide feedback to employees about how well the employee was meeting the targets. The results were that 56% agreed with the statement, 10% strongly agreed, 18 % disagreed with the statement while 13%

were undecided. (See Chart 11). 2% of the respondents strongly disagreed with the statement.

Table 11. Performance appraisal in our college/institute is used to provide feedback to employees about how well the employee was meeting the targets.

Level of agreement	Number of respondents
Strongly agree	10
Agree	56
Neither agree nor disagree	13
Disagree	18
Strongly disagree	2
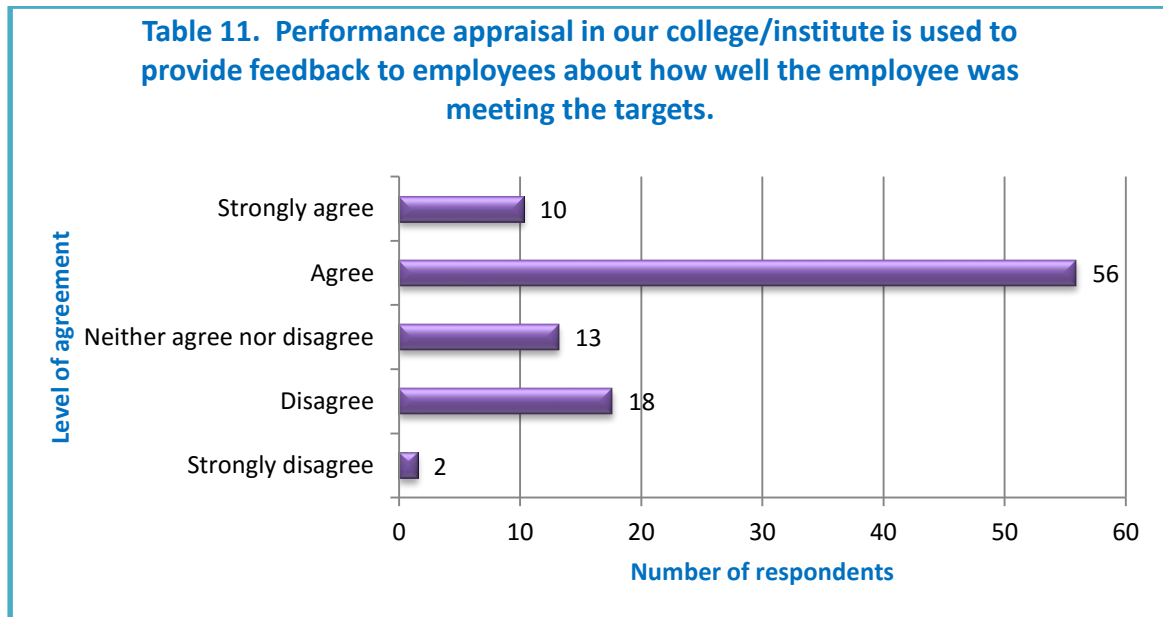
4.4.3   Research question number 3:   The research question sought to determine employee's perception that performance appraisal was used to determine the type of training and development needed by the employees to assist them in enhancing skills and capacities. Items 1, 2 and 50 addressed this question.

Chart 12 shows that from 73 respondents in the study, 77% of the respondents received training in appraisal and a significant 86% of the respondents agreed that the training in performance appraisal was effective in making them understand the performance appraisal system; only 7% disagreed with the statement. (See Chart 12 and 13).

Chart 12. Have you received any training in performance appraisal?

Yes   No

23.3%

76.6%
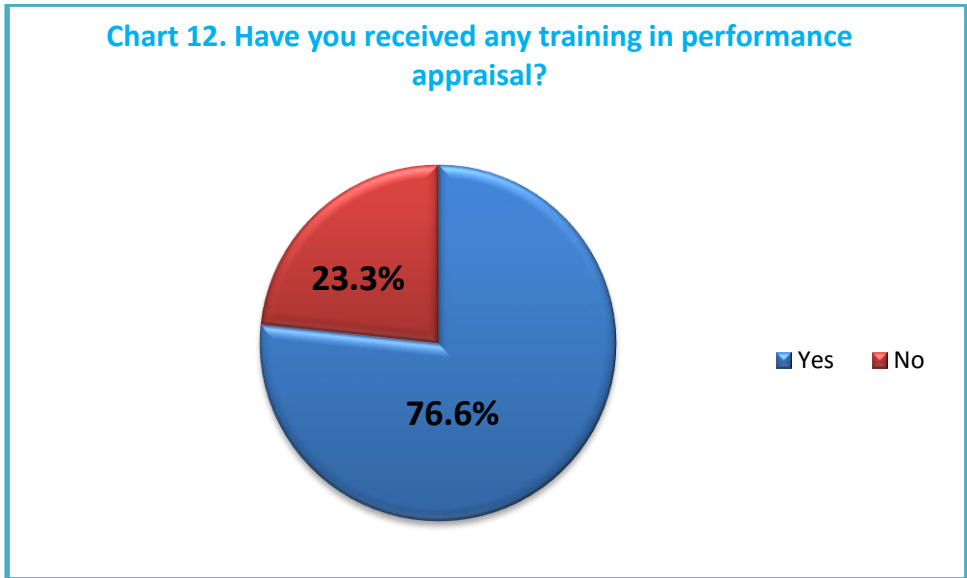
On the statement that Performance appraisal is used to determine individual and organisational training and development needs in the institutions, 69% agreed with the statement whereas 16% disagreed and 15% were undecided. (See Chart 14).

Chart 13. Was the training in performance appraisal you received effective in making you understand the performance appraisal system in your Institution/College?

Level of agreement

Strongly agree — 25
Agree — 61
Neither agree nor disagree — 7
Disagree — 4
Strongly disagree — 4

0   10   20   30   40   50   60   70

Number of respondents

Chart 14. Performance appraisal in our college/institute is used to determine individual and organisational training and development needs.

4.4.4 Research question number 4: The research question sought to determine to what extent performance appraisal was integrated into the institution's culture and how it contributed to the overall performance of the institutions. Item 12 addressed the research question.

According to the results shown in Chart 15 below, the majority of the respondents agreed that performance appraisal was integrated into their institution's culture. The results show that 72% agreed with the statement that performance appraisal was integrated into their institution's culture, 13% strongly agreed whereas 10% disagreed with the statement and 3% strongly disagreed.

Chart 15. Performance appraisal is integrated into our institution's culture

Level of agreement	Number of respondents
Strongly agree	12
Agree	61
Neither agree nor disagree	15
Disagree	10
Strongly disagree	3
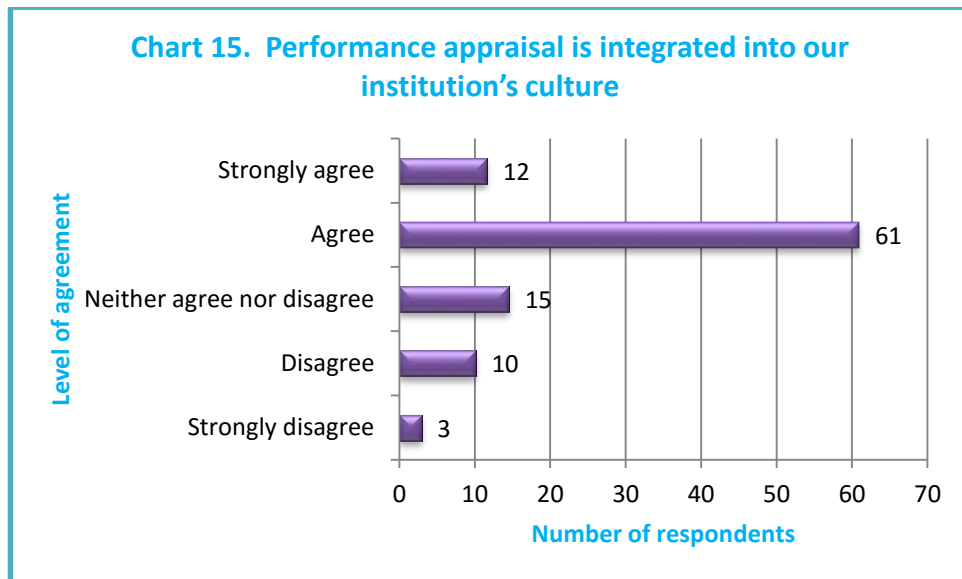
Concerning the contribution of performance appraisal in the overall performance of the institutions, results in Chart 16 below show that 48% of the respondents agreed, 21% strongly agreed with the statement that performance appraisal contributed to the overall performance of the institutions with 14% disagreeing, 6% strongly disagreed and 11% neither agreeing nor disagreeing.

Chart 16. Performance appraisal has contributed to the improvement in the overall performance of your college/institute.

Level of agreement	Number of respondents
Strongly agree	21
Agree	48
Neither agree nor disagree	11
Disagree	14
Strongly disagree	6
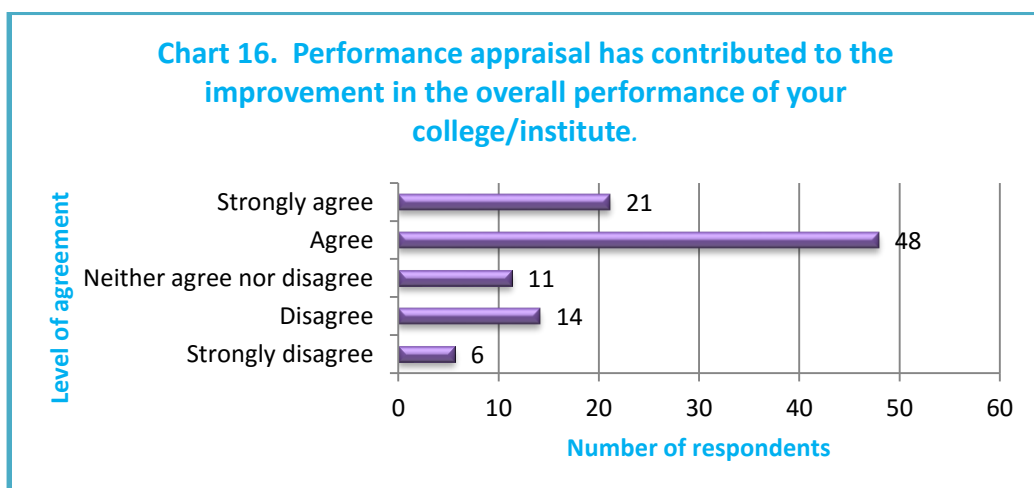
4.4.5   Research question number 5: The research question sought to determine employee perceptions about performance appraisal being used to recognise good performance and identify poor performance to decide ultimately on promotions, retention and termination. Item 51 addressed this question.

Chart 17. Performance appraisal in our college/institute used to identify good performance to ultimately decide on promotions, retention and termination.

Level of agreement	Number of respondents
Strongly agree	18
Agree	52
Neither agree nor disagree	15
Disagree	13
Strongly disagree	3
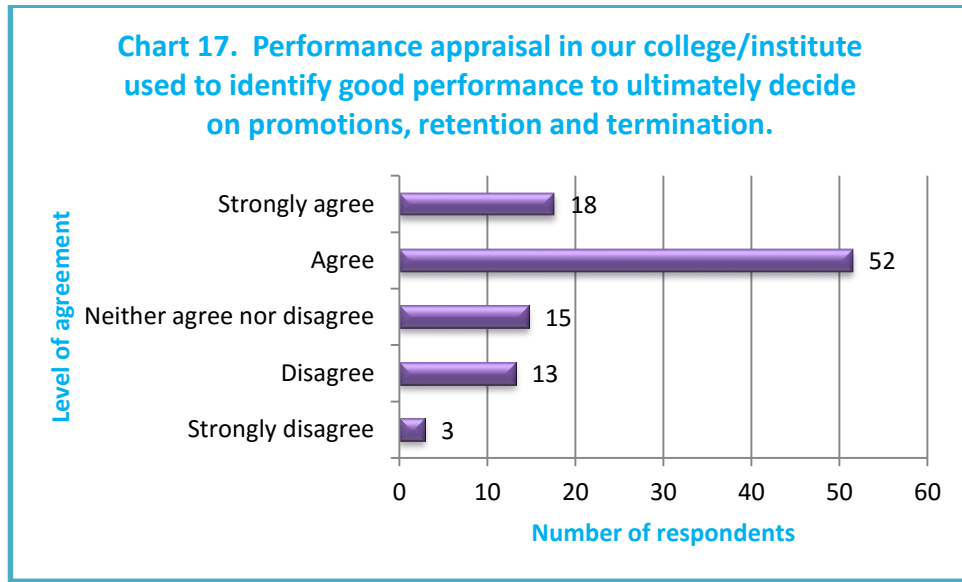
According to the results in Chart 17, 52% of the respondents agreed, 18% strongly agreed with the statement that performance appraisal in their institution was used to identify good performance to decide ultimately on promotions, retention and termination. 13% disagreed, 3% strongly disagreed while 15% neither agreed nor disagreed.

4.4.6   Research question number 6: The research question sought to determine if the employees perceived the appraisal system as fair. Items 22, 27, 32 and 39 addressed the question.

On the statement whether the respondents can challenge a performance rating if they thought it was unfair performance ratings, the respondents gave the results that 16 % agreed, 51% strongly agreed that they could challenge the performance rating if they thought it was unfair, 16% of the respondents disagreed with the statement and 11% neither agreed nor disagreed, and 6% strongly disagreed. (See Chart 18).

Chart 18. I can challenge a performance rating if I think it is unfair performance ratings.

Level of agreement / Number of respondents

- Strongly agree: 16
- Agree: 51
- Neither agree nor disagree: 11
- Disagree: 16
- Strongly disagree: 6
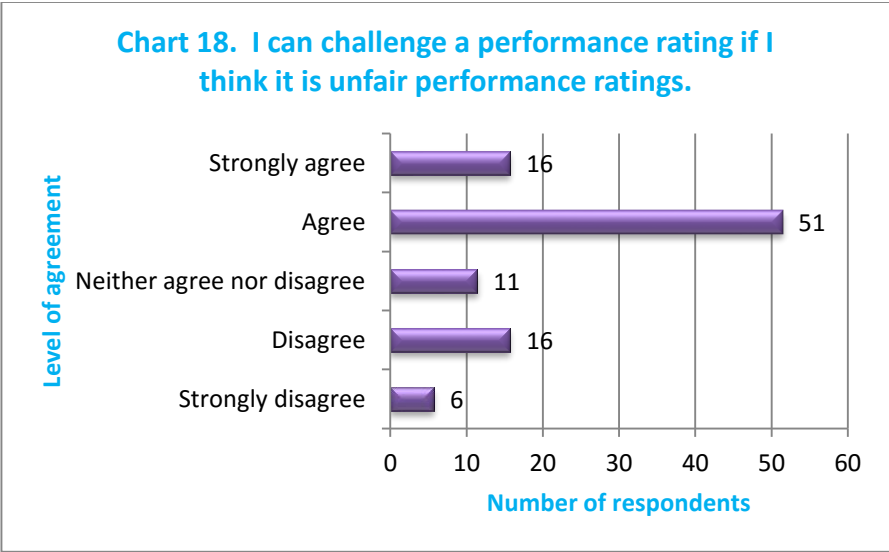
In Item 27 the respondents were required to state how they agreed or disagreed with the statement that performance appraisal system in the institution was conducted fairly. The results show that 45% agreed, 17 % strongly agree, 11 % disagreed, 6 % strongly disagreed, and 21 % neither agreed nor disagreed. (See Chart 19).

Chart 19. Performance appraisal system in our institution is conducted fairly.

Level of agreement / Number of respondents

- Strongly agree: 17
- Agree: 45
- Neither agree nor disagree: 21
- Disagree: 11
- Strongly disagree: 6
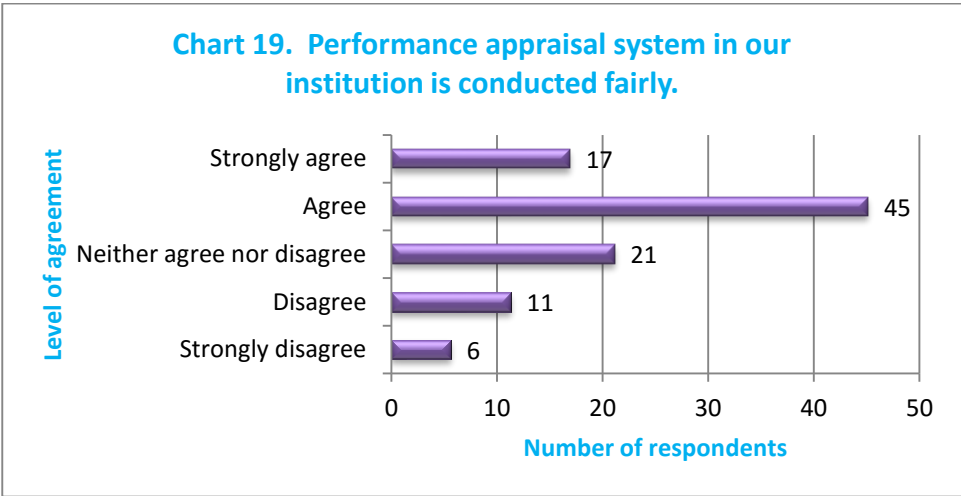
In Item 32, (Chart 20) respondents were asked to respond to the statement about their most recent performance rating. The results showed that 56% of the respondents agreed 10% strongly agreed with the statement, 16% disagreed, 6% strongly disagree and that 11% neither agreed nor disagreed.

Chart 20. My most recent performance rating was fair.

Level of agreement	Number of respondents
Strongly agree	10
Agree	56
Neither agree nor disagree	14
Disagree	13
Strongly disagree	7
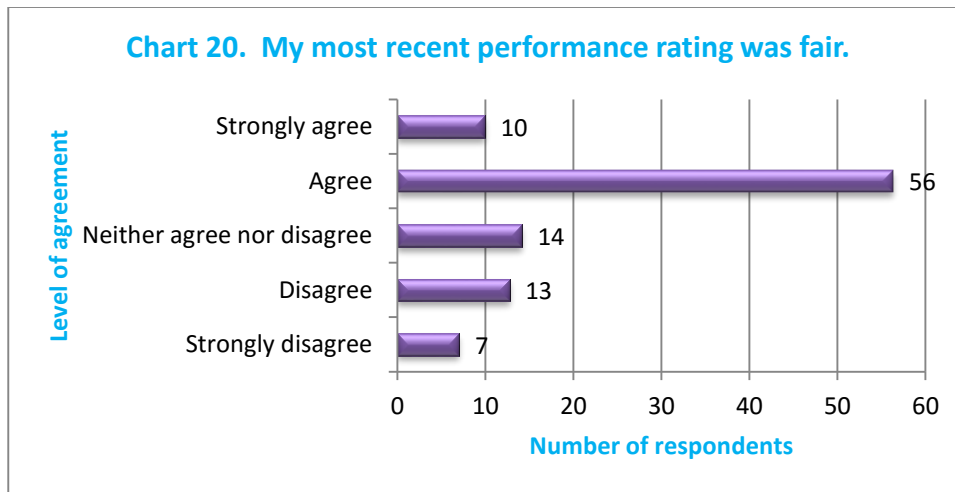
In Item 39, the respondents responded to the statement about the fairness of the performance appraisal system in their institution. The results show that 57% agreed with the statement, 12% strongly agreed, 9 % disagreed, an insignificant 1% strongly disagreed and 22% neither agreed nor disagreed. (See Chart 21).

Chart 21. The performance appraisal system in our college/institute is fair.

Level of agreement	Number of respondents
Strongly agree	12
Agree	57
Neither agree nor disagree	22
Disagree	9
Strongly disagree	1
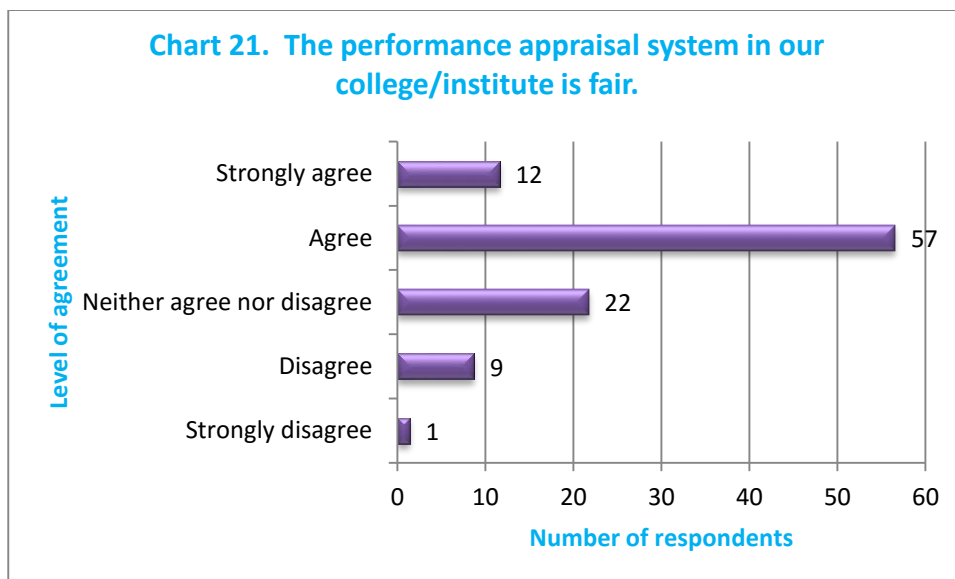
4.4.7   Research question number 7: The research question sought to determine whether the respondent perceived their raters as competent. Items 19, 20, and 21 addressed this question. Results for this item show that 20% of the respondents strongly agreed, and 49% agreed that their institutions made sure that they are assigned a rater qualified to evaluate their work. 22% disagreed whereas 10% neither agreed nor disagreed (See Chart 22).

Chart 22. The College/Institute makes sure that I am assigned to a rater who is enough qualified to evaluate my work.
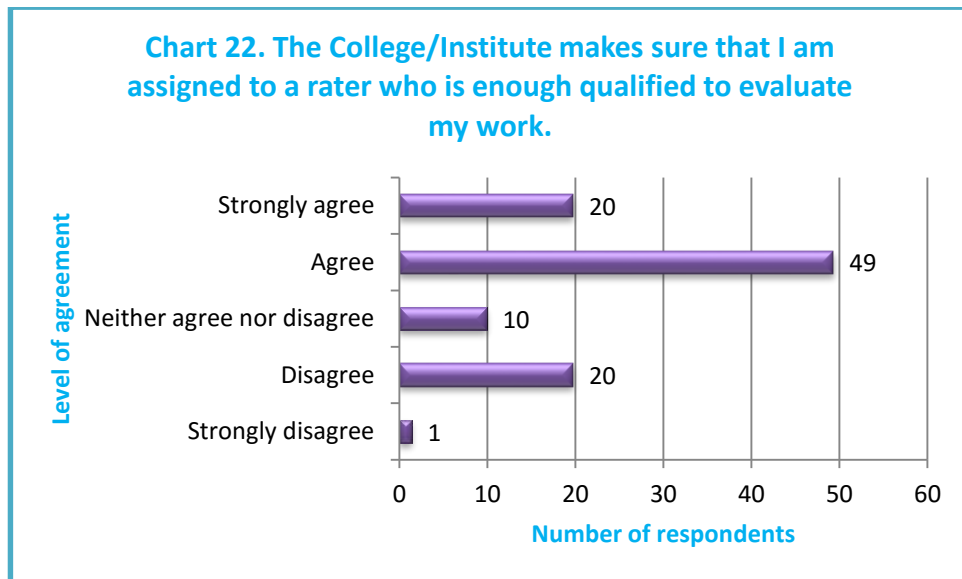
Chart 23 shows the results for Item 20 with 48% of the respondents agreed, and 30% strongly agreed with the statement that the institutions ensured that they were assigned a rater who knew very well what they (employees) did in their work, 9 % disagreed, 1% strongly disagreed while 12% neither agreed nor disagreed.

Chart 23. The College/Institute ensures that I am assigned to a rater who knows very well what I do in my work.
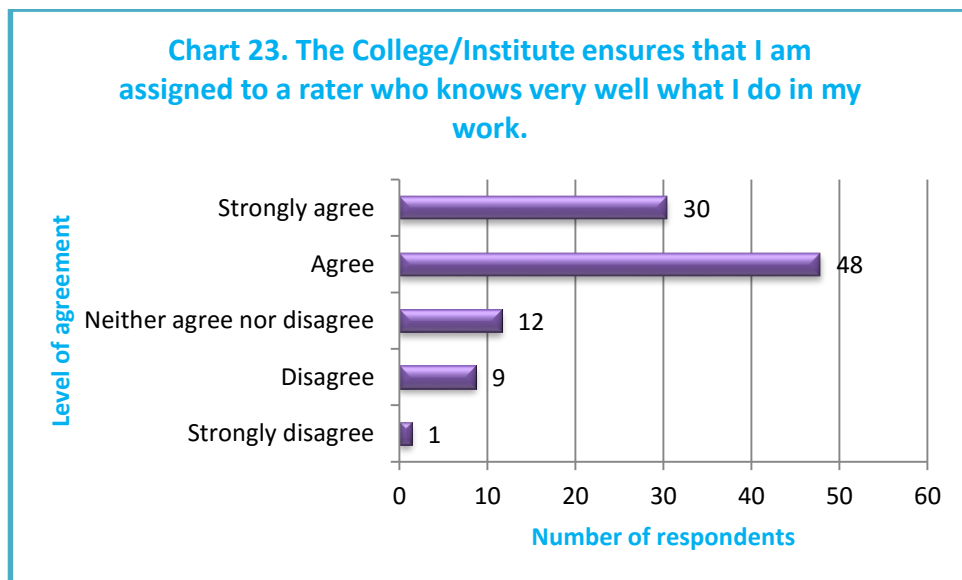
With regards to Item 21, the results in Chart 24 show that 54% of the respondents agreed, 22% strongly agreed that the institutions made sure that raters were familiar with performance planning and review rating procedures and rating format. 9% of the

respondents disagreed, while 12% of the respondents neither agreed nor disagreed. A paltry 1% strongly disagreed.

Chart 24. The College/Institute makes sure that my rater is familiar with the performance planning and review rating procedures and rating format.

Level of agreement	Number of respondents
Strongly agree	22
Agree	54
Neither agree nor disagree	10
Disagree	10
Strongly disagree	2
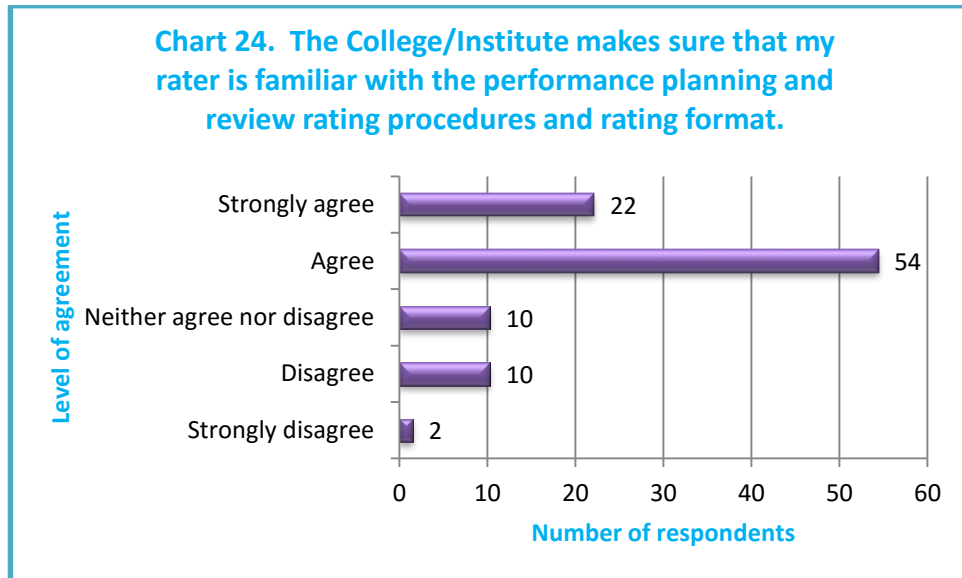
In response to Item 30, results in Chart 25 the results show that 61% of the respondents agreed that their raters were competent to conduct PA, 19% disagreed, 8% neither agreed nor disagreed while 1% of the respondents strongly disagreed.

Chart 25. Supervisors in your institution are competent to conduct performance appraisals.

Level of agreement	Number of respondents
Strongly agree	10
Agree	61
Neither agree nor disagree	8
Disagree	19
Strongly disagree	1
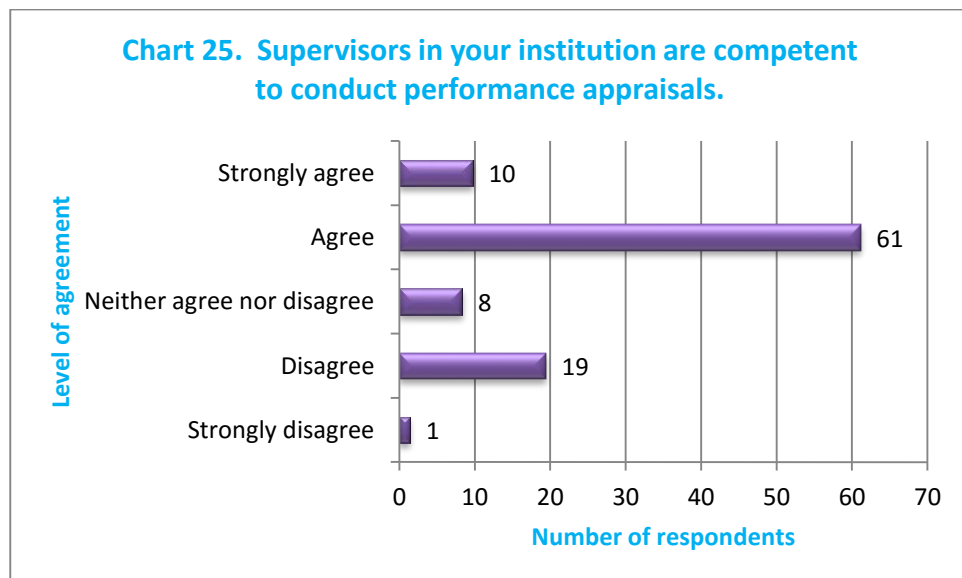
4.4.8   Research question number 8:   The research question sought to determine employee's satisfaction with the appraisal system. Items 26, 31, 35, 40 and 41 addressed

the research question. In response to Item 26, the results in Chart 26 show that 55% of the respondents agreed that they were satisfied with appraisal system, 10 % strongly agreed whereas 18% disagreed, and 7% strongly disagreed while 10% neither agreed nor disagreed.

Chart 26. I am satisfied with the performance appraisal process.

Level of agreement	Number of respondents
Strongly agree	10
Agree	55
Neither agree nor disagree	10
Disagree	18
Strongly disagree	7
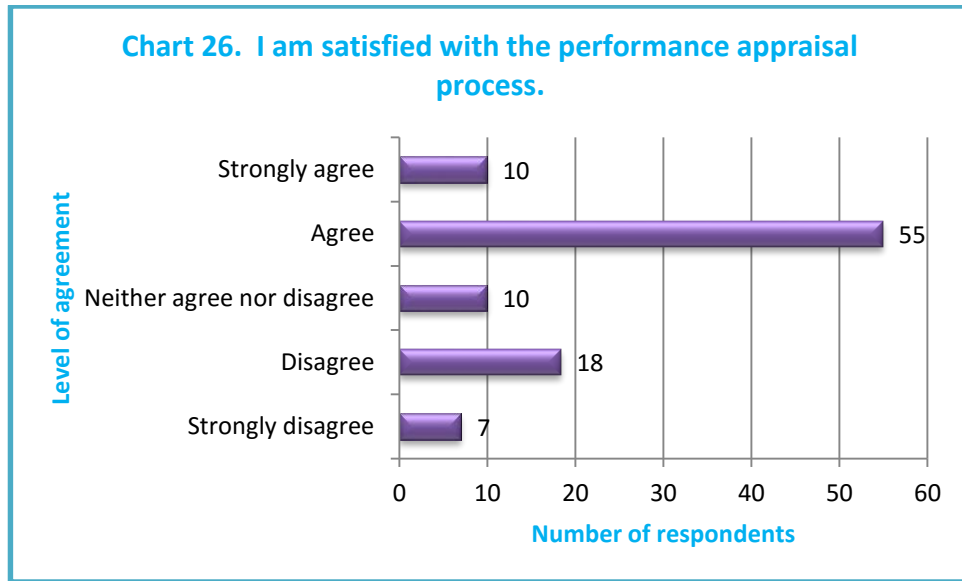
Chart 27 shows the results of Item 31. The results indicate that 56% of the respondents agreed, 10% strongly agreed that they were satisfied with the rating that they received for the most recent rating period. 10% disagreed and 16% of the respondents who neither agreed nor disagreed. 9% of the respondents strongly disagree.

Chart 27. I am satisfied with the performance rating that I received for the most recent rating period of time.

Level of agreement	Number of respondents
Strongly agree	10
Agree	56
Neither agree nor disagree	16
Disagree	10
Strongly disagree	9

85
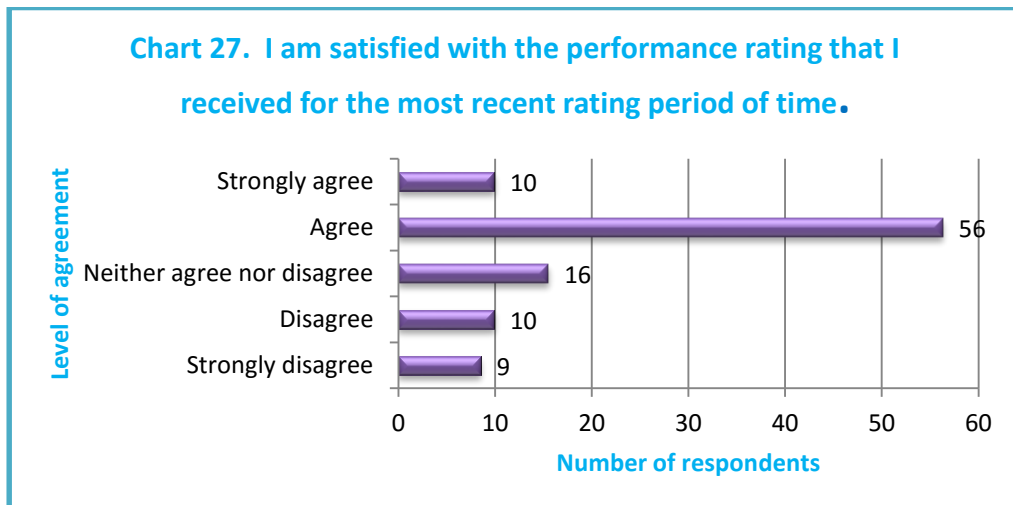
In Item 35, the results in Chart 28 show that 51% of the respondents agreed, and 28% strongly agreed that they were satisfied with the quality of supervision they received at work from their supervisor. Further, 7% disagreed and 14% neither agreed nor disagreed with the statement. There was no respondent who expressed strong disagreement with the statement.

Chart 28. Overall, I am satisfied with the quality of supervision I receive at work from my supervisor.

Level of agreement	Number of respondents
Strongly agree	28
Agree	51
Neither agree nor disagree	14
Disagree	7
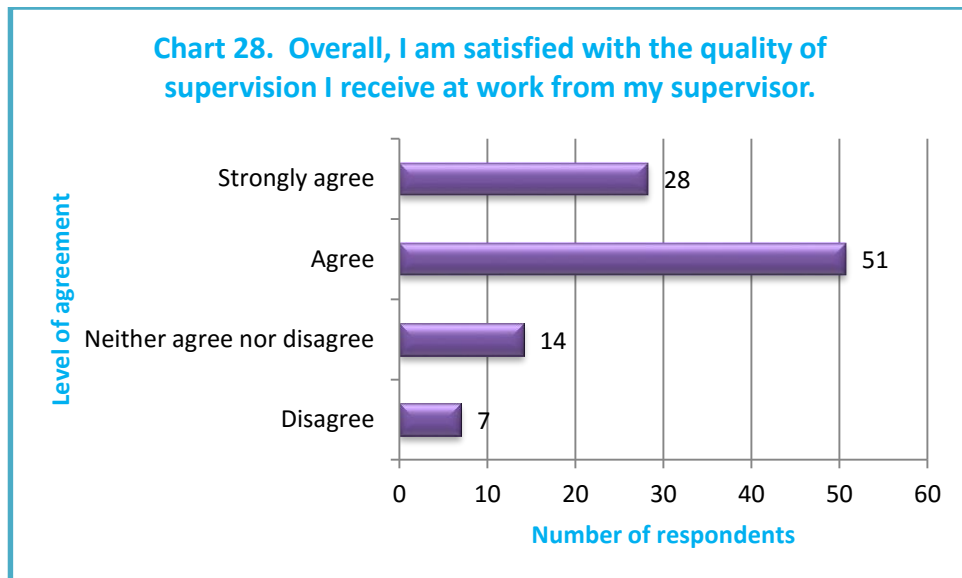
The results shown in Chart 29 indicate that 57% of the respondents agreed with the statement that the method that the performance appraisal system used to set employee's performance expectations for each rating period was satisfactory. The results also show that 13% strongly agreed with the statement. Further, the chart shows that 13% disagreed with the statement with 13% neither agreeing nor disagreeing with the statement and 3% strongly disagreed.

Chart 29. The methods that the performance appraisal system uses to set my performance expectations for each rating period is satisfactory.

Level of agreement	Number of respondents
Strongly agree	13
Agree	57
Neither agree nor disagree	13
Disagree	13
Strongly disagree	3
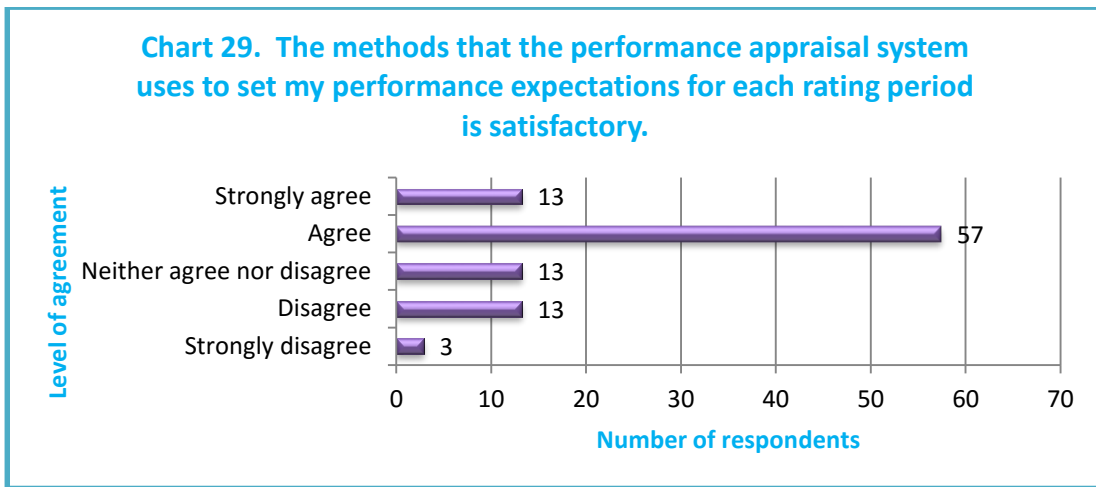
4.4.9 Research question number 9: This question sought to solicit what factors influenced respondent's perceptions about the appraisal. Items 28, 29, 30, and 32 provided answers to the question.

In Item 28, the results in Chart 30 show that 39% of the respondents agreed, 11% strongly agreed that performance appraisal demanded too much time and effort from employees, 40% disagreed and 9% neither agreed nor disagreed whereas 6% strongly disagreed.

Chart 30. Performance appraisal demands too much time and effort from employees.

Level of agreement	Number of respondents
Strongly agree	11
Agree	39
Neither agree nor disagree	9
Disagree	34
Strongly disagree	6
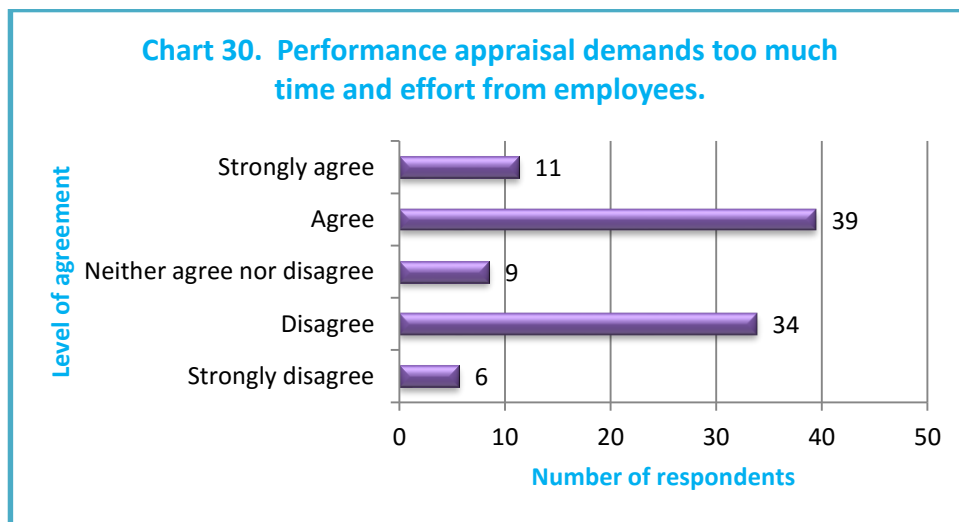
In Item 29, Chart 31 shows that 35% of the respondents agreed that performance appraisal demands too much time and effort from their supervisors, 11% strongly agreed, 40% disagreed and 14% neither agreed nor disagreed with 6% of the respondents who strongly disagreed with the statement.

Chart 31. Performance appraisal demands too much time and effort from supervisors.

Level of agreement	Number of respondents
Strongly agree	11
Agree	35
Neither agree nor disagree	14
Disagree	38
Strongly disagree	3
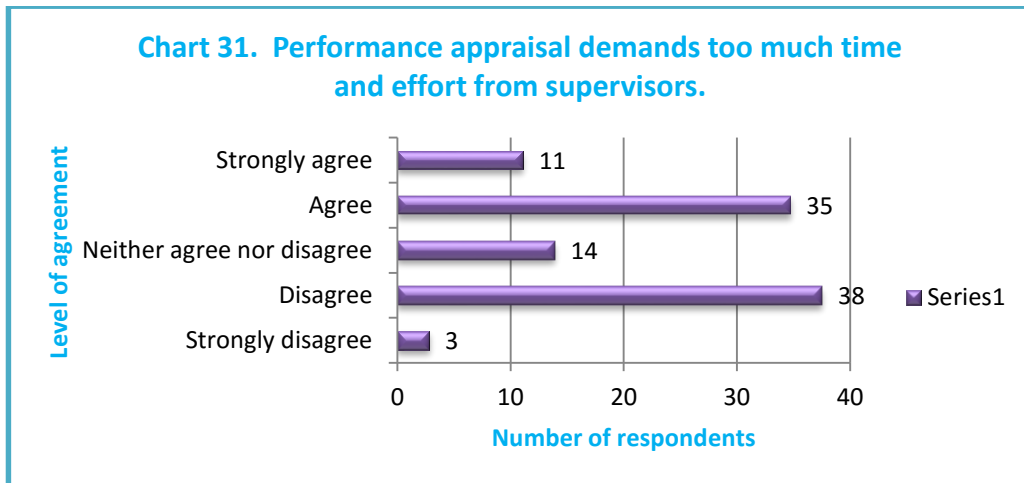
Item 30 requested responses on whether supervisors in the institution are competent to conduct performance appraisals. The results in Chart 32 show that 61% of the respondents agreed, 10% strongly agreed with the statement in this item. 19% disagreed and 8% neither agree nor disagreed. An insignificant 1% strongly disagreed with the statement.

Chart 32. Supervisors in your institution are competent to conduct performance appraisals.

Level of agreement	Number of respondents
Strongly agree	10
Agree	61
Neither agree nor disagree	8
Disagree	19
Strongly disagree	1
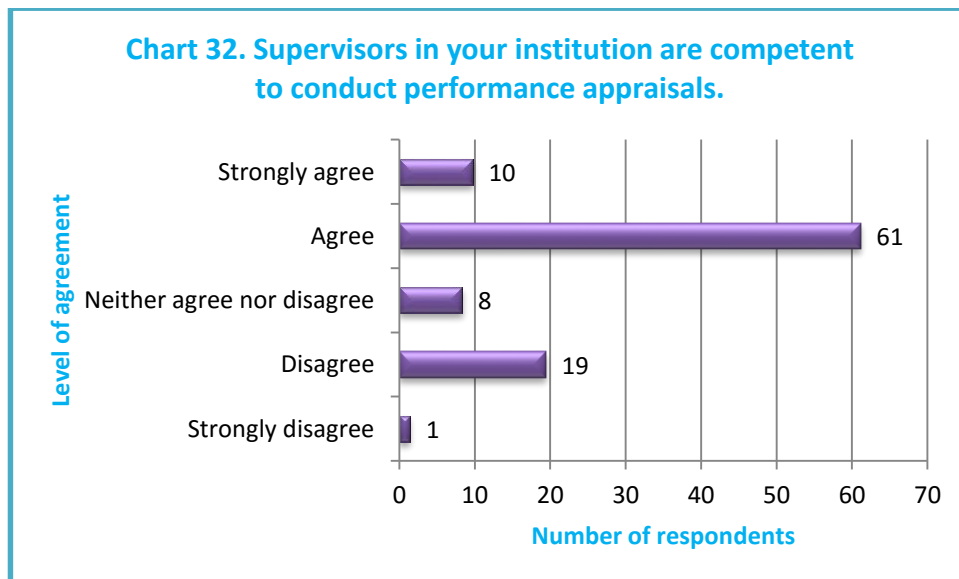
Item 31 requested responses on how satisfied they were with the performance rating that they received for the most recent rating period of time. The result shows that the 56% of the respondents agreed, 10% strongly agreed, 10% disagreed and 16% neither agreed nor disagreed. 9% of the respondents strongly disagreed with the statement.

Chart 33. I am satisfied with the performance rating that I received for the most recent rating period of time.

Level of agreement	Number of respondents
Strongly agree	10
Agree	56
Neither agree nor disagree	16
Disagree	10
Strongly disagree	9
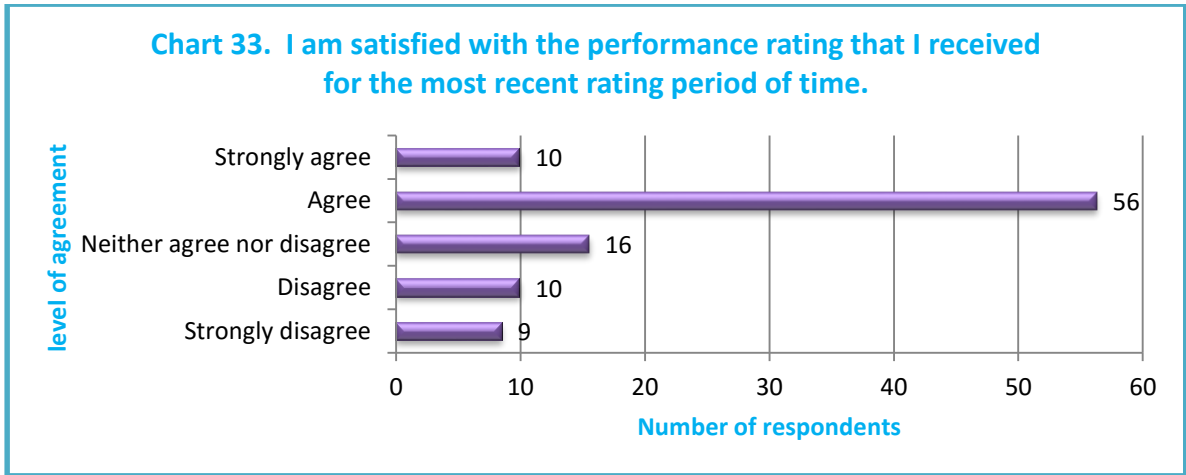
Item 32 requested responses on whether the most recent performance rating was fair. The results indicated that 56% agreed with the statement, 10% strongly agreed that the most recent performance rating was fair 13% disagreed while 14% neither agreed nor disagreed. 7% strongly disagreed with the statement that the most recent performance rating was fair.

Chart 34. My most recent performance rating was fair.

Level of agreement	Number of respondents
Strongly agree	10
Agree	56
Neither agree nor disagree	14
Disagree	13
Strongly disagree	7
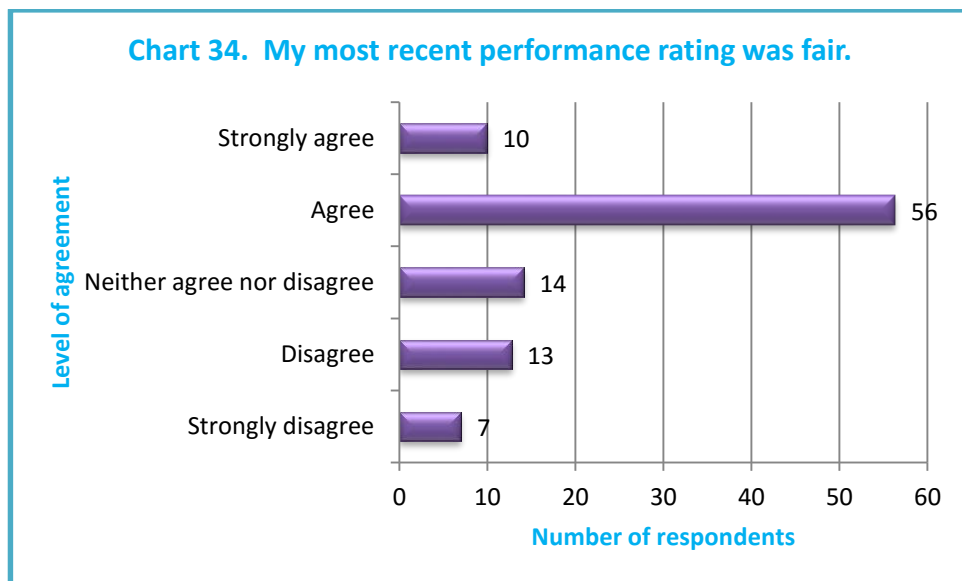
4.4.10 Responses to open-ended questions:

4.4.10.1   The final question in the questionnaire allowed the respondents to comment or elaborate on any of the issues addressed in the questionnaire that would complement the research study. There were four items that required the respondents to respond to the statement. Item 8 required the respondent to state other aspects of appraisal covered during

the training. Item 53 asked how performance appraisal could be improved in their institutions and Item 54 asked for suggestions on how performance appraisal could be effective in meeting its objectives in institutions.

Ten respondents responded to this item and gave the following aspects: "Self-evaluation", "departmental work plans", "Performance appraisal helps the worker know if he/she is doing well", "The atmosphere for the meeting", To set personal goals outside workplace", "The importance of confidentiality between appraiser and appraise", "The performance appraisal is very encouraging to my work", "Effective feedback".

There were 51 responses to Item 53 on how performance appraisal could be improved. The significant themes of comments included:

Number of appraisals:

- Appraisal meetings to be done at least twice a year
- Conduct performance appraisal quarterly
- To be done termly (3times a year)
- Conduct them fairly every year by immediate supervisors
- Appraisals to be done at least twice a year
- By conducting it at least once a year
- To be done termly (3times a year)
- Performance appraisals should be one once very year
- Conduct them fairly every year by immediate supervisors
- It can be improved by meeting staff twice in a year
- Performance appraisals should be conducted whenever there is a new employee
- Can be improved by meeting every term to discuss the way forward
- By setting a week in the academic calendar for performance appraisals

Supervisor Knowledge:

- Assign supervisors that have the sufficient technical knowledge in line with those appraised.
- Supervisor should have technical knowledge

Ratings:

- Set standard and ratings at planning stage
- The recommendation and rate given should not be questioned by higher authorities
- Not to discriminate when it comes to ratings

Participation:

- To allow views from both parties the supervisor and employee, not supervisor alone

Increments/Incentives:

- By performance appraisal and giving notches then increment of salaries
- It can improve by awarding the employees
- Implementation of appraisals and notches to those who deserve
- By giving pay raises to deserving employees (those meeting set standards)
- Lack of financial support affects appraisee score
- To provide what is needed for that particular work and each other to work hard

Feedback:

- Employees should be given feedback
- Requires consistency and feedback to be communicated and implemented

- It can be improved once we get feedback about our work
- By paying attention to the details of the targets and how they could be achieved throughout the period
- Give feedback to the employees on how they have performed periodically
- Should be collaborative and feedback given immediately after appraisal
- By providing immediate feedback
- Improve feedback for employees to know how they are doing
- Feedback should be given back in writing to encourage performance improvement
- The overall comments from the principal should be made known to me

Training in appraisal:

- Train staff on what the ratings mean and how they come about
- Educating the employees on the importance of performance appraisals
- By conducting training and appraisal immediately, one reports for work
- Supervisors need training

Planning/Target Setting:

- Making sure targets are agreed upon by both appraiser and appraise
- They should be seriousness in the planning session. Goal setting should be done mutually
- Follow set objectives

General Comments:

- The current system is working fine
- If management paid attention to detail especially which comes from the people doing the actual work
- By incorporating ideas from all stage holders

- By providing all necessary equipment and materials for the work to be done
- It should be developed to meet the college needs and objectives, not the current system
- The recommendation from supervisors should be taken seriously
- Should be done consistently
- The objective targets have realised with management support
- To make sure it benefits the employees external training or notch
- To hold meetings
- Make sure that meetings are held
- The system being used is for products, not service provision

Procedure:

- Need one independent person doing the appraisal not head from one department

There were five comments on Item 59 which on consideration were of no significance to the study.

4.5   Summary

This chapter has presented analyses of the data generated by the responses of 73 (57%) of the 129 employees of the two public TEVET institutions. Evidence from the two institutions indicates that the institutions use performance appraisal in their performance management systems. The survey instrument, 'employee perceptions of performance appraisal in public technical vocational and entrepreneurship training institutions in Zambia' (Appendix F), was used to determine what perceptions the respondents had about performance appraisal, the perceived benefits and challenges they experienced in using performance appraisal. This information was used to answer the research questions that guided this study. A discussion of the results, conclusions, implications, and recommendations based on the data analysis is presented in Chapter 5.

CHAPTER 5   SUMMARY, IMPLICATIONS, AND RECOMMENDATIONS

5.1   The statement of the problem

The focus of this study was to determine employee's perception of performance appraisal in the public TEVET institutions in Zambia.   The study was limited to two public TEVET institutions located in the Southern Province of Zambia. The two institutions are part of the of the public TEVET institutions in Zambia under the Ministry of Education Science Vocational Training and Early Education because there is nothing written in the literature on performance appraisal for these institutions, and because the researcher had an employment relationship with one institution. A review of the literature did not yield any study focusing on employee perceptions of performance appraisal in the public TEVET institutions in Zambia, and, therefore, the present study was informed by the work on these issues in other areas. The purpose of the study was to determine, based on the information from the employees at each institution what opinions they held about the appraisal systems in their institutions and to understand the challenges that the institutions had in using them. The study found that these institutions were using this tool effectively with their staff, and indicated that they were getting significant benefits that performance appraisal can generate. The study further found that the respondents were satisfied with the performance appraisal process in their institutions.   Nonetheless, there were comments about the frequency of appraisals in the institutions. A paltry 35% indicated that their appraisals more than twice a year. Regular appraisals are necessary for that issues are dealt with timely.

5.2   Methodology

The format chosen to conduct this study was a self-administered questionnaire. The eligible employees were asked to complete the questionnaire at their institutions. A total of 73 (60%) of the 129 employees completed and returned the questionnaire.   To ensure anonymity of the respondents, the researcher requested the assistance of the office orderly to receive the completed questionnaire in sealed envelopes and hand into the researcher. Due to this action, the respondents were assured of privacy and anonymity.

Staff lists from the institutions were collected from the administration staff to confirm the staffing levels of each institution and ensure that only eligible employees participated in the study. The assistance of the institution was sought to ensure only employees who had done an appraisal were allowed to complete the consent form and subsequently complete the questionnaire.

5.3   Summary and Discussion of the Findings

5.3.1   Introduction

Performance appraisal is a critical component of this framework under this study, particularly as it relates to elements of performance appraisal. The performance appraisal component contains certain system requirements that are necessary for performance appraisal to be successful. The requirements include: (a) a dual focus on employee and organizational improvement, (b) a link from performance appraisal to institutional productivity and rewards, (c) the recognition of contextual constraints on employee performance, (d) the constant involvement of all stakeholders, (e) the requirement that procedures are clear, open, and fair, (f) ongoing review and update of position requirements, (g) the requirement that appraisers show leadership and recognise their unique contribution to the results of the appraisals, and (h) the avoidance of all systematic biases (Winston and Creamer, 1997:281-282). The following discussion relates the findings of this study to the components of the framework.

5.3.2   Research Question 1

What perceptions do employees in management, academic and non-academic departments of the two public TEVET institutions hold about whether performance appraisal is used to evaluate comparatively employees, to decide salary incentives and promotions about their contribution to the institution?

The results of this research indicated that performance appraisal was in use the in the two institutions because it was mandatory for all public TEVET institutions to implement the Performance Management Package (PMP) and Annual Performance Appraisal (APAS). However, the existence of a performance appraisal system at an institution does not necessarily guarantee that the system was being used consistently and with all employees. It merely means that the institution did have a performance appraisal system in place. Comments from the current study included statements from the respondents that performance appraisal was being consistently utilised in the two institutions. The study noted that more respondents at the institutions received appraisals (64 out of 67) only three of the respondents did not. There was an explanation to this; the three employees had not yet done their appraisal at the time of the administration of the questionnaire.

The current study discovered that none of the two institutions used a manual system using a word-processing programme. This finding suggests that either: (a) the institutions did not consider that the use of a software program written specifically for performance appraisal created sufficient benefit to justify the cost of purchasing a software system, (b) performance appraisal was not a high enough priority to justify the time and money needed to evaluate, purchase, and implement a new system, or (c) there were no resources available for any new programs or improvements to existing programs. From some of the responses to the open-ended question received in the survey, the probable reason was performance appraisal not a high enough priority or deemed important enough at these institutions to warrant it being allocated additional time and money.

One of the questions asked the respondents how performance appraisal was used in their institution. The literature on the purposes of performance appraisal suggests that it serves two main purposes: the evaluative (or administrative) and the second is developmental (Dessler, 2007:313). The evaluative function refers to the extent to which there has been progressing toward goals as a result of the employee's efforts. It reviews past performance in light of the results achieved. It can include the use of performance appraisal for salary management, promotions, terminations, confirmations, and identifying poor performance. It is used not only to enable organisations to make decisions about individuals but also to compare employees in the same category objectively. On the other hand, the development function of performance appraisal is forward looking, directed towards increasing the

capacity of employees to be more productive, effective, efficient and satisfied in the future. It covers such things as job skills, career planning, employee motivation, and effective coaching between employees and supervisors. It is any endeavour concerned with enhancing attitudes, experiences, and skills that improve the effectiveness of employees. In the current study (78%) of the respondents indicated that their institution used performance appraisal to review performance and to improve performance this suggests that most respondents felt that performance appraisal should be used for both purposes simultaneously. Boswell and Bourdeau (2002:392) found that some research indicated that the developmental and evaluative purposes of performance appraisal are incompatible and should not be used together while other research showed there is either no correlation or a slight positive correlation when they are used together.

When the respondents were asked about the frequency in which performance appraisals were given to their employees, 35% responded that their institutions gave annual appraisals. In reading through the literature on this topic, an annual performance appraisal was by far the most common frequency. In fact, the word "annual" is often incorporated into the name of the system or process used at an institution, and performance appraisals are commonly called "annual reviews" or "annual appraisals". They are most frequently given annually because they are typically related to the institutional strategic planning process and the annual employee salary evaluation process. Institutions typically engage in an annual planning process that includes both long-range strategic planning and an annual budget process. Since the performance appraisal process helps link the goals and outcomes of individual employees to the institutional goals, it makes sense that the appraisal process would also occur annually. Also, because institutions often link annual salary evaluations to the results of performance appraisals, it is logical that the term of the appraisal process would coincide with the salary evaluation process.

5.3.3   Research Question 2

Do employees perceive that performance appraisal is used to provide feedback, identify strengths and weaknesses, determine transfers and assignments and establish individual training needs?

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The results of the research indicate strong agreement with the literature in the area of benefits received by the institutions in the study. As discussed in Chapter 4, the two statements in the questionnaire that described possible benefits of performance appraisal received a rating of Strongly Agree or Agree from 69% of the respondents and went as high as 79% of the respondents this result supports the research by Grote (2002:5), as well as Mathis and Jackson, (2010:323) who found that the appraisal process can provide a managerial instrument for goal setting and performance planning with employees, encourage interaction concerning employee growth and development, make available a basis for wage and salary changes, and generate information for a variety of human resource decisions. These results support the findings of Murphy and Cleveland (1995) who identified a number of ways in which performance appraisal could help organisations by a) forming a basis for decisions regarding promotions, confirmations, and pay, b) improving employees' decisions concerning individual development needs and talent, and c) providing tools for evaluating the effectiveness of current or planned ways of operating.

Finally, the results of the research also support the statement by Murphy et al. (1995) that none of the possible benefits will automatically accrue to an organisation due to the mere presence of a performance appraisal system. Rather, the organisation must plan and implement its performance appraisal system well to incur some or all of these benefits. The results of this study found that the institutions did use a performance appraisal system, but they were not receiving all the potential benefits that an appraisal system could offer. It was observed, either directly or implied, in the responses to the open-ended questions in the questionnaire that asked respondents to comment or make suggestions that would make for performance appraisal to be effective in meeting its objectives (see Chapter 4). These comments addressed several of the other principles found in the conceptual framework that was not being well implemented but is identified as critical to a successful performance appraisal system. These included the recognition of contextual constraints on employee performance, the constant involvement of all stakeholders, the requirement that procedures are clear, open and fair, the requirement that appraisers show leadership and recognise their unique contribution to the results of the appraisals, and the avoidance of all systematic biases and rater errors.

5.3.4   Research Question 3

Do employees perceive that performance appraisal is used to determine the type of training and development needed by employees to assist employees in enhancing skills and capabilities? In the current study, it was found that 42.6% of the respondents either agreed or strongly agreed with their institution's appraisal system and 16.0% were dissatisfied. The performance appraisal forms a strong basis for deciding employee strengths and weaknesses in order to determine areas of employee development (Dessler 2007:310).

5.3.5   Research Question 4

To what extent has performance appraisal been integrated into the institutions' culture and how it is contributing to the overall performance of the institutions?

This Study found a strong agreement among the respondents about the integration of performance appraisal in the institution's culture. Seventy-one percent of the respondents agreed or strongly agreed that performance appraisal was integrated into their institutions, 15% disagree or strongly disagreed.

The system-wide controls gradually replace practical evaluation that relates purpose, values and administrative systems. According to Mendonca et al. (1996:66), the effectiveness of the performance management system including annual performance appraisal system could be impaired if these local conditions and considerations of the culture fit are not considered in performance appraisal.

5.3.6   Research Question 5

Is performance appraisal used to recognise good performance and identify poor performance to decide ultimately on promotions, retention and termination?

Most of the respondents (69%) agreed or strongly agreed with the statement that performance appraisal is used to identify poor performance to decide ultimately on

promotions, retention and terminations. The positive result supports the need for organisations to ensure the proper use of the appraisal system (Boswel and Boudreau, 2002:392).

5.3.7 Research Question 6

Do employees perceive the appraisal system as fair?

Fairness in performance appraisal literature has received great interest. According to Blader and Tyler (2003:748), performance appraisal will not be successful unless concerned people perceive it as a fair system. Folger et al. (1989:125) asserted that employees' fairness (justice) perceptions of the PAS are helpful in determining the system's success and usefulness. Bretz et al., (1992:20) state that fairness in the appraisal is one of the most important issues that organisations face.

The results posit a favourable result in that 56.5% of the respondents agreed, 11.5 % strongly agreed with the statement that performance appraisal system was fair in their institutions. The results further show that 10% agreed or strongly disagreed with the statement. It was noted that a relatively significant 21% neither agree nor disagreed with the statement. The finding is in support of current literature that suggests that employee's perceptions of fairness in the performance appraisal have an impact on their attitude and behaviour in the organisation.

5.3.8 Research Question 7

Do employees perceive that their raters are competent?

There were two statements about rater familiarity with performance planning and review rating procedures and the supervisor who knew very well what the respondent did their work. There was strong to very strong agreement (69% to 78%) with both statements.

Notably, 30% of the respondents strongly agreed that they were assigned a rater who knew how well they were going.

Longenecker et al. (1996:151) have acknowledged the challenges connected with the design, implementation, and functional use of appraisal systems. The responses in the current study indicated agreement with several of the challenges and pitfalls found in the literature regarding the use of a performance appraisal system (Bretz et al., 1992:20). These include (a) the validity of the ratings is reduced by supervisory resistance to give the ratings, particularly negative ratings, (b) the supervisor's personal values and bias can replace organisational standards in the evaluation process, and (c) standards and ratings vary widely and sometimes unfairly from supervisor to supervisor. The total of the Strongly Agree and Agree responses for these challenges was significant, ranging from 46% to 80%. Finally, there was notable support in the current study for the statements that said that performance appraisal demands too much time and effort from employees and supervisors (51%), (45%). There was agreement that negative feedback from appraisal demotivated the employees (46%). Two of the challenges and pitfalls noted in the literature can arise when an institution does not permit supervisors and employees to provide input in the design, development, and choice of criteria used in the appraisal, and the performance appraisal system is not periodically reviewed and changed to ensure its effectiveness. The current study found that 71% of the respondents agreed that they were allowed provide input in the appraisal, and 55% agreed that the appraisal system in their institutions was periodically reviewed and changed to ensure its effectiveness.

5.3.9   Research Question 8

Are employees satisfied with the performance appraisal system?

There were three statements for this question. The statements asked how they agreed or disagreed with the statements that they were satisfied with the performance appraisal process in their college/institute; satisfied with the performance rating in their most recent period and satisfied with the method that the performance appraisal is used to evaluate and rate their performance. The results indicate strong agreement with all the three statements. Sixty-four percent agreed or strongly agreed that they were satisfied with the appraisal

process; 66% agreed or strongly agreed satisfied with the performance rating in their most recent period; 58% of the respondents were satisfied with the method that the performance appraisal is used to evaluate and rate their performance.

Employee satisfaction with a performance appraisal is very important in organisations. The finding is in support of current literature that suggests that employee's perceptions of satisfaction with the performance appraisal have an impact on their attitude and behaviour in the organisation (Getnet 2014:182).

5.3.10   Research Question 9

The research question asked what factors influence employees' perceptions about the appraisal.

Raters are vulnerable to biases that may inadvertently affect the outcome of the evaluation process. The rater and the ratees' knowledge of previous performance appear to affect information processing by framing or anchoring current judgements. Research indicated that knowledge of previous performance caused contrast effects (i.e., bias away from the level of previous performance) rather than assimilation effects Bretz, et al. (1992:22).

For the performance appraisal to be perceived as fair, it must be free of bias Boachie-Mensah et al., (2012:54). Appraisal errors can impair positive perceptions of pay system fairness by confusing the relationship between actual performance differences. Regular training of supervisors is critical to minimise appraisal errors and biases (Kondrasuk, 2011:65; Roberts, 2002:94). Ratee issues mainly deal with motivation, reaction to performance appraisal and participation. Research suggests that employees should be: (a) engaged in setting performance standards. (b) Participate in performance reviews and assessments. (c) Be positive when accepting results of the performance reviews and assessments, whether negative or positive. (d) Be involved in developing their personal performance plans, ensuring their developmental needs are met Boachie-Mensah et al., (2012:75). Trust is an important element in managing the supervisor-employee relationship. Greater confidence and commitment, improved job performance, more

helpful citizenship behaviours, improved customer satisfaction, and diminished conflict (Ochoti et al., 2012:41). If ratees have low levels of trust for their supervisor, they may be less satisfied with the appraisal and may not readily accept feedback from that source (Getnet, Jebena and Tsegaye, 2014:182).

5.4   Implications for Practice

The results of this study showed that both institutions were using a performance appraisal system for their staff. According to the results of the current study, which support much of the literature on this topic, these institutions could receive some or all of the following benefits if they implemented an appraisal system:

(a)   Provide a tool for goal setting and performance planning with their employees

(b)   Provide written feedback to employees about their performance

(c)   Encourage performance improvement

(d)   Provide a basis for increasing salaries and other performance related incentives.

(e)   Provide support for administrative decisions affecting employees such as promotions, transfers and terminations

(f)   Determine individual and organisational training and development needs

(g)   Improve overall organisational improvement.

Today's competitive learning environment demands ever increasing productivity, efficiency and quality. TEVET institutions must emulate manufacturers who have tended to be quick to look to automation to improve their manufacturing processes, improving yields, reducing waste and shortening production cycles. Nevertheless, automation can produce similar results in these areas. Many human resource processes have shown to benefit from the use of automated tools these are talent management, which encompasses recruiting, employee performance management, learning management, compensation and succession planning. Employee performance management includes performance reviews, goal setting and alignment, competency/job skills management and employee development planning. There is on the market software that automates these employee performance management

processes that can save money by reducing the time required to evaluate employees; reducing the duration of the employee performance management process cycle by making it more efficient; improve the workflow between supervisors, employees and human resource, again increasing efficiency; increase manager and employee participation, and `on time' completion rates; and, make it easier to demonstrate compliance with institutional performance management policies.

From the researcher's experience, automated employee performance management tools help institutions to align the employees by linking employee goals and job accountabilities to organisational objectives; build organisational bench strength by developing key competencies and job skills; deliver higher quality, more accurate and more consistent employee evaluations; and, better identify and address skills development and learning needs. Automated employee performance management software allows the capture of organisational, unit and departmental goals in the tool, and makes them readily available to employees. Employees link their individual goals to higher level organisational goals and document their incremental progress on goals. Supervisors can then clearly see how employee goals are contributing to the organisation's, and identify issues at a glance. They can also effectively monitor progress on goals, up and down the reporting chain. By clearly seeing how employees are contributing to the organisational goals, managers can be sure the right people are working on the right things and supporting the organisation's strategy.

Effectively aligning employee goals with organisational goals also tends to increase employee engagement and drive higher performance. It does this by giving employees a clear context for their work and an understanding of their impact on the organisation. To improve and succeed, employees need ongoing feedback on their performance. This study has asserted the need for employees need to know what they are doing well and where they can improve.

Automated employee performance management tools make it easier for supervisors to give their employees feedback in a variety of ways. Firstly, they make performance evaluations faster and easier for superiors to complete so that organisations can improve employee participation rates increase. The turnaround in automated performance appraisal systems ensures more employees get the performance feedback they need. Some solutions can even

overcome the issue of computer accessibility for production floor workers, by collecting their input and electronic signature during their performance review, right from their supervisor's workstation. Secondly, automated performance management tools usually allow for the provision of descriptions of ratings, especially for job skills, and force supervisors to use a prescribed rating scale helping to improve the consistency of ratings, which results in employees perceiving the process to be fairer and taking the feedback and ratings more seriously. Finally, automated employee performance management tools offer supervisors sample comment suggestions to use when writing feedback for an employee. They may even include coaching and development tips. Receiving feedback on performance is a known contributor to employee engagement. By setting clear goals for employees, communicating required competencies and setting standards for high performance, automated employee performance management tools allow supervisors and employees to identify better performance gaps. Some tools allow managers to access a catalogue of available professional development activities right from within the employee's performance evaluation, so they can assign appropriate development activities while they're reviewing employee performance. Supervisors can even track the completion of assigned development activities and measure the associated improvement in employee performance, so they can easily verify that the skill gap has been closed. This functionality is especially useful for addressing most institutional compliance and reporting requirements. Automating employee evaluation process also allows identification and address critical skill gaps and talent requirements at an organisational level. Reporting capabilities allow for easy review competency ratings, performance ratings for goals and overall ratings for an individual, a group or the entire institution. This way, institutions proactively identify trends, areas of strength and potential organisational weaknesses, and put the appropriate learning and development programmes in place to address them effectively. The two institutions need to optimise their productivity, efficiency and quality of products and processes; the two institutions need to optimise the productivity, efficiency and quality of their people. Streamlining their employee performance management process and forms by automating them is one great way to achieve this.

The use of performance appraisal for both reviewing past performance (evaluative) and improving employee effectiveness of the employees (developmental) in the two institutions suggests that these institutions have derived significant value in using the performance

appraisal system in their performance management. According to the responses to Item 52 on how many appraisal meetings the respondents had in a year, 12% had been appraised four times a year, 30% three times, 18% twice, 36% once a year and 5% had none at all. The 5% had not had their appraisal at the time of the administration of the questionnaire. Although 60% of the respondents indicated that they had appraisal meeting more than twice a year, several comments indicated there was considerable inconsistency in the frequency of appraisal meetings in the institutions. Some comments suggested, at least, two appraisals meeting in the cycle.

Failure to give an opportunity to be evaluated can negatively impact the morale of employees when they see the appraisal process used inconsistently within their unit/department or across multiple departments. Appraisal process used inconsistently seem unfair to some employees, particularly if their reward is impacted by the result of, or lack of, a current performance appraisal. It also diminishes the perceived value of the entire appraisal process when it is inconsistently used within the institution because it suggests that the management of the institution does not value the performance appraisal process. The implication is that leadership in the two institutions should ensure that employees were regularly evaluated and that supervisors ensured consistency throughout the institution.

Respondents were asked if performance appraisal was used to enable decisions concerning pay increases, promotions, confirmations, retention and termination, 12% said they neither agreed nor disagreed with this statement. 75% of the respondents agreed with this statement. The high percentage suggests that performance appraisal is used for this purpose at these institutions. An additional 13% of the respondents responded that they Disagreed or Strongly Disagreed with this statement. Thus, up to 56.6% of the respondents did not indicate performance appraisal was used to facilitate decisions concerning pay increases, promotions, and layoffs. The implication is that these institutions had increased the relevancy, usefulness, and importance of performance appraisal as a factor in decisions concerning pay changes and job changes.

One weakness revealed in this study was the lack of training for employees in performance appraisal. Training performance appraisal increased commitment to the process and the use of performance appraisal to determine individual and organisational training and

development needs. 69% of the respondents said their institution used performance appraisal to determine training and development needs. Training of staff in institutions of learning should be a continuous process to enable employees, especially the academic staff to continuously develop their skills and competencies in line with trends in the industry.

There was weak support (45%) in the study among the respondents that the performance appraisal process did not demand too much time and effort from supervisors. But, there was stronger support (50%) that performance appraisal process did not demand too much time and effort from employees. This result was expected as there little support in the literature for the argument that performance appraisal demanded too much time and effort from supervisors, or employees. The implication is that institutions should not agree on these notions two issues as reasons for not doing performance appraisal.

There was also relatively high support among the respondents in the study for the statements that standards and ratings varied among supervisors and sometimes unfairly and that the supervisor's personal values and bias replace organisational standards in the appraisal process, reducing the validity of the ratings. These potential biases can affect employee perception about performance appraisal. The biases can, however, be reduced by effective supervisor training.

Finally, of the 73 respondents to the survey, 65% indicated that they agreed or strongly agreed with the statement about being satisfied with the performance appraisal process. The 10% of the respondents neither agreed nor strongly disagreed whereas 25% disagreed or strongly disagreed with the statement. The implication of this is that employees in these institutions have embraced the performance appraisal process and the positive perception of the concept.

Below is a brief summary of the implications mentioned above for human resource practice:

a. Institutions that do not have an automated appraisal system should consider implementing such a system to improve their appraisal process and to increase its ease of use.

b. Institutions could increase the perceived value and benefit of performance appraisal by providing the resources needed to do performance appraisal well.

c. Institutions can reduce the impact of potential biases in the appraisal process by providing regular and thorough training for their supervisors.

d. Institutions can increase the success of their appraisal systems by soliciting more input into their appraisal systems from staff and managers, and by periodically reviewing and changing their appraisal systems to ensure their effectiveness.

e. Institutions should use performance appraisal to identify the training and development needs of their staff.

f. Institutions should continuously train supervisors and employees on performance appraisal process.

5.5   Implications for Future Research and Recommendations

The strength of this study was the satisfactory response rate obtained from the questionnaire and the value of the replies. The satisfactory response rate provided substantial credibility for the answers from this population, and it indicated a positive perception of performance appraisal in the two institutions.

A key finding of the study is that although the employees have a very positive perception of performance appraisal, there are significant criticisms and challenges being faced by the institutions. These challenges and criticisms suggest that there is need to ensure the issues raised by respondents regarding the frequency of appraisal, and the various standards of rating by supervisors are resolved.

If the study was done again, the mixed design approach would be adapted to seek more direct input from the respondents concerning how their current appraisal system could be improved through in-depth interviews and focus group discussions. Employees who are

most closely involved in a process have the most insight into how improvements could be made. In the open-ended question, some responses addressed this issue, but the study could have been more intentional in seeking out this information.

The study could have also been strengthened by asking additional open-ended questions where more in-depth explanations and understandings could have been obtained from the respondents. Responses from in-depth questions would have brought greater clarity and understanding to some of the responses received in the study

5.6   Limitations

The study provides useful insights into employee perceptions of performance appraisal in the two public TEVET institutions in Zambia. Although the study demonstrated the importance of effective performance appraisal in improving performance in an educational institution context, the results need to be interpreted within the context and the limitation of survey research. In particular, the attention of this study was to the perception of employees within the two public TEVET institutions. Therefore, the findings cannot be described as a reflection of the general state of affairs in other public TEVET institutions in Zambia. By the observations in the study area, future research should focus on a national-wide research involving all public TEVET institutions.

5.7   Recommendations

Based on the research presented in this study, the following recommendations are made for future study:

5.7.1.   It is recommended that this study is replicated with all public TEVET institutions in Zambia to determine if there are differences in perceptions of employees in the institutions.

5.7.2   It is recommended that this study is expanded to include private TEVET institutions in Zambia to determine if there are differences between the public TEVET institutions and the private TEVET Institutions.

5.7.3   It is recommended that research is completed to determine appropriate types of performance appraisal training that are provided to supervisors by some institutions to determine which types of training are most effective for the success of performance appraisal systems in public TEVET institutions.

5.7   Conclusion

In this chapter, the conclusions, limitations and recommendations for the present study were presented. The research findings of the literature review and quantitative study were assessed against the research aims set out in chapter 1. The research findings and conclusions of this quantitative study were presented to provide an understanding of the employee perceptions and experiences of performance appraisal by employees in the two public TEVET institutions in Zambia. The limitations of the study were explained in this context. Finally, recommendations were made for future research.

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Appendix A

UNIVERSITY OF SOUTH AFRICA
(UNISA)

Introduction

Dear Respondent,

EMPLOYEE PERCEPTIONS OF PERFORMANCE APPRAISAL IN PUBLIC VOCATIONAL TRAINING INSTITUTIONS IN ZAMBIA

Thank you for accepting to participate in this survey. Your contribution is highly valued. Be assured that your answers will be kept in the **STRICTEST CONFIDENCE**. All the information from the questionnaires will be aggregated, and not one will be able to trace your answers.

IT IS EXTREMELY IMPORTANT THAT YOU GIVE HONEST RESPONSES THAT REFLECT WHAT YOU FEEL ABOUT EACH QUESTION/STATEMENT.

IF YOU HAVE NOT ATTENDED AN APPRAISAL INTERVIEW/MEETING, PLEASE DO NOT ANSWER ANY OF THE QUESTIONS AND RETURN THIS QUESTIONNAIRE TO THE VICE PRINCIPAL/TRAINING AND CONSULTANCY MANAGER.

After completing the questionnaire, please place it in the envelope provided and hand it into the **Vice Principal/Training and Consultancy Manager.**

Thank you very much for your participation and your valuable time.

PLEASE CIRCLE THE RESPONSE THAT MATCHES YOUR THINKING

EXAMPLE:

1.   Performance Appraisal has been effective in enhancing your capacity to improve classroom practice.

		Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree
4.	Appraisal standards and ratings vary widely from supervisor to supervisor.	5	4	3	2	1

Part 1
Training in performance appraisal

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- **In question 1** below, if your answer is **YES**, please circle the **number 1** next to the word **YES** and continue from question **2**.
- If your answer is **NO**, please circle the **number 2** next to the word **NO** and continue from question **9**.

1. Have you received any training in performance appraisal?

   If **YES** continue to from **question** **2**
   If **NO** continue from **question** **9**

YES	1
NO	2

2. Was the performance appraisal training effective in making you understand the performance appraisal system in your institution/college?

Strongly Agree	5
Agree	4
Neither Agree nor Disagree	3
Disagree	2
Strongly Disagree	1

IN EACH CASE PLEASE… **If Yes CIRCLE 1** **If NO CIRCLE 2**		Yes	No
3.	The performance appraisal training covered performance and development planning	1	2
4.	The performance appraisal training covered objective/goal setting	1	2
5.	The performance appraisal training covered performance management system	1	2
6.	The performance appraisal training covered developing individual work plans	1	2
7.	The performance appraisal training covered the conduct of the performance appraisal meeting	1	2
8.	Other, **specify below**	1	2

   Other specify here_____

	Part 2 **Performance appraisal processes and procedures (Procedural Justice)**	Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree
9.	Appraisal standards and ratings vary widely from supervisor to supervisor.	5	4	3	2	1
10.	My supervisor's personal values replace organisational standards in the evaluation process.	5	4	3	2	1
11.	My supervisor's resistance to giving ratings, particularly negative ratings reduces the validity of ratings.	5	4	3	2	1
12.	Performance appraisal is integrated into our institution's culture.	5	4	3	2	1
13.	The performance planning and review process requires that performance expectations be set for me during a planning session at the start of a rating period.	5	4	3	2	1
14.	The performance appraisal process measures the agreed standard set at the planning stage of the process.	5	4	3	2	1
15.	The expectations setting during the performance planning session reflect the most important factors in my job	5	4	3	2	1

No.	Statement	Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree
16.	The performance planning and review process allows me to set the standards that my supervisor will use to evaluate my performance	5	4	3	2	1
17.	The performance appraisal process allows for performance targets to be changed when there are changes in my work	5	4	3	2	1
18.	My performance objectives set for me during the planning session will remain the same until my rater and I change them.	5	4	3	2	1
19.	The College/Institute makes sure that I am assigned to a rater who is enough qualified to evaluate my work.	5	4	3	2	1
20.	The College/Institute ensures that I am assigned to a rater who knows very well what I do in my work.	5	4	3	2	1
21.	The College/Institute makes sure that my rater is familiar with the performance planning and review rating procedures and rating format.	5	4	3	2	1
22.	I can challenge a performance rating if I think it is unfair performance ratings.	5	4	3	2	1
23.	The performance appraisal system allows me to express my disagreement about my performance ratings to my Supervisor.	5	4	3	2	1
	Part 3 **Employee perceptions of satisfaction with performance appraisal (Informational Justice, Interactional Justice and Distributive Justice)**	Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree
24.	Performance appraisal has been effective in enhancing my capacity to improve.	5	4	3	2	1
25.	Performance appraisal has contributed to the improvement in the overall performance of your college/institute.	5	4	3	2	1
26.	I am satisfied with the performance appraisal process.	5	4	3	2	1
27.	Performance appraisal system in our institution is conducted fairly.	5	4	3	2	1
28.	Performance appraisal demands too much time and effort from **employees**.	5	4	3	2	1
29.	Performance appraisal demands too much time and effort from **supervisors**.	5	4	3	2	1
30.	Supervisors in your institution are competent to conduct performance appraisals.	5	4	3	2	1
31.	I am satisfied with the performance rating that I received for the most recent rating period of time.	5	4	3	2	1
32.	My most recent performance rating was fair.	5	4	3	2	1
33.	My most recent performance rating reflected on how well I did the job.	5	4	3	2	1
34.	My supervisor gives me the necessary support and guidance to enable me meet the performance standards.	5	4	3	2	1
35.	Overall, I am satisfied with the quality of supervision I receive at work from my supervisor.	5	4	3	2	1
36.	Performance appraisal provides feedback in my work.	5	4	3	2	1
37.	I would give my supervisor a positive rating.	5	4	3	2	1
38.	My supervisor takes the rating system and process to evaluate my work seriously.	5	4	3	2	1
39.	The performance appraisal system in our college/institute is fair.	5	4	3	2	1
40.	The methods that the performance appraisal system uses to set my performance expectations for each rating period is satisfactory.	5	4	3	2	1
41.	I am satisfied with the method that the performance appraisal system is used to evaluate and rate my performance	5	4	3	2	1
42.	I receive feedback on how well am doing to meet the targets.	5	4	3	2	1

43.	I receive formal, written performance appraisals feedback from your supervisor.	5	4	3	2	1
44.	Negative feedback from performance appraisal de-motivates me.	5	4	3	2	1
45.	Performance appraisal system in your college/institute is periodically reviewed and changed to ensure its effectiveness.	5	4	3	2	1
46.	Performance appraisal in our college/institute is used to provide feedback to employees about how well the employee was meeting the targets.	5	4	3	2	1
47.	Performance appraisal in our college/institute is used to enable decisions concerning pay increases (salary notch), promotions, confirmation, retention and termination.	5	4	3	2	1
48.	Performance appraisal in our college/institute is used to encourage performance improvement.	5	4	3	2	1
49.	Performance appraisal in our college/institute is used to set and measure goals.	5	4	3	2	1
50.	Performance appraisal in our college/institute is used to determine individual and organisational training and development needs.	5	4	3	2	1
51.	Performance appraisal in our college/institute used to identify poor performance to ultimately decide on promotions, retention and termination?	5	4	3	2	1

		Four times a year	Three times a year	Twice a year	Once a year	None at all
52.	How many performance appraisal meetings do you hold in a year?	5	4	3	2	1

53.   How can the performance appraisal system in your college/institute be improved, if at all?

_____
_____

54.   What suggestions would you make for performance appraisals to be effective in meeting its objectives in your institution?

_____

_____

Part 4
DEMOGRAPHICAL DATA

		10 – and above	7 – 10 years	4 – 6 years	1 – 3 years	Less than a year
55.	How long have you been employed at the college/institute?	5	4	3	2	1

56. Please indicate your employment category in the college/institute.

Management	1
Academic staff (Teaching staff)	2
Non-Academic Staff (Support staff)	3

PLEASE CIRCLE THE NUMBER OF THE WORD THAT MATCHES YOUR GENDER

57.   What is your Gender?

FEMALE	1
MALE	2

58.   In which range is your age?

PLEASE CIRCLE THE NUMBER THAT MATCHES YOUR AGE RANGE

1	2	3	4	5	6	7	8	9
18 – 24 years	25 – 29 years	30 – 34 years	35 – 39 years	40 – 44 years	45 – 49 years	50 – 54 years	55 – 59 years	60 and over above

59.   What is your highest qualification?

PLEASE CIRCLE THE NUMBER THAT MATCHES YOUR HIGHEST QUALIFICATION

Grade 7 or Grade 9 Certificate	1
Grade 12 Certificate	2
Certificate	3
Diploma	4
First Degree	5
Masters' Degree	6
Doctorate Degree	7
Other (please specify below)	8

Other please specify here
_____

END OF QUESTIONNAIRE

PLEASE SEAL THE COMPLETED QUESTIONNAIRE IN THE UNMARKED ENVELOPE AND HAND GIVE IT TO THE PRINCIPAL/VICE PRINCIPAL AT YOUR COLLEGE /INSTITUTE.

Thank you for participating in this study

Appendix B

1.0 **Policy**

1.1 It is the policy of LIBES to have an operative Performance Management and Appraisal

1.2 System (PMAS). Performance Management and Appraisal System are to ensure that:

- The work performed by employees accomplishes the work of LIBES;
- Employees have a clear understanding of the quality and quantity of work expected from them;
- Employees receive ongoing information about how effectively they are performing relative to expectations;
- Awards and salary increases based on employee performance are distributed accordingly;
- Opportunities for employee development are identified; and
- Employee performance that does not meet expectations is addressed.

1.2 An operative Performance Management and Appraisal System shall consist of:

- A process for communicating employee performance expectations, maintaining ongoing performance dialogue, and conducting regular (scheduled) and annual performance appraisals;
- A procedure for addressing employee performance that falls below expectations;
- A procedure for encouraging and facilitating employee development;
- Training in managing performance and administering the system; and
- A procedure for resolving performance pay disputes.

2.0 **Definitions**

2.1 **Performance management**: Management processes for ensuring employees are focusing their work efforts in ways that contribute to achieving LIBES's mission. It consists of three phases: (a) setting expectations for employee performance, (b) maintaining a dialogue between supervisor and employee to keep performance on the track, and (c) measuring actual performance relative to performance expectations.

2.2 **Work plan** – A document that describes the work to be completed by an employee within the performance cycle, the performance expected, and how the performance will be measured. The work plan will be discussed and agreed.

2.3 **Corrective action plan** – A short-term action plan that is initiated when an employee's performance fails to meet expectations. Its purpose is to achieve an improvement in performance.

2.4 **Individual development plan** – An action plan for enhancing an employee's level of performance in order to excel in the current job or prepare for new responsibilities.

2.5 **Performance appraisal** – A confidential document that includes the employee's performance expectations, a summary of the employee's actual performance relative to those expectations, an overall rating of the employee's performance, and the supervisor's and employee's signatures. 2.6 **Performance documentation** – A letter, memo, completed form, or note on which the supervisor indicates the extent to

which the employee is currently meeting expectations and provides evidence to support that conclusion.

2.7 **Fair appraisal** – Appraising employees in a manner that accurately reflects how they performed relative to the expectations defined in their work plan and in a manner that is not influenced by factors irrelevant to performance.

3.0 The Process of Managing Performance

3.1 Supervisors and Managers are responsible for managing the performance of their employees. This policy shall specify how the three phases of performance management will be carried out. LIBES shall adopt performance management practices that are consistent with the requirements of this policy and that best fit the nature of the work performed and the mission of the organisation.

4.0 Communicating employee performance expectations

4.1 At the beginning of LIBES's twelve-month work cycle, supervisors shall meet with their employees, establish expectations regarding their employees' performance, specify how employees' actual performance will be measured and their success determined, and impart to them an understanding of how meeting these expectations will contribute to the achievement of LIBES's mission.

4.2 Performance expectations shall be written at the "meets expectations" level (the midpoint of the state rating scale) and shall be documented on a form defined by LIBES – the "work plan." (LIBES may designate different work-plan formats depending on the nature of the work.)

4.3 Work plans shall be signed and dated by both the supervisor and the employee.

5.0 Maintaining ongoing performance dialogue

5.1 Employees shall be responsible for meeting their performance expectations.

5.2 Progress toward meeting expectations shall be measured, reported, discussed, and documented throughout the work cycle.

5.3 Supervisors are expected to use appropriate supervisory techniques to support employee efforts to meet or exceed their performance expectations.

5.4 When expectations change during the course of the work cycle, supervisors shall communicate these changes and modify work plans as necessary.

5.5 Modifications shall be signed and dated by both the supervisor and the employee.

6.0 Conducting annual performance appraisals

6.1 At the end of the work cycle, supervisors shall evaluate employees' performance during the past year compared to their performance expectations. They shall use verifiable information collected and documented throughout the cycle to determine the extent to which actual performance has met the expectations defined in the work plan.

6.2 The evaluation shall be documented on a standard form defined by LIBES – the "appraisal." LIBES may define more than one standard appraisal form based on the nature of the work being appraised.)

6.3 The annual performance appraisal shall use a 5-level rating scale for reporting overall performance. A rating at the midpoint of the scale shall indicate that an employee's performance has met expectations. (Alternative rating scales are permissible, provided they are convertible to a 5-level scale.)

6.4 Prior to discussing a completed performance appraisal (that is, an appraisal containing ratings and descriptions of actual performance) with an employee, a supervisor shall review the appraisal with the Countersigning Officer to ensure that ratings are appropriate and consistent.

6.5 Supervisors shall discuss the appraisals with their employees. Both supervisor and the employee shall sign and date the completed performance appraisal indicating that the discussion has taken place.

7.0 Addressing Poor Performance

7.1 When an employee's performance falls below expectations at any time during the performance cycle, the supervisor shall document the performance deficiency and take actions, including (if appropriate) disciplinary action, to assure that performance expectations will be met within a reasonable period.

7.2 The supervisor shall document the performance that falls short of expectations by preparing
a corrective action plan or other documentation. The documentation will specify:

    7.2.1 The performance problem

    7.2.2 The steps to be taken to improve performance, including the timeframe
        For improvement

    7.2.3 The consequences of failure to improve, and

    7.2.4 The follow-up date.

7.3 A corrective action plan shall be considered successfully completed only when The employee's actual performance has improved to the point where expectations are being met.

7.4 LIBES's performance management policy shall specify the relationship between Disciplinary policy and performance management.

7.5 Performance deficiencies that occur during the performance cycle shall be referenced in the annual performance appraisal.

8.0 Supporting Employee Development

8.1 Many employees may express interest in growing in their current positions or in furthering their careers at the LIBES. Supervisors shall work with them to identify strengths and weaknesses and, if appropriate, to help them prepare an individual development plan. Individual development plans may specify how employees can more fully apply their strengths in their current positions, build up areas of weakness, enhance their performance in their current positions, or develop the skills and experience they will need for possible future assignments.

9.0 Transitions

9.1 When employees move into or out of their positions, relevant performance information shall be communicated in a timely way.

9.2 Probationary employees shall have work plans within a certain seven days of their date of employment.

9.3 To remove an employee from probationary status, the supervisor shall provide performance documentation (APAS Form 1) that the probationary employee's performance is at minimum meeting expectations.

9.4 Employees in training progressions shall have work plans or an equivalent

document that describes performance expectations, within seven days of the date of employment.

    9.5   The supervisor shall provide performance documentation that performance at a minimum meets expectations before each salary increase is granted within the progression.

    9.6   Employees whose responsibilities are changed substantially, either within their current position or by transfer (promotion, lateral transfer, or demotion), shall have work plans established within a certain seven days following the new assignment.

10.0 Attachment and Secondment

    10.1   When a person is employed on attachment, secondment or deployed at LIBES by the government, the releasing entity shall send to LIBES performance documentation summarising the employee's performance from the last appraisal up to the date of attachment, secondment or as the case may be.

    10.2   This performance documentation shall be provided before the employee's first day with the LIBES. The receiving supervisor may use this performance documentation when completing the employee's end-of-cycle appraisal.

10.3   When a supervisor leaves a work unit, the next-level supervisor shall ensure that performance documentation concerning the employees supervised by the departing supervisor is made available to the employees' new supervisor.

11.0 Access and Use of Performance Information

    11.1   **Confidentiality of appraisals:** Completed performance appraisals shall be retained on file by LIBES for five years and disposed of according to LIBES Archive Policy.

    11.2   **Properly informed personnel decisions**: LIBES shall take measures to ensure performance information is appropriately and consistently used and those personnel decisions are based on appropriate performance information. Decisions involving performance-based disciplinary actions, performance-based salary increases, and reductions in force shall be supported by a current (completed within the past twelve months) appraisal on file.

    11.3   When current or former LIBES employees are being considered for re-hire, their past appraisals may be obtained for review by those involved in making the hiring decision. This right to access is based on the LIBES policy **Eligibility for Renewal of Contract** (ADMIN/ERC/001) and on the employee's signature on LIBES application that authorises the release of information relevant to job requirements.

12.0 Confidentiality

    12.1   Completed performance appraisals (with ratings, supporting information, and signatures and dates) shall be treated as confidential (under the provisions of the Employment and Records policy).

    12.2   LIBES will, however, make openly available employees' work plans and any information recorded during the work cycle for the purposes of clarifying performance expectations, tracking progress, or reporting on the status of the results achieved. The free availability and use of this information are integral to the ongoing management of LIBES's, Departments, sections or unit's work.

13.0 **Training in Managing Performance and Administering the System**

13.1 How effectively employees perform depends to a great extent on how well supervisors manage their performance. Thus, it is essential that LIBES Managers and Supervisors how to manage their employees' performance and that responsibility for coordinating the elements of LIBES's performance management system be clearly assigned.

13.2 The Principal shall designate a management employee as a Performance Management Coordinator (PMC) with responsibility for coordinating the development and revision of LIBES's Performance Management and Appraisal Policy and the implementation and ongoing administration of performance management within LIBES.

13.3 Performance Management Coordinator shall provide performance management training To all employees who have supervisory responsibility. Training for new supervisors shall be conducted from time to time in accordance with the LIBES Training and Development Policy.

14.0 **Resolving Performance Pay Disputes**

14.1 The procedures for reviewing and resolving employees' disputes concerning performance ratings or performance pay decisions shall be dealt with in accordance with the Performance Management And Appraisal Guidelines (ADMIN/PMS/001).

15.0 **Monitoring and Evaluating the Performance Management Process**

15.1 The Performance Management Coordinator (or other designated person) monitor LIBES administration of the performance management system to ensure compliance with LIBES policy.

15.2 The Performance Management Coordinator shall report to the Principal each year on the administration of performance management systems.

15.3 The Principal shall cause the evaluation of the performance management And Appraisal system at least every three years to determine how effectively the system is meeting the purposes stated in the first section of this policy and take actions to improve the system if necessary.

15.4 Evaluation findings and improvement actions shall be reported to the Principal.

16.0 **Applicability**

16.1 This policy shall be applicable to all LIBES employees.

Appendix C

REPUBLIC OF ZAMBIA

MINISTRY OF EDUCATION, SCIENCE, VOCATIONAL TRAINING AND EARLY EDUCATION

Tel : +260 211 252411
Fax: +260 211 252951

OFFICE OF THE PERMANENT SECRETARY
P.O. BOX 50464
LUSAKA
ZAMBIA

MSTVT/101/1/35

27th January 2014

Mr. Daniel Noah Mwale
Livingstone Institute of Business and Engineering Studies
P.O. Box D27
LIVINGSTONE

Re: **APPLICATION FOR AUTHORITY TO CONDUCT RESEARCH IN THE PUBLIC TEVET INSTITUTIONS**

We refer to your letter of 11th June 2013, which we received on 24th January 2014. You have sought our authorization to conduct Research in the public TEVET institutions in the context of the topic "Employment Perceptions of Performance Appraisal in Public Vocational Training Institutions in Zambia."

This study is towards meeting the requirements for the award of the degree of Master of Education in Education Management from the University of South Africa (UNISA).

We wish to inform you that authorization is granted to conduct this study. Please liaise with the Director of Vocational Education and Training in our Ministry.

We wish you well in this initiative.

Kind regards

Dr. Patrick K. Nkanza
Permanent Secretary (Science)
MINISTRY OF EDUCATION, SCIENCE, VOCATIONAL TRAINING AND EARLY EDUCATION

cc.   The Director
Vocational Education and Training
Ministry of Education, Science, Vocational Training and Early Education
LUSAKA

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Appendix D

L I B E S

PERFORMANCE MANAGEMENT AND APPRAISAL SYSTEM (PMAS)

ANNUAL PERFORMANCE APPRAISAL (APAS) FORM

Please read these instructions carefully:
1. This Appraisal Form is confidential and an official record (i.e. not to be communicated to unauthorized persons)
2. No employee should attempt to use this form unless he/she is well acquainted with the detailed instructions of the appraisal process given in the **APAS USER GUIDE** and the **APPENDIX** to this form.
3. As the Supervisors and their respective subordinates complete this form, they should bear in mind that the information they are providing is subject to open discussion at a formal appraisal meeting.
4. The Appraisee should complete Part I. Human Resources and Administration should initiate the process by ensuring that the APAS forms are given to the officers to be appraised.
5. Both the supervisor and the job-holder must separately and independently complete their appropriate parts of the APAS form, excluding Part 4. A date must then be set by the Supervisor for the appraisal interview, which should normally be within 24 hours from the date of completion of the form.
6. At the end of the appraisal interview, the job-holder should provide his/her comments as required in Part 4.
7. After the appraisal interview, the completed Appraisal Form will be duly signed and submitted to the countersigning Officer (Training and Consultancy Manager who shall within 24 hours submit the form to the Principal.
8. Job holders wishing to retain a form should be allowed a copy after the whole appraisal process.
9. No formatting should be done to this Appraisal form.
10. All entries on the APAS Form must be typed in the unshaded blanks.

PART 1
Employee Particulars
(To be completed by the Appraisee but initiated by the Administrative Officer)

EMPLOYEE PERSONAL PARTICULARS		Type of Appraisal		
EMPLOYEE'S NAMES		Employee No.	Employee Grade	Job Title
Department	Section	Date From	Date To	Date of Appointment

PART 2

WORKPLAN AND PERFORMANCE (*To be completed by Appraisee or Supervisor as indicated*)

2.1 Main Purpose of the Job	

2.2 **Objectives and Targets**
(The Appraisee completes the first two columns for **objectives** and **Targets**, as agreed with Supervisor while the rating is completed by the **Supervisor** using the Guidance notes below):

Obj. No.	OBJECTIVE(S)	TARGET	ACHIEVEMENT	RATING
			•	
			•	
			•	
			•	
			•	
			•	
			•	
			•	

2.4 **Comments by the Appraisee on targets**	
2.4.1 **Comments of targets achieved**	2.4.2 **Comments of targets NOT achieved**
•	
2.5 **Comments by the Supervisor on Targets**	
2.5.1 **Comments of Supervisor on targets achieved**	2.5.2 **Comments of Supervisor on targets NOT achieved**
	•
2.6 **Additional contributions made by the Appraisee to the institution** (to be completed by the Supervisor)	
•	

PART 3

PERFORMANCE COMPETENCIES (To be completed by Supervisor using rating key* below)

3.1   **COMPETENCIES/ATTRIBUTES RATING***

SER.	COMPETENCIES/ATTRIBUTES	RATING
1	**Management/Supervisory skills**: Ability to guide others towards meeting set goals and objectives	
2	**Job knowledge:** The level of understanding and ability to apply knowledge and skill to perform the job.	
3	**Quality of Work**: 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.	

4	**Promptness in completing assignments:** Completing assignments on time.	
5	**Dependability:** Ability to follow instructions; maintain good conduct, time-keeping and devotion to government duties	
6	**Accountability:** Willingness to shoulder responsibility and to be answerable for the achievement/non-achievement of objectives.	
7	**Initiative and Creativity:** Ability to be innovative, resourceful, creative, promote new ideas and resolve problems within or outside set guidelines.	
8	**Communication skills:** Ability to communicate effectively both orally and in writing.	
9	**Tact and Courtesy:** The employee's sensitivity, integrity, politeness and temperament in dealing with others.	
10	**Attitude:** The interest showed towards the job.	
11	**Adaptability:** Ability to cope with changing ideas, work environment, technologies as well as ability to get along with superiors, peers and subordinates	
12	**Teamwork:** Co-operation with fellow workers and supervisors and promoting an environment which encourages open communication and consensus.	
	Average Rating on Competencies/Attributes**	
Notes	**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.	

3.2	**What type of follow-up action do you recommend for the appraisee**?

PART 4:
COMMENTS ON APPRAISAL

4.1	**Comments by Appraisee**:

Employee Signature	Supervisor Signature	Date

4.2	**Comments by Principal and Chief Executive Officer**	
	I, Principal/Chief Executive Officer, agree/disagree with the appraisal made by the supervisor because of the following reasons:	

-

Name	**THOMAS KALANTIYA**	
Signature		Date stamp
Date		

4.3	**Comments by the Chairperson of the Management Board**	
	I, Chairperson of the LIBES Management Board, agree/disagree with the appraisal made by the Principal and Chief Executive Officer because of the following reasons:	

Signature		Date stamp
Date		

PART 5
ACTION TO BE TAKEN BY LIBES HUMAN RESOURCE OFFICER (To be completed by HR OFFICER)

5.1	**APAS Form Received by HR Officer**	
Comment:		
Name		
Signature		Date stamp
Date		
5.2	**APAS Information Computerised**	
5.3	**APAS Form Referred To Staff File**	

Name		
Job Title		
DEPARTMENT/SECTION		

Date Form Received			
Date Information Computerised		Date	
Signature		Date	
Job Title			

THE INTERPRETATION OF THE APAS FORM
PART 1:

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

PART 2:

1.   The 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.   Objectives: These should be as stated in the respective Section/Departmental Workplan.
3.   Targets set during Appraisal Period against each objective: 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.
   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 a brief account on the significant contributions made, if any, by the appraisee to the Supervisor.
7.   When making comments on targets not achieved, the supervisor and Appraisee should 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:

     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.
2.   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/Review Officer and the Principal, respectively, are expected to approve or otherwise the submissions from the Supervisor.

PART 5:

1.   Administrative Officer is expected to promptly update the human resource information data bank, for use   in effectively managing the human resource of LIBES.

Appendix E

LIBES	PERFORMANCE REVIEW FORM	TYPE OF APPRAISAL	APPRAISAL DATE	APPRAISAL PERIOD		
				FROM	TO	
EMPLOYEE NAME	DEPT	SECTION	DATE OF APPOINTMENT	EMPLOYEE No.		
					JOB GRADE	

OBJ No.	OBJECTIVE(S)	TARGET	ACHIEVEMENT	COMMENTS

Appendix F

Daniel Noah Mwale	Mobile: +260 967 868 001
P O Box D 27	Facsimile: +260 213 321 138
Livingstone, Zambia	Email: dnmwale@hotmail.com

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03 May2015

The Principal
Kasiya Secretarial College
PEMBA

Dear Sir,

RE: CONSENT FORM

I am a student at the University of South Africa studying for a degree of Master of Education in Education Management. As a requirement for the award of the degree, I will be required to submit a dissertation.

As discussed, please find the Consent Forms to be given to all employees who voluntarily accept to be part of this study by responding to the questionnaire which will be administered at a later time preferably after your authority is granted to the letter attached.

Thank you.

Yours faithfully,

Daniel Noah Mwale

Appendix G

Daniel Noah Mwale   Mobile: +260 967 868 001
P O Box D 27   Facsimile: +260 213 321 138
Livingstone, Zambia   Email: dnmwale@hotmail.com

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03 May 2015

The Principal
Livingstone Institute of Business and Engineering Studies
LIVINGSTONE

Dear Sir,

RE: CONSENT FORM

I am a student at the University of South Africa studying for a degree of Master of Education in Education Management. As a requirement for the award of the degree, I will be required to submit a dissertation.

As discussed, please find the Consent Forms to be given to all employees who voluntarily accept to be part of this study by responding to the questionnaire which will be administered at a later time preferably after your authority is granted to the letter attached.

Thank you.

Yours faithfully,

Daniel Noah Mwale

Appendix H

Daniel Noah Mwale   Mobile: +260 967 868 001
P O Box D 27   Facsimile: +260 213 321 138
Livingstone, Zambia

11 February 2013

The Permanent Secretary
Ministry of Education Science Vocational Training and Early Education
Maxwell House
P O Box 50432
LUSAKA

      ufs   The Principal
            LIBES

Dear Sir,

RE: APPLICATION FOR AUTHORITY TO CONDUCT RESEARCH IN THE PUBLIC TEVET INSTITUTIONS

The University of South Africa has accepted my application to study for a master's degree (Master of Education in Education Management), and I have since registered with the university.

One of the requirements for the award of the degree is to submit a dissertation.

As you may already know, in 2009 the then Ministry of Science Technology and Vocational Training implemented the Performance Management Package (PMP) and Annual Performance Appraisal System (APAS) in all the ministry's TEVET institutions. It's almost five years since the system was implemented. The implementation of APAS in public TEVET institutions is an interesting phenomenon that requires scientific enquiry to investigate whether the intended goals have been achieved or not achieved.

The topic for study is "**Employee Perceptions of the Effectiveness of Annual Performance Appraisal System in Public Technical and Vocational Training Institutions in Zambia.**"

I am a serving employee at the Livingstone Institute of Business and Engineering Studies (LIBES).

For ease of reference, please find attached the following documents:

      (a)   Research proposal
      (b)   Curriculum vitae

Also, note my personal details tabulated below:

      Name   DANIEL NOAH **MWALE**   (Mr.)
      Date of birth   11 MAY 1958

Nationality   ZAMBIAN
NRC No.   182691/66/1
Place of issue   MUFULIRA, ZAMBIA
Date of issue   10 APRIL 1975

Contact details:

Postal address:

Livingstone Institute of Business and Engineering Studies
P O Box D 27
LIVINGSTONE

Residential Address: B 04 LIBES
                       LIVINGSTONE

Telephone: +260 967 868 001   (Cell)
                       +260 213 321 249   (Work)

Facsimile: +260 213 321 138   (Work)

E-mail address: dnmwale@hotmail.com
                       daniel.mwale@libes.edu.zm

Duly submitted for your authorisation.

Thank you.

Yours faithfully,

Daniel Noah Mwale

Appendix I

CONSENT FORM

TITLE OF RESEARCH PROJECT

Employees Perceptions of Performance Appraisal in Public Technical Vocational and Entrepreneurship Training Institutions in Zambia

Dear Dr/Mr/Mrs/Miss/Ms:

_____Date:_____

NATURE AND PURPOSE OF THE STUDY

Performance appraisal systems are an essential component of human resource management for effective evaluation and management of employees of any organisation. TEVET institutions in Africa and Zambia, in particular, are expected to play a critical role in the development of human resources and in the overall social and economic development of the continent by, among other things, contributing to the provision of human capital for the creation of wealth to eliminate poverty. They can only contribute effectively if the institutions adopt and utilise management tools that enable the institutions to measure individual and organisational performance. Performance appraisal was implemented in Zambia's public Technical Education Vocational Education and Entrepreneurship Training (TEVET) institutions in 2009. Since then, there has been no evaluation of the performance appraisal system with regard to employee perceptions about performance appraisal. The purpose of this study is to establish employee perceptions about performance appraisal in the two public TEVET institutions in Zambia namely, Kasiya Secretarial and Business College (KSBC) and Livingstone Institute of Business and Engineering Studies (LIBES).

1. **Procedure in the Study**

   You will only be required to fill in the questionnaire by responding to the questions.

2. **Risks**

   There no risks expected from the study.

3. **Benefits**

   There are no financial or any other benefits which will accrue to the participants as a result of their participation in the study. The information collected in the study will be analysed in order to help establish employee perceptions of appraisal in the two public TEVET institutions and help develop strategies to enhance management of performance appraisals in public TEVET institutions in Zambia.

4. **Cost and Payment**

   Participation in the study will be voluntary, and no money will be paid for answering the questionnaire. The cost of administering the questionnaire and other costs will be borne by the researcher.

5. **Right to refuse to participate**

Participating in the study will be the choice of the participant. In the event that a participant decides to withdraw from further participation in the study, they will be allowed to stop at any time during the study.

6**.** **Record confidentiality**

Names or any information that can be linked to a participant will not be required. Participants are assured that their personal particulars will not be required and that the information gathered will be aggregated such that it cannot be attributable to an individual.

7. **Legal rights**

No participant shall lose their legal rights for participating in the study and for signing the consent form.

8. **Expected duration of participation**

The participants will only participate in the study for the duration it will take to complete the self- administered questionnaire. Approximately 25 minutes.

9. **Approximate number of participants**

Participants in the study will be drawn from public TEVET institutions, namely, Kasiya Secretarial and Business College and Livingstone Institute of Business and Engineering Studies. One hundred and eleven participants are expected to participate in the study.

Ser	Name of TEVT Institution	Management Employees	Academic Employees	Number of Non-academic Employees	Total
1	Kasiya Secretarial College	12	13	26	51
2	Livingstone Institute of Business and	6	43	29	78
	TOTALS	18	56	55	129

10. **Procedures for selection of participants**

- Staff lists will be obtained from the institutions.
- From the human resource departments, information on staff who have not participated in a performance appraisal will be identified and removed from the list of participants.
- The list of eligible participants will be checked against the list of staff that will have consented to participate voluntarily in the study.
- The final list of participants will then be drawn for each institution, and the questionnaires will be administered to them.

11. **Enquiries**

If you have any questions or require clarification about this study or experience any problem because of your participation in the study you can immediately contact:

Mr Daniel Noah Mwale
Livingstone Institute of Business and Engineering
Studies [LIBES] Stand No.2621, Nakatindi Road
P O Box D27
LIVINGSTONE
Zambia
Mobile: +260 967 868 001
Work: +260 213 321 249
Email: dnmwale@hotmil.com
          training@libeszambia.com

12.   **Contact information of the Supervisor**

Dr E I Njiro
University of South Africa
College of Education
Department of ABET ad Youth Development
P O Box 392
UNISA
0003
South Africa
Email: njiroei@unisa.ac.za
Tel: +2712 4294204

13.   **Signing of the Consent Form**

CONSENT

I, the undersigned, **_____** (full name of

participant) have read the above information relating to the project and have also heard the verbal version, and declare that I understand it. I have been afforded the opportunity to discuss relevant aspects of the project with the researcher, and hereby declare that I agree voluntarily to participate in the study.

I indemnify the University of South Africa (UNISA) and any employee or student of the university against any liability that may occur during the course of the study.

I further undertake to make no claim against the university in respect of damages to my person or reputation that may be incurred as a result of the study or through the fault of other participants, unless resulting from negligence on the part of the university, its employees or students.

I have received a signed copy of this consent form.

Signature of participant: _____ (**Date**) ………………………………
…
Signed at **PEMBA*/ LIVINGSTONE** * (***delete whichever is not applicable), ZAMBIA**

WITNESSES
  1 ....   2 ....

APPENDIX J

LIVINGSTONE INSTITUTE OF BUSINESS AND ENGINEERING STUDIES

All correspondence should be
Addressed to the Principal

Telephones:
Direct   — 260 213 321249
Fax   — 260 213 321138
E-mail   info@libes.edu.zm
Website   www.libes.edu.zm

In reply please quote

Our Mission "To provide high quality vocational and entrepreneurship training in technical and business skills for sustainable national and regional development."

28th May 2014

Mr. Daniel N Mwale
P O Box D27
LIVINGSTONE

Dear Mr. Mwale

RE: AUTHORITY TO CONDUCT RESEARCH IN THE COLLEGE

The above matter refers

We acknowledge receipt of your application to conduct a research in the college on "Employee Perceptions of Performance Appraisal in Public Vocational Training Institutions in Zambia".

The topic itself is very exciting and interesting as it will be very informative to the Management of the Institution

Permission to conduct research is therefore granted.

Kindly give us a feedback on your research and the information given shall be treated with utmost confidentiality. The information will be used specifically to build capacity in the Performance Appraisal System at LIBES. Please inform us when you wish to start the research so that relevant officers are informed.

We wish you every success in your studies and hope that we can contribute something to your success.

Yours sincerely

Thomas Kalantiya
PRINCIPAL

c.c.   Management Board Chairperson
        Management
        File

TK/smm

Stand No. 2621, Nakatindi Road, P O Box D 27, Livingstone, 10101, ZAMBIA

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APPENDIX K

KASIYA BUSINESS AND SECRETARIAL COLLEGE

ALWAYS A STEP AHEAD SINCE 1975

Telephone: 097 7779309, 097 7469348
principal@kasiyacollege.edu.zm
White Chisi @ yahoo.co.uk

P. O. Box 640060
PEMBA
ZAMBIA

3rd July 2014

Mr Daniel Noah Mwale
P O Box D27
**LIVINGSTONE**

Dear Mr Mwale

RE: AUTHORITY TO CONDUCT RESEARCH IN OUR COLLEGE

Reference is hereby made to your letter dated 22nd May 2014 concerning the above captioned subject matter.

We are pleased to inform you that Management has sanctioned your request and duly authorized you to conduct the study in the College. Please at the time of administering the research instruments, be in liaison with our College Vice Principal (Training Manager), Mr Gilbert Mutunda.

We wish you the best in your study.

Warm regards

W M Chisi
COLLEGE PRINCIPAL

Cc   The Vice Principal, Kasiya College, Pemba

Appendix L

UNISA | university of south africa

COLLEGE OF EDUCATION RESEARCH ETHICS REVIEW COMMITTEE

18 November 2015

Ref # 2015/04/15/38921413/09/MC
Student #: Mr DN Mwale
Student Number #:38921413

Dear Mr Mwale

Decision: Ethics Approval

Researcher: Mr DN Mwale
Tel: +260 213 321 249/+26096786001
Email: dumwale@hotmail.com

Supervisor: Dr E Njiro
College of Education
Department of Adult Education and Youth Development
Tel: +27 12 429 4204
Email: njiroei@unisa.ac.za

Proposal: Employees' perceptions of performance appraisal in public technical vocational and entrepreneurship training institutions in Zambia

Qualification: M Ed in Adult Education and Youth Development

Thank you for the application for research ethics clearance by the College of Education Research Ethics Review Committee for the above mentioned research. Final approval is granted for the duration of the research.

The application was reviewed in compliance with the Unisa Policy on Research Ethics by the College of Education Research Ethics Review Committee on 18 November 2015.

The proposed research may now commence with the proviso that:

1) The researcher/s will ensure that the research project adheres to the values and principles expressed in the UNISA Policy on Research Ethics.

2) Any adverse circumstance arising in the undertaking of the research project that is relevant to the ethicality of the study, as well as changes in the methodology, should be communicated in writing to the College of Education Ethics Review Committee. An amended application could be requested if there are substantial changes from the