

**FACTORS AFFECTING THE EFFECTIVENESS OF PERFORMANCE
APPRAISAL OF TEACHING STAFF IN TIVET INSTITUTIONS: THE CASE
OF KENYA POLYTECHNIC**

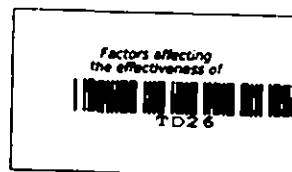
BY

GUANTAI FLORENCE

D53/R1/11425/04

**RESEARCH PROJECT SUBMITTED IN PARTIAL FULLFILLMENT OF THE
REQUIREMENT FOR THE AWARD OF THE DEGREE OF MASTER IN
BUSINESS ADMINISTRATION (HUMAN RESOURCE MANAGEMENT)
DEPARTMENT OF BUSINESS ADMINISTRATION, KENYATTA UNIVERSITY**

JULY 2009



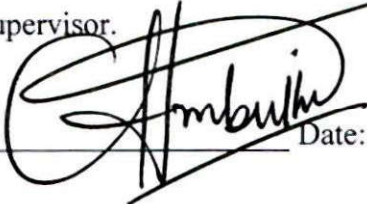
DECLARATION

This research project is my original work and has not been presented for a degree in any other University or any other award

Signature:  Date: 23/07/09

Guantai Florence K.

This research project has been submitted for examination with my approval as the University supervisor.

Signature:  Date: 23/07/09

Dr Ombuki Charles

Department of Economic Theory

This project research has been submitted for examination with my approval as the Chairman of Business Administration Department.

Signature: _____ Date: _____

Mr. Ngaba Dominic

Department of Business Administration

ACKNOWLEDGEMENT

I wish to express my gratitude to all those who assisted me through my academic journey to accomplish this research paper. However, some people deserve a mention for their extremely valuable guidance and assistance.

I would like to acknowledge my profound regards to: my supervisor Dr. Ombuki Charles for his professional guidance and support at every stage of my study by working on my scattered Ideas and molding them into this valuable piece of work; to the Chairman Business Administration department Mr. Ngaba Dominic and the entire community of school of Business Administration Kenya University for all the support they accorded me in the course of my research.

My dear husband Sam deserves a special mention and appreciation for his support, understanding and encouragement. To my daughter Liz, and my twin sons Elon and Eric, thank you for tolerating my silence to enable me complete my study. Your endless concern on which position i was in 'class' strengthened my spirit of working harder. To my dear mum, your dedication for special prayers for your daughter even without knowing what a master's degree is gave me wisdom to move on. Thanks mum.

Finally I wish to thank the many friends who encouraged me to carry on despite the hurdles along the way.

God bless you.

DEDICATION

This research project is dedicated to my daughter liz kagwi, my twin sons Elon Kinoti and Eric mugambi and all my nieces and nephews. This is a challenge to you to pursue academic knowledge beyond the point your mum and aunt has reached.

TABLE OF CONTENTS

Page

DECLARATION.....	ii
ACKNOWLEDGEMENT.....	iii
DEDICATION.....	iv
LIST OF FIGURES.....	viii
LIST OF TABLES.....	ix
ABSTRACT.....	x
OPERATIONAL DEFINITION OF TERMS.....	xi
ABBREVIATIONS AND ACRONYMS.....	xiii
CHAPTER ONE.....	1
INTRODUCTION.....	1
1.0 Introduction	1
1.1 Background of the Study.....	2
1.2 Statement of the Problem.	6
1.3 Objectives of the Study.....	8
1.4 Research questions.	8
1.5 Significance of the Study.....	8
1.6 The Scope of the Study.....	10
1.7 Assumptions of the Study.....	10
CHAPTER TWO.....	11
LITERATURE REVIEW.....	11
2.0 Introduction.....	11
2.1 The objectives of performance appraisal.....	11
2.2 Classification of performance appraisal.....	12
2.3 Performance appraisal as a process.....	14
2.4 Performance appraisal tools.....	16
2.5 Performance Appraisal Issues and diversity.....	24

2.6 Empirical Studies.....	26
2.7 Summary and Gaps to be filled by the study.....	32
2.9 Conceptual Framework.....	33

CHAPTER

THREE.....	36
METHODOLOGY.....	36
3.0 Introduction.....	36
3.1 Research Design.....	36
3.2 Target Population	37
3.3 Selection of the Sample Size.....	38
3.4 Data Collection Procedure and Instruments.....	38
3.5 Data Analysis and presentation.....	40
3.6 Expected Outcome.....	40
3.7 Chapter Summary.....	41

CHAPTER FOUR.....	42
DATA ANALYSIS PRESENTATION AND DISCUSSIONS.....	42
4.0 Introduction.....	42
4.1 Characteristics of the study sample.....	42
4.1.1 Gender distribution.....	42
4.1.2 Designation of the respondents.....	43
4.1.3 Departments of the respondents.....	44
4.1.4 Teaching experience at Kenya Polytechnic.....	45
4.1.5 Education level.....	46
4.2 Analysis of Results by objectivity.....	47
4.2.0 Staff involvement in setting objectives and feedback on performance appraisal.....	47
4.2.1 Influence of appraisal method on performance appraisal.....	49
4.2.2 Influence of performance appraisal process on performance appraisal exercise.....	50

4.2.3 Influence of performance appraisal issues and diversity on appraisal exercise.....	53
4.2.4. Influence of performance appraisal outcomes on performance appraisal.....	54
4.3 Opinion on the effectiveness of performance appraisal	56
4.4 Opinion on the introduction of performance contracting.....	57
4..5 Suggestions for improving performance Appraisal	58
CHAPTER FIVE.....	60
SUMMARY, CONCLUSIONS & RECOMMEDATIONS.....	60
5.0 Introduction.....	60
5.1 Summary.....	60
5.2 Conclusions.....	63
5.3 Recommendations.....	64
5.4 Areas of further Research.....	65

LIST OF FIGURES

Page

Figure 2.0 The context of performance appraisal.....	14
Figure 2.1 The appraisal process.....	15
Figure 2.2 Conceptual framework.....	35
Figure 4.0 Designation of the respondents.....	44
Figure 4.1 Departments of the respondents.....	45
Figure 4.2 Education level of the respondents.....	46
Figure 4.3 Whether employees were satisfied with the appraisal method.....	50
Figure 4.4 Whether the appraisal process affected performance appraisal.....	53
Figure 4.5 Whether performance led to promotion.....	56
Figure 4.6 Whether Appraisal exercise contributed to identifying training needs.....	56
Figure 4.7 Opinion of the respondents on the effectiveness of performance appraisal...	57
Figure 4.8 Opinion on introduction of performance contracting.....	58

LIST OF TABLES

Page

Table 3.0 Total number of staff in the target population.....	37
Table 3.1 Sampling design.....	38
Table 4.0 Gender distribution.....	43
Table 4.1 Teaching experience.....	46
Table 4.2 Whether respondents were conversant with performance appraisal.....	47
Table 4.3 whether the teachers were involved in setting targets.....	48
Table 4.4 whether employees were given feedback	48
Table 4.5 Opinion on whether the guidelines were adequate.....	51
Table 4.6 whether the appraisal process affected performance appraisal.....	52
Table 4.7 Opinion on the effectiveness of performance Appraisal.....	57



ABSTRACT

The study set out to investigate the factors that affect the effectiveness of performance appraisal of teaching staff in TIVET Institutions.

Generally it was felt that the current appraisal system in TIVET Institutions did not allow employee participation during the Process. An effective appraisal is one, which an employee is involved in setting the targets, and in evaluating himself/herself. In order to improve the performance of the teaching staff, there is need to establish an effective performance appraisal system, which all employees own. First identifying the factors that hinder the effectiveness of the appraisal exercise and secondly suggesting ways in which improvement would be done would achieve this.

The conceptual framework summarized the factors that are likely to affect the performance appraisal of teaching staff in TIVET Institutions. The Objectives of performance appraisal and the extent to which feedback was obtained by the appraised, the appraisal method applied, the process involved, the factors and the reward or outcomes of the appraisal exercise such as promotion, training and rewards all had a bearing on the effectiveness of the staff performance appraisal.

The research design adopted a descriptive survey design. The target population comprised of about 350 teaching staff that included TSC staff, part-timers and heads of department who were involved in appraising the staff. A sample size of 40 teaching staff representing 10% of the population was selected using stratified random sampling method for the study. Data was collected using questionnaire method due to its reliability and analyzed using frequency distribution tables, pie charts, histograms and percentages. The study revealed that failure to set performance targets, to involve employee in the appraisal process, to use rewards after appraising employees and lack of commitment on the appraisal exercise all had a bearing on the effectiveness of the appraisal exercise. The study recommended that the current performance appraisal exercise requires overall change and new modern performance management practices should be embraced. There is need to address issues such as confidentiality and transparency of the appraisal process which contributed to ineffectiveness of performance appraisal in TIVET Institutions.

OPERATIONAL DEFINITION OF TERMS

Appraised-In this context it means the employee whose work performance is evaluated.

Appraiser- In this context it refers to that person who is charged with the responsibility of appraising an employee.

Employee Performance - Overall output of an employee both in quality and quantity as Compared to set standards of an organization

Employee Performance appraisal-It is an evaluation of employees work performance over a period of time, as this involves the current level of individual or organization performance or identification of people level of performance and areas to which performance levels need to be improved for maximization of the human resource.

Formal systematic appraisal-A formalized appraisal process for rating work performance, identifying those deserving promotions, and identifying those indeed of further training.

Informal performance appraisal- The process of continually feeding back to subordinates information regarding their work Performance.

Performance contract-A mutually agreed document that specifies the responsibilities, commitment and obligations of both parties to the agreement. It itemizes the key result areas, the level of performance expected towards achievement of agreed targets and how performance will be measured.

Productivity- Means a ratio between the resource used and the level of production achieved. It is a measure of effectiveness with which resources are utilized

ABBREVIATIONS AND ACRONYMS

EPAS- Employee Performance Appraisal System

HR- Human Resource

MBO- Management by Objective

TIVET- Technical Industrial and Vocational Entrepreneurship Training

TSC- Teachers Service Commission

DEO- District Education Officer

SPSS- Statistical Package for Social Science

ILS- Information and Liberal Studies

CHAPTER ONE

1.0 . Introduction.

This chapter covers the following areas of research study; background of the study; statement of the problem; objectives of the study (General and specific); research questions; significance of the study, the scope of the study and the assumptions of the study.

1.1. Background of the Study

Performance appraisal provides an important mechanism for management to use in clarifying performance goals and standards and for maintaining future individual performance. It is a key component in the personnel administration process of most companies and provides a basis for decisions affecting pay promotions, terminations, training, transfers and other employment conditions.

Wild blood (2006) views performance appraisal as a management function, which is a continuing process to determine how effectively employees are performing certain tasks in their positions with the aim of correcting their weak points and to recommend for promotions to better Jobs, and for making 'merit' increases in hourly rates and salaries. According to Dulewicz (1989) performance appraisal is a structured formal interaction between a subordinate and supervisor, which usually takes the form of a periodic interview (annual or semi-annual), in which the work performance of the subordinate is examined and discussed, with a view to identifying weaknesses and strengths as well as opportunities for improvement and skills development.

Delpo (2005) states that performance appraisal motivates employees by providing feedback on how they are doing. It also helps supervisors to observe their subordinates more closely and to do a better job.

Oberg (2006) also states that performance appraisal helps to provide backup data for management decisions concerning merit increases, transfers and dismissals. It also helps to improve organization development by identifying people with promotion potential and

pinpointing development needs and should lead directly to increased productivity. An effective performance appraisal helps keep peoples' attention focused on the work results they are trying to achieve. He further argues performance appraisal results are used in human resource research. Using performance appraisal evaluation ratings as a measure to success for example validates most selection methods.

Lawler (1990) suggests that supervisor has a responsibility to ensure the development of his or her subordinates in relation to the capabilities required to perform their job.

Generally, the supervisor schedules individual meetings with each employee to discuss the employee's performance and communicates jointly established areas to be worked on or goals to be achieved by the next schedule every three months or once or twice a year. Goals or objectives that have not been agreed upon in each meeting are renewed in the next meeting. During the review the supervisor attempts to understand the difficulties of the subordinates and to identify his or her development needs.

Lawler (1990) further states that before each review, the employee is prepared for the discussion through self assessment identify factors that have contributed to the employee performance as well as those that have hindered it and the type of support an employee needs from the supervisor or others in order to improve in the next period results. During the appraisal meeting, the supervisor, and the subordinates share their observations and concerns. Each responds to the subjects raised by the other. Such discussions help to develop mutual understanding. The generated results are reported to the higher management and are used in making decisions about individual employee development as well as developmental needs of the work group or the entire organization.

The history of performance appraisal has its roots in the creation of universe. As theologians say, God looked at everything he created and was pleased with his work. After making self-assessment of what he created and convinced that all was wonderful, he finally created man and on the seventh day he rested. (Genesis 1)

In the field of modern Human Resource Management, the history of performance appraisal system can be traced way back to Taylor's pioneering Time and Motion studies in the early 20th century. But as a distinct and formal management procedure used in the evaluation of work performance, performance appraisal really dates from the time of the Second World War (1939-1945).

Yet in a broader sense, the practice of appraisal is a very ancient art. In the scale of things historically, it might well lay claim to being the world's second oldest profession! There is, says Dulewicz (1989), "... a basic human tendency to make judgments about those one is working with, as well as about oneself." Appraisal, it seems, is both inevitable and universal. In the absence of a carefully structured system of appraisal, people will tend to judge the work performance of others, including subordinates, naturally, informally and arbitrarily." However the human inclination to judge can create serious motivational, ethical and legal problems in the workplace. Without a structured appraisal system, there is little chance of ensuring that the judgments made will be lawful, fair, defensible and accurate. (Dulewicz, 1989)

In the United States of America, Performance appraisal systems began as simple methods of income justification in the early 20th century. That is, appraisal was used to decide whether or not the salary or wage of an individual employee was justified. The process was firmly linked to material outcomes. If an employee's performance were found to be less than ideal, a cut in pay would follow. On the other hand, if their performance was better than the supervisor expected, a pay rise was in order. Little consideration, if any, was given to the developmental possibilities of appraisal. It was felt that a cut in pay, or a rise, should provide the only required impetus for an employee to either improve or continue to perform well. Sometimes this basic system succeeded in getting the results that were intended; but more often than not, it failed. Dulewicz (1989) contends that different people with roughly equal work abilities could be paid the same amount of money and yet have quite different levels of motivation and performance. Pay rates were important, but they were not the only element that had an impact on employee performance. Other issues, such as morale and self-esteem, could also have a major

influence. As a result, the traditional emphasis on reward outcomes was progressively rejected. In the 1950s in the United States, the potential usefulness of appraisal as tool for motivation and development was gradually recognized. The general model of performance appraisal, as it is known today, began from that time.

In Kenya different Education Officers have undertaken the role of assessing staff performance of teachers since and after Independence. During the colonial period this role was left to the missionaries who were in charge of various mission schools. The Objective of appraisal exercise was to ensure that teachers conducted learning effectively. After independence the obligation to appraise teachers was entrusted to school inspectors who were expected to supervise the teachers and make recommendations regarding their individual performance. However teachers viewed inspectors as police officers (Wambui 2006).

The TSC Code of regulations for teachers (1969) gave the Head teachers the mandate to supervise and assess the performance of teachers in their respective schools/colleges, the head teacher being the administrator of the school. The code spells out how the appraisal exercise should be conducted. The principal is required to fill a confidential report form giving the assessment of an individual teacher on his conduct, level of training and his competences in terms of student performance and other responsibilities that may be delegated on him. The TSC code of regulations for teachers (1969) revised 1986 and 2005 stipulates that the principal should appraise staff and send copies of the appraisal report to the T.S.C and D.E.Os and, or other Agent within the month of March every year. The Appraiser (principal) is required to retain one copy. The appraisal system is supposed to be objective and comprehensive assessing the teacher in all fields. The appraiser is expected to make a report regarding the strengths and weaknesses of the staff and make recommendations on how the teacher performance could be enhanced through teacher professional development programme. The appraiser is also expected to discuss the report with the individual staff before forwarding it to the relevant authorities. The appraisal report is designed to help the appraiser in making decisions regarding an individual teacher on matters relating to promotion, transfers and identifying teacher training needs.

Generally the employer rarely acts upon the appraisal reports. The employees obtain no feedback from the management about the reports after they have been filled. This makes the process of appraisal exercise just a routine.

According to International Institute for Education planning (IIEP) 203 (1997), Professional development as far as teachers are concerned involves enhancing teacher's effectiveness in teaching all students in increasing diverse content and at high levels and supporting his professional growth through permitting the transition to roles of higher status and responsibility within the teaching profession. This implies that evaluating staff performance effectively calls for a comprehensive and Objective system that embraces all elements that are important within a teacher's job jurisdiction.

The TSC in conjunction with the Ministry of Education and Ministry of Science and technology are expected to act on appraisal report by devising strategies that would equip the teachers with skills and knowledge to improve their performance in their areas of specialization in line with the curriculum, emerging technological issues, enable a teacher perform duties related to his/her teaching profession and most of all be able to keep a breast with the changes in the market demand for labour in terms of their output.

The Kenya Polytechnic was established in 1960 and officially opened on 29 May 1961. It was mandated to train middle level personnel for both public and private sectors. Since then it has played a major role in training manpower in Kenya.

In accordance with the *Sessional paper no. 1 of 2005 on policy framework for education, training and research* the Kenya Polytechnic has been 'reborn' with a clearly re-defined mandate to play a more effective role in the TIVET Programme. ON August 27, 2007 the Kenya polytechnic became a university college gazetted under the university of Nairobi Act CAP 210. This was also in line with Kenya Polytechnic master plan July 2005-july 2010 and the ministry of education corporate strategic plan July 2005-2010 which had repositioned the polytechnic in the overall TIVET Reforms. Under TIVET reforms Programme, the polytechnic had been recommended to become a center of excellence offering degree programs. However, its core function has not changed. The Statute provides for the continued existence of the current training certificates and degree

programme offered by the new council when it commences.

Through the board of governors, the Kenya Polytechnic has developed, implemented and evaluated its own curriculum. In addition the curriculum taught is developed by the Kenya Institute of Education (KIE) and evaluated by the Kenya National Examination Council (KNEC), Kenya Accountants and Secretaries National Examination Board (KASNEB), Association of Business Executives (ABE) and City and Guilds of London.

Since the staff at Kenya polytechnic is under the T.S.C, a 'confidential report form' is used to appraise them as stipulated in the Teachers' Service Commission Code of regulations 2005. The forms are filled by the heads in their respective department every year. The heads of department forward the forms to the principal. The principal forwards the original appraisal form to the Secretary, T.S.C, one copy to the Ministry and another copy is filed by the Principle in an individual file.

For the Kenya polytechnic to realize its dreams of becoming a center of excellence, a well skilled and competent teaching staff is crucial. Okumbe (1998) observes that teachers are the most important resource that a country has. This is because an efficient human capital development depends on the quality and effectiveness of teachers. The quality of technicians and professions produced depends on how well the students have been prepared for the various roles in the society by the teachers. In order to achieve the intended objective an effective Staff performance appraisal tool is important.

1.2. Statement of the Problem

The Objectives of performance appraisal in TIVET Institutions is to identify the staff training needs, Identify strengths and weaknesses of the staff and make recommendations on how the teacher performance could be enhanced through teacher professional development Programme (TSC Code.2005)

The participation of the appraised in setting appraisal targets and in the appraisal process is essential for the success of the employee performance appraisal. Despite the new appraisal systems, like the 360 and 540 degrees and performance contracting, The Kenya

Polytechnic has continued to use the traditional appraisal system as stipulated in the Revised Code of Teacher's Regulations 2005. For many years, confidential evaluation forms have been filled by individual employees, then by the supervisor and thereafter forwarded to the top management (principal).

Generally it was felt that the employee appraisal system in TIVET Institutions is not effective since the intended targets are not achieved. The appraised are not involved in setting the targets within which they are appraised. Little or no feedback is given by the management to the appraised. Robert (2005) states that performance appraisal work best when an employee is in active participation with the appraiser since it is the employee who can diagnose and formulate solutions to performance challenges, problems and barriers. The participation of the appraised in the appraisal process is essential in ensuring its effectiveness.

With the introduction of performance contracting in the public service, there has been pressure since 2008 from the Government for all TIVET Institutions to embrace performance contracting method. Ocharo (2007) states that performance contracting is a management tool that teachers should embrace for evaluating results. It is a way of committing oneself to attaining objectives upon which an employee would be assessed at the end of a specified period and teachers must be evaluated wholly not only on the basis of the number of students who do well in National Examinations but also on other variables that go into molding of worthwhile individuals.

The success of any appraisal system is dependent on the factors that affect the system regardless of the method used. This therefore called for a need to establish the factors that affect the effectiveness of performance appraisal exercise. Identifying the factors that affect the effectiveness of performance appraisal will also help the management in TIVET Institutions to improve not only on the appraisal system but also on employee performance.

Thee study therefore investigated the factors affecting the effectiveness of performance appraisal in TIVET Institutions among the teaching staff.

1.3. Objectives of the Study

The general objective of the study was to investigate the factors affecting the effectiveness of performance appraisal of the teaching staff in TIVET Institutions. The following were specific objectives:

1. To determine the extent to which objectives of performance appraisal and feedback influenced the effectiveness of performance appraisal of the teaching Staff of Kenya Polytechnic.
2. To find out how the appraisal method affected performance appraisal of the teaching Staff of Kenya Polytechnic.
3. To find out whether performance appraisal process influenced performance appraisal of the teaching Staff of Kenya Polytechnic.
4. To determine whether performance appraisal issues and diversity influenced performance appraisal of the teaching staff at Kenya Polytechnic.
5. To determine the extent to which the outcomes of appraisal exercise influenced the effectiveness of performance appraisal of the teaching Staff of Kenya Polytechnic.

1.4 Research Questions

The study will seek information to answer the following questions.

1. To what extent does Objectives and feedback influence the effectiveness of performance appraisal of the teaching staff Kenya Polytechnic?
2. Does method used affect performance appraisal of teaching staff of Kenya Polytechnic?
3. Does performance appraisal process influence the effectiveness of performance appraisal of the teaching Staff of Kenya Polytechnic?
4. To what extent does performance appraisal issues and diversity influence the effectiveness of performance appraisal of the teaching Staff of Kenya Polytechnic?
5. To what extent do outcomes of performance appraisal influence the effectiveness of performance appraisal of teaching staff of Kenya Polytechnic?

1.5 Significance of the Study.

For the Kenya polytechnic to realize its dreams of becoming a center of excellence, assessment of the teaching staff performance is crucial in order to determine whether the learning objectives are achieved. Okumbe (1998) observes that teachers are the most important resource that a country has. This is because an efficient human capital development depends on the quality and effectiveness of teachers. The quality of technicians and professions depends on how well they have been prepared for the various roles in the society by the teachers. Staff performance must be therefore thoroughly assessed, maintained and improved where necessary in order to ensure quality of teachers. . The appraisal System should help the organization in realizing its objectives by identifying the strength and weaknesses of the teachers for the purpose of improving the teacher's performance.

Past studies on performance appraisal system have not spelt out the factors that affect the effectiveness of performance appraisal in TIVET Institutions. . This study will help to identify various factors that affect the effectiveness of performance appraisal of teaching staff of KENYA Polytechnic.

The study gave recommendations on improving employee performance appraisal system. This will enable TIVET Institutions to utilize the modern performance appraisal system that are relevant in the 21st century and thus allow the institutions to compete effectively in the service delivery and generally improve performance.

The study will help to develop an effective performance appraisal system that will motivate staff towards high performance. Effective performance appraisal system will help to improve staff performance because staff will know how, when and why they should perform their duties. Bosire (2000) observes that an effective performance appraisal system should: provide employees with adequate feedback concerning their performance; serve as a basis for modifying behavior towards more effective work habits and provide managers with data which they use to judge job assignments and compensation.

The findings of the study will help the management to create a suitable environment within which staff performance appraisal can be conducted effectively.

1.6 The Scope of the Study.

The study was conducted among the teaching staff of The Kenya Polytechnic, which is one of the TIVET Institutions. The teaching staffs are organized under fourteen teaching departments: Applied science; Business Studies; Building and Civil Engineering; Electrical and Electronics Engineering, Enterprise Development Center; Graphic Arts; Health Sciences and Biotechnology; Institution Management; Information and liberal Studies; Mechanical Engineering and Surveying and Mapping. Each department is headed by a head of department appointed by the Board or TSC. Each department is divided into units or sections depending on the area of specialization. The current enrolment stands at 4061 for regular students and 5673 part-time students. The part-time students who attend classes in the evenings, weekend and during vacations.

The Kenya polytechnic has a total of 350 teaching staff members who include TSC staff, Part-time teachers and heads of department.

The study was limited to Kenya Polytechnic teaching Staff due to the large number of staff and diversity of skills of staff. This formed a good sample size to use in finding out the factors that affect performance appraisal of the teaching staff in TIVET institutions.

1.7 Assumptions of the Study

1. There was a systematic performance appraisal carried out in TIVET Institutions.
2. Lecturers in TIVET Institutions understood the role of performance appraisal
3. Appraisal reports are influenced by their objectives.
4. Appraisal reports are acted upon by the management.

CHAPTER TWO

LITERATURE REVIEW

2.0 Introduction

The literature review gave an overview of literature related to performance appraisal system. Hypothesis formulated by different behavioral management scholars in relation to similar studies were presented. The review covered both theoretical and empirical studies.

Literature was reviewed in the following areas: Objectives of Performance Appraisal; Classification of Appraisal Systems; Performance Appraisal process; possible issues of performance appraisal; Performance measurement and the appraised; and improving performance Appraisal. The chapter closes with the Conceptual framework and a summary, which shows the need for the study on the factors affecting performance Appraisal of teaching staff in TIVET Institutions.

2.1 Objectives of Performance Appraisal;

Roger and Graham (1998) defines appraisal as the judgment of an employee's performance in a job based on considerations other than productivity alone. It is sometimes called merit rating, more frequently when its role object is to discriminate between employees in salary increase in wages or salaries.

Grayson (1984) noted that it is important for employees to be genuinely involved in the designing of an appraisal scheme, the evaluation of performance and the objective setting process. An appraisal scheme should be set up in an atmosphere of openness with agreement between management employees and employee representative on the design of the scheme (Grayson 1984:177). Employees need to have a clear understanding of the purpose of the evaluation or developmental.

The key principles of designing appraisal scheme are: It should be congruent with the organization competitive strategy; It needs to provide direction for continuous improvement activities and identify both tendencies and progress in performance;

Manifestly it needs to facilitate the understanding of cause and effect relationship regarding performance while remaining intelligible to those employees to which it applies; Should be dynamic covering all of the company's business process and provide real time information about all aspects of performance; It should provide a perspective of past, present and future performance which is visible to both employees and management. (Beardwell.et, al 2003),

Bosire (2000) in his paper suggests three objectives that may be achieved through effective performance appraisal system: To provide employees with the adequate feedback concerning their performance; To serve as a basis for modifying or changing behaviors towards more effective working habits; To provide managers with data which they may use to judge future job assignments and compensation

An effective performance appraisal system should have the following requirements:

Relevanc

e-the system should measure everything related to the objectives of the job; *Sensitivity*-capacity of a performance appraisal system in distinguishing effective from ineffective performance. It involves the rating of employees either the best or the worst;

Acceptability practice-easy to use and understand by both managers and employers

Carcio (1989).

Mullins (1996) in particular noted that performance appraisal system should not be viewed in isolation, but in relation to corporate objectives of the organization. It should be designed to suit the organization culture and in particular the requirements.

Cole (2003) outlined the reasons for performance as

- 1) To identify an individual current level of performance.
- 2) To identify employees strength and weaknesses in job performance
- 3) To increase morale on individual workers
- 4) To identify potential performers
- 5) To provide information for succession planners

2.2. Classification of Appraisal Systems.

Performance appraisal Systems may be classified into formal and informal. The informal

Appraisal involves a continuous process of feeding back to employee's information about how well they are doing their work for the organization. This can be conducted on a day- to day basis. The Manager spontaneously mentions that a particular piece of work was performed well or poorly, or the employee stops by the manager's office to find how a particular piece of work was received. James et al (2002) argue that because of the close connection between the behavior and the feedback on it, informal appraisal is an excellent way to encourage desirable performance and discourage undesirable performance before it becomes ingrained. They further add that employees must perceive informal appraisal not merely as a casual occurrence but as an important activity, an integral part of the organizations culture

Formal systematic appraisal usually occurs semiannually or annually. James et.al (2002) suggest that this system is best when the management wants to know formally how their current performance is being measured; to identify employees who deserve merit rises; to locate employees who need additional training and to identify candidates for promotion. Salee (2006) categorized Performance Appraisal system into: Trait oriented appraisal tools and Result based appraisal tools.

The traits oriented approach evaluates employee's personal qualities or behavior such as knowledge of the job, judgment, loyalty, punctuality, leadership, versatility and experience. Result oriented involves the evaluation of employee's performance in terms of both quantitative and quality. The two approaches are somewhat interrelated because personality traits influence the performance of employees.

Utah (2006) observed that performance appraisal systems focus on appraising performance based on job specific standards and is designed to provide detailed feedback in support of performance ratings He further argues that appraisal system should ensure job and conduct standards are relevant and representative of a quality performer and employees meeting the set standard earn a proficient rating.

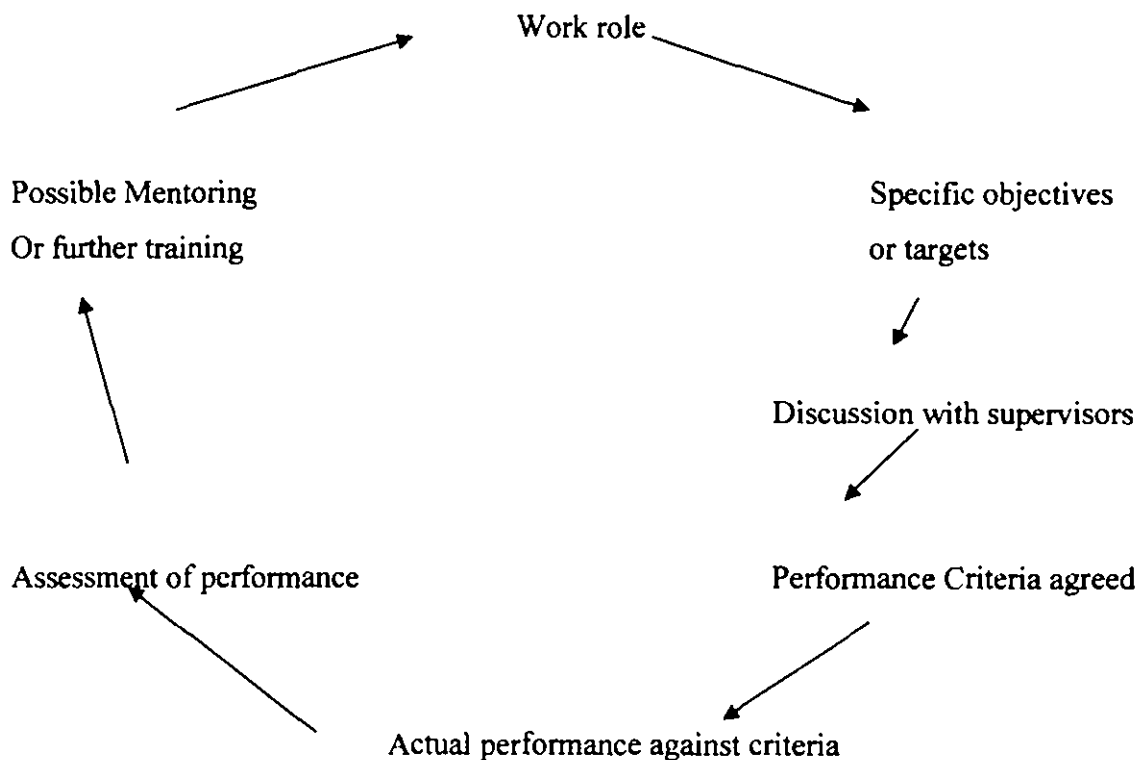
2.3 Performance Appraisal as a Process

Performance appraisal can be viewed as the process of assessing and recording staff performance for the purpose of making judgments about staff that lead to decisions.

Performance appraisal should also be viewed as a system of highly interactive processes which involve personnel at all levels in differing degrees in determining job expectations, writing job descriptions, selecting relevant appraisal criteria, developing assessment tools and procedures, and collecting interpreting, and reporting results.

Cole (2002) developed a basic model of appraisal process. The model sets out the cyclical nature of the processes around the employees expected work outputs and the criteria or standards against which the assessment will be made. The model is as shown in the figure 2.1 below.

Figure 2.0: The context of performance appraisal

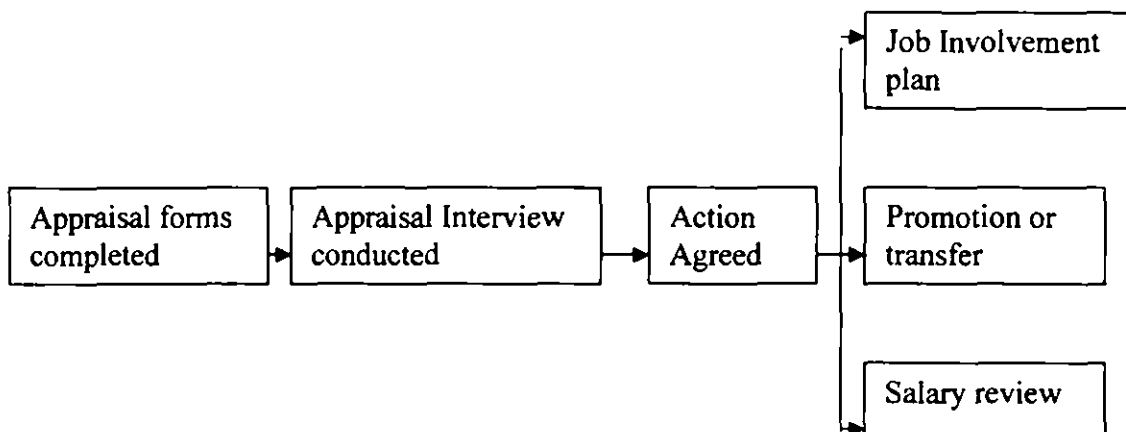


Source: Cole (2002)

The Figure above shows the context of performance appraisal. The targets to be achieved need to be discussed between employee and manager so that the former is genuinely able to commit to the challenge. Performance Criteria should be agreed upon between the employer and the employee in advance. Cole recommends the need for improvement after evaluation is done. Where training Gap exists employee should be trained.

Cole (2002) further outlines in its simplest form the appraisal process in terms of assessing individual performance against targets. This process is depicted in the figure 2.1 below.

Figure 2.1: The Appraisal Process



Source: Cole (2002)

Any systematic approach to performance appraisal will commence with the completion of an appropriate appraisal form. Then followed by an interview in which the manager discusses progress with the member of staff. The result of the interview is some form of agreed action either by the staff member alone or jointly with his or her manager. The action materializes in the form of a job improvement plan, promotion to another job or to a salary increase. (Col 2002) An effective appraisal system should address clarity, openness, and fairness; recognize productivity through rewards; and be cognizant of appraiser leadership

qualities.

2.4. Performance Appraisal tools

Performance measurement is a key aspect of performance appraisal. Armstrong (2003) points out that it is pointless to define objectives or performance standards unless there is an agreement and understanding on how performance in these objectives or standards will be measured. Performance measures should give evidence as to whether the targets or standards have been met and to what extent. This will then form the basis for providing feedback useful to the employees and the organization.

Companies use many different forms of performances appraisal methods according to their needs and management preferences. Whatever the method used, it is necessary that both the appraiser and the appraised agree on them. Armstrong (2003) contends that what is important is the joint consultation between the appraiser and the appraised in the performance management process but “not the content of the system, content often seems to consist largely of documents. Performance management is about managing and improving performance

The following methods have been suggested by various researchers and applied in various organizations.

(a) The Ranking Method.

The ranking method is one of the oldest methods. Evaluation of performance is done against established factors of the scale. According to Roberts (2001) the factors such as job related qualities or behaviors or certain personality traits are taken into consideration. Individuals are then rated on the extent to which they possess these factors. The rating scale can be numerically, alphabetically or graphically represented on a Continuum from ‘very high’ to ‘very low’. It is a comparative measure of assessment in which employees are assessed against present and documental measures of effectiveness and placed in a hierarchy from best to worst.

At Cummins Engines, the appraisal system is based on a 10:80:10 ranking scheme. Those employees ranked to the top 10% are identified for promotion and special

development. Those identified within the next 80% are maintained within the organization and the remaining 10% are effectively 'managed out' of the organization. (Roberts 2001)

Armstrong (2003) argues that the ranking system is very open and there no secrets over how it operates in practice thus best to use when deciding on the pay.

However, although ranking method puts subordinates in order of merit, it does not show how much better the first employee is than the last. (Graham Roger, 2002).

(b) Rating Method.

The rating scale method offers a high degree of structure for appraisals. Each employee trait or characteristic is rated on a bipolar scale that usually has several points ranging from "poor" to "excellent" (or some similar arrangement).

The traits assessed on these scales include employee attributes such as cooperation, communications ability, initiative, punctuality and technical (work skills) competence.

The nature and scope of the traits selected for inclusion is limited only by the imagination of the scale's designer, or by the organization's need to know. The one major provision in selecting traits is that they should be in some way relevant to the appraiser's job.

(c). Behavioral Anchored Rating Scale (BARS)

Beard well.et al, (2002) suggest a simpler and better method of appraisal (BARS) which requires the assessor to select some aspect of a subordinate's behavior considered by the appraiser to be typical of the appraisal's performance to a certain aspect of a job. The method involves the following stages: Meetings are held with superiors and/or outside consultants to identify several key aspects or categories of performance in particular jobs; The same or other sources of information are used to provide examples of good average and poor performance for each category of performance in an individual job; A number of such categories or anchors are generated (frequently 6-9 per job) and each is assigned a value for instance 1-7 or average; above average and so on.

The greatest advantage of rating scales methods is that they are structured and standardized. This allows ratings to be easily compared and contrasted - even for entire

workforces.

Each employee is subjected to the same basic appraisal process and rating criteria, with the same range of responses. This encourages equality in treatment for all appraisees and imposes standard measures of performance across all parts of the organization.

Rating scale methods are easy to use and understand. Both appraisers and appraisees have an intuitive appreciation for the simple and efficient logic of the bipolar scale. They are widely acceptable and popular.

Many employers use rating committees to evaluate employees, who provide a more reliable, fair and valid rating since they are composed of the employee's immediate supervisor and three or four other supervisors.

However the rating method has the following disadvantages:

The rating relevance. The selected rating-scale traits may not be relevant to the jobs of all the appraisee. It is inevitable that with a standardized and fixed system of appraisal that certain traits will have a greater relevance in some jobs than in others.

For example, the trait "initiative" might not be very important in a job that is tightly defined and rigidly structured. In such cases, a low appraisal rating for initiative may not mean that an employee lacks initiative. Rather, it may reflect that fact that an employee has few opportunities to use and display that particular trait. The relevance of rating scales is therefore said to be context-sensitive. Job and workplace circumstances must be taken into account.

Systemic Disadvantage. There is an assumption that all the true and best indicators of performance are included, and all false and irrelevant indicators are excluded.

This is an assumption very difficult to prove in practice. It is possible that an employee's performance may depend on factors that have not been included in the selected traits. Such employees may end up with ratings that do not truly or fairly reflect their effort or value to the organization. Employees in this class are systemically disadvantaged by the rating scale method.

Perceptual Errors This includes various well-known problems of selective perception (such as the horns and halos effect) as well as problems of perceived meaning.

Selective perception is the human tendency to make private and highly subjective assessments of what a person is "really like", and then seek evidence to support that view (while ignoring or downplaying evidence that might contradict it).

This is a common and normal psychological phenomenon. All human beings are affected by it. In other words, we see in others what we want to see in them.

An example is the supervisor who believes that an employee is inherently good (halo effect) and so ignores evidence that might suggest otherwise. Instead of correcting the slackening employee, the supervisor covers for them and may even offer excuses for their declining performance.

On the other hand, a supervisor may have formed the impression that an employee is bad (horns effect). The supervisor becomes unreasonably harsh in their assessment of the employee, and always ready to criticize and undermine them.

The horns and halo effect is rarely seen in its extreme and obvious forms. But in its more subtle manifestations, it can be a significant threat to the effectiveness and credibility of performance appraisal.

Perceived Meaning. Problems of perceived meaning occur when appraisers do not share the same opinion about the meaning of the selected traits and the language used on the rating scales.

For example, to one appraiser, an employee may demonstrate the trait of initiative by reporting work problems to a supervisor. To another appraiser, this might suggest an excessive dependence on supervisory assistance - and thus a lack of initiative.

As well, the language and terms used to construct a scale - such as "Performance exceeds expectations" or "Below average skill" - may mean different things to different appraisers.

Rating Errors .The problem here is not so much errors in perception as errors in appraiser judgment and motive. Unlike perceptual errors, these errors may be (at times) deliberate.

The most common rating error is central tendency. Busy appraisers, or those wary of confrontations and repercussions, may be tempted to dole out too many passive, middle-of-the-road ratings (e.g., "satisfactory" or "adequate"), regardless of the actual performance of a subordinate. Thus the spread of ratings tends to clump excessively around the middle of the scale.

This problem is worsened in organizations where the appraisal process does not enjoy strong management support, or where the appraisers do not feel confident with the task of appraisal.

(d) Open-ended method

As a result of dissatisfaction with rating scales many supervisors prefer the use of open-ended method, which emphasizes the way the job, is performed and expects the manager to write a short recommendation about the subordinates. For instance the manager may answer the following questions: What are the employees' strong points? What are the employees' weak points? Write an account in general about the employee.

Graham and Bennett (2002) suggest that open ended is best when the subordinate jobs are relatively unstructured allowing differences in performance to be clearly shown. He however points out that though good, the method cannot be used for pay purposes.

(e) Management by Objectives (M.B.O)

This system attempts to improve the performance of the company and motivates, assesses and trains its employees by integrating their personal goals with the objectives of the company. Graham and Rogers (2002) points out that employee agree with the manager what his or her performance objectives should be over a set period. The objectives are ideally expressed quantitatively and are taken from key areas of the job i.e. tasks which if done well will cause the whole job to be done well. At the end of the period the employee and manager review jointly the achievement of the objective. According to Ben net and Graham (2002) MBO is intended to encourage employee participation, and increase job satisfaction by giving employee a sense of achievement and involvement with his or her work. The manager can appraise the employee referring to specific performances ratio than by making subjective judgment training needs may

also emerge during the discussion at the beginning and end of the review period. It also encourages employees to think hard about their roles and objectives about why tasks are necessary and how best to get things done.

Targets are clarified and the crucial elements in each job identified.

Superiors and subordinates are obliged to communicate with each other, and there is forced coordination of activities between various levels of management, department and between short and long term goals.

Graham and Roger (2002) however argue that setting joint objectives may be difficult for both the manager and the employee. He highlighted some possible problems of MBO such as; it attempts to quantify performance in activities that are not really quantifiable (e.g. advisory duties); it concentrates on short-term measurable goals while neglecting important but less precise long-term objectives; Difficulties arising from lack of resources, information and curiosity needed to achieve them;

(f) Narrative (free written report)

The appraiser writes essay type answer to a number of statement or questions set on the appraisal document. The statements or questions are based on performance factors or traits on which the employee is being appraised.

(g) Work standards method

This method is used to provide an objective basis for evaluating employee performance thus it is likely to be viewed favorably by employees. However when it is used as a basis of making salary and promotion decisions it may be difficult to compare employees who work at jobs with different work standards

(h) Critical incident method

Employee's incident in behavior are identified and recorded. The incident is considered critical when it illustrates that the employee has done or failed to do something that results in unusual success or unusual failure on some part of the job. Critical facts are the employee actions that really make performance outstanding effective or ineffective. This method provides the supervisor with hard examples of good or poor performance, which

support in explaining how the employee is appraised. The supervisor is able to monitor employee's performance throughout the year and is able to address incidents critical in improving performance.

(i) Assessment centers

This method is designed to identify managerial abilities. Members from various departments are brought to work together on group assignments under the supervision of assessors. Interviews conducted for a number of days or Case Analysis may be used to assess appraises. At the end of the period the analysis is done to get an overall assessment of the participant's qualifications for promotion.

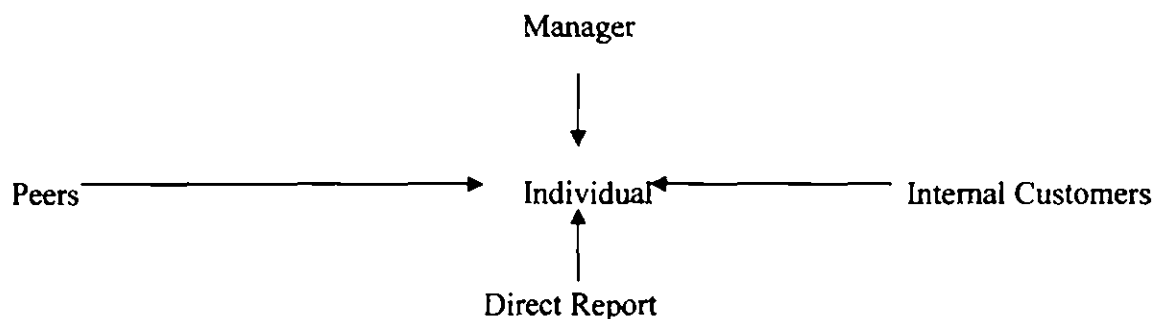
(j) The 360-degree feedback

The 360-degree feedback is a relatively new feature of performance. It has been defined as 'the systematic collection' and feedback of performance data on an individual or group derived from a number of the stakeholders on the performance. The method is referred to as multi source assessment or multi-rater feedback. Armstrong (2005).

Rajcev (2002) points out that traditionally only the superiors appraised the performance of a manager and now the 360-degree method gives opportunity to the superior and colleagues of the manager to appraise his performance. The figure below illustrates the 360 degree method.

The 360-degree feedback is illustrated the figure 2.3 below.

Figure 2.2: The 360 degree feedback method



Source; Armstrong (2005)

Armstrong (2005) explains that feedback about the employee can be generated from the person to whom they report (manager), their direct reports, their peers (team members or colleagues) and their external and internal customers. Rajeev suggests the 360-degree feedback as a technique for appraising managers. He argues that the 360-degree method calls attention to important performance dimensions, which may hitherto have been neglected by the organization.

(k) The 540 degrees feedback method

Rajeev (2002) suggests the 540 degrees feedback method as an improvement of 360-degree method. He points out that in addition to internal assessment, his customers and suppliers should evaluate the manager. The general electric company (USA) was the first to use the 540-degree method of appraisal. (Rajeev, 2002)

In recent years, emphasis on self-appraisal has grown considerably. A survey conducted in British academic libraries in 1992, showed that in 35 universities and six polytechnics, libraries are operating a staff appraisal scheme of which the most popular method was self-assessment (Jordan et. al 1996). Self-appraisal methods enable employees to own their appraisal. Margerison (1976) suggests that self-assessment is the way to give a complete picture of performance of the employee and avoid a criticize-defend scenario. Gregory (1997) also advocates for self-appraisal because of the self-knowledge of employees to quote him 'the individual knows more than anybody else about his own capabilities, strengths, weaknesses and goals available. This method can provide the superior with the knowledge he needs to make such decisions such as ratings, aptitudes and personality tests'. However the basic problem of self-assessment is that employees usually rate themselves higher than superiors or peers rate them. (Desler.1997)

(l) The Halogen e-Appraisal system

Liz, the director of HR-corporate initiatives –Nestle Canada, in her article in web journal proposes the use of Halogen e-Appraisal (H e -A) system. It is a web based employee performance appraisal and assessment Review provided by e-appraisal .The method is flexible, feature-rich performance appraisal solution that replaces today's time consuming 'computerized paper' appraisals with a simple to use web-based system. Its

extensive authoring aids and point-and-click simplicity dramatically improve HR and line manager's productivity resulting in professional quality reviews in a fraction of the time. Liz argues the system makes it profoundly easy to create forms the way you want and roll out appraisals the way you want with just a few mouse clicks. The method is also flexible. One can do employee reviews the way he wants, for instance the steps and the groups wanted could be included and a thing done in order one wants.

E-Appraisal allows you to incorporate organizational goals to multiple levels and track relevant milestones or key performance indicators throughout the year. It supports SMART and cascading Objectives. Automatically the system notifies managers or employees about upcoming tasks and even 'nags' those who are late. Employees are tracked for 365 days.

Liz also provides a permanent solution to appraisal problem by suggesting Halogen E-Appraisal 360 degree evaluation –feedback software, a, web based self-assessment method.

2.5 Performance Appraisal issues and diversity.

Beard well et al (2003) points out whatever approach to performance appraisal, there will be inevitable issues and concerns. In essence, to assess an employee performance involves some form of human judgment, which may be subjected to some unreliability, validity and problems.

Kinnie and Lowe (1990) also state that appraisers may find it difficult to identify and measure the distinct contribution of each individual. This can be because the appraiser doesn't really know the appraisee or because as suggested by Howell and Cameroon (1996) employees are constantly moving from one project to another.

There may also be external factors beyond the control of the individual employee, which affect their performances such as resources, processes, technology corporate, and human resource strategy, working environment external business context and management.

Equally the appraisal might be skewed because if there is a long time span between appraisal, managers may place greater importance on more recent performances called the 'recently effect' thereby possibly ignoring incidents that had occurred earlier.(Beard well. et.al.2003).

The following important issues are outlined by Beard well et al (2003) in performance appraisal

(1) **Role of the managers.** Supervisors may lack the required technical skills and people management skills to be able to conduct an effective appraisal. Lack of time by managers, may also be a hindrance to an effective appraisal process. The altitude of the manager may also affect the process where managers may perceive the process as bureaucratic, nuisance and form filling exercise.

(2) **Demoralization consequences.** An appraisal outcome that labels an employee as simple average may lead to demoralization. Mageerison (1976) argues that when one person begins to make a judgment on another, unless that judgment is favorable, reaction and resistance begins to set in.

(3) **Conflicting roles.** Newton and Find hay (2000) makes reference to the writings of McGregor who draws attention to the issues of the conflicting roles of the appraiser as both disciplinable 'judge' and helpful 'counselor, Suggesting the modern emphasis of appraisal is on the manager as a leader who strives to assist employees achieve both their own and their company objectives, acting as a soul of mentor or counselor concerned with the personal growth and development of the employee. At the same time the manager is charged with identifying strict targets for achievements and performance. This can involve identifying areas where previous performance has been less satisfactory leading the managers to the role of 'Judge' These two roles provide an opportunity for improvement.

An appraiser must not discriminate against anyone on the basis of age, gender race religion, disability or qualification.

Decenzo and Robbins (1998) suggest the following ways to give proper and improved job performance appraisal:

(a) **Combine of little and relative standard:** this is entirely aimed at minimizing the drawbacks associated with individual and relative standard. Individual or absolute standard tend to be biased by the positive leniency i.e. the evaluators lean towards packing their subject to the high part of the ranking.

(b) **Evaluation by colleagues:** due to the fact that the managers are not involved in the actual job performance evaluation there is need to include individual fellow workers to

carry out the exercise upon one another. This will result in actualization of information as regards a certain employee in relation to job performance. Information got from peers (employee co-workers) is adequate and accurate as they are too doing the same things. This will enhance improved teamwork spirit by a constructive insight and also that the recommendations advanced tends to be more specific regarding job behavior.

(c) **Multiple raters:** there should be several raters in order to determine comparison analysis by probability out of the data collected. Different appraisers may determine subordinates performance differently but a consensus may be reached out of proper average scaling

(d) **Encouraging one rewarding accurate appraisers:** managers carrying out the exercise must perceive the process as a personal and carrier opportunity in the interest of the company's goals and objectives. They should be properly awarded for doing effective appraisals in order to avoid rush off and non commitment analysis aimed at performing the duty for the sake.

(e) **Training of appraiser:** Common errors and malpractices associated with poor rating process will be eliminated if training through seminars and workshops is offered to the appraisers. The trainers should be holders of the relevant education and qualifications related to the subject.

2.6 Empirical Studies.

The empirical studies gave an overview of what various researchers put forth about performance appraisal and factors that affect its effectiveness. The study covered the work of Heneman et al (1989), Gabris & Mitchell (2003), Krein (1990) and Kiruja (2008) research work that she undertook in the ministry of education Nairobi province to determine the factors that affect performance appraisal of staff.

Heneman et al (1989) studied supervisors in nearly 40 different organizations and concluded that poor performers might not be given a fair chance to improve on their performance unlike the good performers. They found that subordinates tend to be divided into two groups: in-groupers and out-groupers. The in groupers are subordinates who seem to be favored by their supervisors. In their relationship with the boss, they enjoy "a high degree of trust, interaction, support and rewards."

On the other hand, out groupers don't do as well. They appear to be permanently out of favor and are likely to bear the brunt of supervisory distrust and criticism. The effect is therefore similar to the horns and halo effect; supervisors tend to judge employees as either good or bad, and then seek evidence that supports that opinion.

It was found that when an in grouper did poorly on a task, supervisors tended to overlook the failure or attribute to causes such as bad luck or bad timing; when they did well, their success was attributed to effort and ability. But when an out grouper performed well, it was rarely attributed to their effort or ability. And when an out grouper performed poorly, there was little hesitation in citing the cause as laziness or incompetence.

It is not clear how supervisors make the distinction between in groupers and out groupers. Whatever the criteria, it is clearly not objective, equitable or reliable. This bias must inevitably lead to a distortion of the appraisal process. It must also be a source of frustration for those employees who are discriminated against. (Heneman et al 1989)

Gabris & Mitchell (2003) explored the extent of the frustration encountered during an appraisal process. They studied an organization with a quarterly performance appraisal system. The workforce was divided into two groups: those who had been given high appraisal results consistently, and those who had low results consistently.

When the groups were asked if the appraisal system was fair and equitable, 63 per cent of the high performers agreed, compared to only 5 per cent of the lower performers.

The groups were asked if their supervisors listened to them. Of the high performers, 69 per cent said yes, while among the low performers, 95 per cent said no.

Finally, when asked if their supervisors were supportive, nearly half of the high performers agreed that they were, while none (nil, zero!) of the low performers agreed.

Of course, not everyone who gets a poor appraisal result is a victim of supervisory bias. Nor are all supervisors prone to making the same degree of in-group and out-group distinction. The effects discussed here are tendencies, not immutable effects. But to some extent, it appears that certain employees may be unfairly advantaged, while bias effects in the judgments of supervisors disadvantage others.

It is a cardinal principle of performance appraisal that employees should have the chance to improve their appraisal results - especially if their past results have not been so good. It is a very serious flaw in the process of appraisal if this principle is denied in practice. Gabris & Mitchell (2003) suggested the following reasonable steps, which could be taken to limit the effects of supervisory bias:

Awareness Training- The first line of defense lies in raising awareness of the problem. Supervisors need to be informed of the types of subtle bias that can interfere with their performance as appraisers. They need to understand that the ingroup/outgroup bias, for instance, reduces the morale and motivation of their subordinates.

Developing Poor Performers Incentives, financial or non-financial, may be offered to encourage supervisors to make special efforts to help poor performers improve. Supervisory appraisals, for example, might stress the importance of working with poor performers to upgrade their performance. The possibilities are extensive.

Counseling, Transfer, Termination-There is always the possibility that an employee who receives poor appraisal results is in fact a chronic poor performer. No employer is obliged to tolerate poor performance forever. Consistently poor appraisal results will indicate a need for counseling, transfer or termination. The exact remedy will depend on the circumstances.

According to Krein (1990), appraisers should not confront employees directly with criticism. Rather, they should aim to let the evidence of poor performance emerge "naturally" during the course of the appraisal interview. This is done by way of open-ended questioning techniques that encourage the employee to identify their own performance problems.

Instead of blunt statements or accusations, the appraisers should encourage an employee to talk freely about their own impressions of their performance. For example, consider

the case of employee who has had too many absent days. The appraiser, in accusatory mode, might say: " *Your attendance record is unacceptable. You'll have to improve it.* " A better way to handle this might be to say: " *Your attendance record shows that you had 7 days off work in 6 months. What can you tell me about this?* "

The technique is to calmly present the evidence (resisting the temptation to label it as good or bad) and then invite the employee to comment. In many cases, with just a gentle nudge from the appraiser here and there, an employee with problems will admit that weaknesses do exist. This is much more likely when an employee does not feel accused of anything, nor forced to make admissions that they do not wish to make.

If an appraiser can get an employee to the stage of voluntary admission, half the battle is won. The technique described by Krein is a type of self-auditing, since it encourages the employee to confront themselves with their own work and performance issues.

The technique is useful because it is more likely to promote discussion and agreement on the need for change. Confrontation techniques that rely on "charge and counter-charge" tend to promote adversarial and that leads to denial and resentment.

Perhaps the most powerful aspect of the self-auditing process is that employees are more willing generally to accept personal "ownership" of problems that have been self-identified. This sense of ownership provides an effective basis for stimulating change and development. (Some would argue that it provides the only basis.)

Nevertheless there are individuals who will not admit to anything that appears to reflect poorly on them. With ego defenses on full alert, they will resist the process of self-auditing very strongly. In such cases, appraisers may have no choice but to confront the poor performer directly and firmly with the evidence they have.

Sometimes the shock of direct confrontation will result in the employee admitting that they do need to make improvements. But sometimes it will just make their denial of the problem worse.

In providing any feedback - especially negative feedback - appraisers should be willing and able to support their opinions with specific and clear examples. Vague generalizations

should be avoided.

The focus should be on job-related behaviors and attitudes. If a specific observation cannot be supported by clear evidence, or touches on issues that are not job-related, it may be best to exclude all mention of it. Appraisers must carefully scrutinize their own perceptions, motives and prejudices.

Kiruja (2008) in her study 'the factors affecting performance appraisal of the ministry of education staff in Nairobi province' recommended a similar study to be carried out for the purpose of comparison. Kiruja (2008) investigated the factors that affected performance contracting method used in the civil service. Kiruja's research investigated whether performance appraisal tools, employee involvement in setting their own standards and obtaining feedback affected performance appraisal of staff in the ministry of Education in Nairobi province. The target population of the study was civil servants in the ministry of Education Nairobi province. Kiruja (2008) divided the sample size into three categories, quality assurance, directorate staff and support staff. From a population of 285 staff, a sample size of 30 staff (approximately 10%) was selected using stratified sampling. the choice of the sample design was to ensure that all groups were represented and also ensured adequate cases for subgroup analysis.(Kiruja 2008)

For the purpose of data collection, Kiruja (2008) categorized the sample size according to their functions and departments and distributed questionnaires to the respondents. Kiruja (2008) analyzed data using descriptive statistics such as percentages and cumulative frequencies and used Frequency distribution tables, histograms, pie charts and histograms for presentation.

Kiruja's (2008) study showed that 57% of the respondents were satisfied with the appraisal tools used in appraising the staff which included the government staff performance appraisal form, the district work plans and personal work plans. However Kiruja (2008) stated that the respondents felt that the tools did not take into account the appraisee personal attributes, such as hard work, patience which are also important in performance. In addition there was frequent addition or change of responsibilities of staff before the appraisal period was over. According to Kiruja (2008) there was inconsistency in the responsibilities carried out by the worker which made appraisal

difficult. However majority of the respondents (78%) in Kiruja's study in the ministry of Education revealed that introduction of performance contracting tool had a great impact on performance appraisal in civil service. The study cited delay in receiving the appraisal forms which in turn delayed the whole process of appraisal as one of the factors that contributed to ineffectiveness in performance appraisal of civil servants within the ministry. Kiruja's (2008) study also cited the frequent inter-ministerial or interdepartmental or geographical transfer as one of the factors that affected the monitoring of performance over a given period of time.

All respondents (100%) in Kiruja's study indicated that staff involvement in setting targets affected performance appraisal. From Kiruja's study, 59% of the respondents stated that they were not involved in setting their own targets on work performance within which they were appraised. According to Kiruja (2008) this affected the appraisal exercise and made the staff to view the exercise as a mere routine procedure which did not yield any positive result. Those who indicated the appraisal exercise was effective felt performance contracting had increased accountability among public officers since they were involved in setting their own targets thus perfecting performance appraisal.

From the 28 respondents, Kiruja (2008) noted that 57%, it did not get feedback of performance appraisal though 76% of the respondents stated the importance of feedback during the appraisal process. Kiruja (2008) concluded that lack of feedback denied workers an opportunity to learn from their results and improve on them and therefore recommended that workers should be given an opportunity to learn from their mistakes through support and feedback of the appraisal reports so as to perfect the whole exercise.

On demographic factors, 43% of those interviewed by Kiruja (2008) felt that with the introduction of performance contracting method in civil service, civil servants were more involved in decision making and evaluation of performance was done more fairly. However according to Kiruja (2008) issues such as gender bias, ethnicity and political influence had a hand in determining internal promotions before the introduction of performance contracting.

Kiruja (2008) also recommended that performance appraisal should be accompanied by performance-oriented change in public service structure and management culture. Culture that embraces participatory principles in formulating management instruments and standards as well as feedback mechanisms to the appraised to help them learn from their mistakes should be encouraged. Kiruja's study also called for a need for setting up a well defined training Programme for the public servants in order to support implementation. According to kiruja (2008), regular overall evaluations, inter-ministerial comparisons and audits of benefits and drawbacks of performance appraisal should be conducted in order to learn from diverse experiences. Differences in implementing contexts may provide different learning experiences.

To understand better the factors that affect performance appraisal in Kenyan Institutions, Kiruja (2008) recommended a similar study to be conducted in other ministries or public institutions for comparison purposes.

2.7 Summary and Gaps to be filled by the study.

From empirical studies, kiruja (2008) cited, ineffective performance appraisal tools, lack of employee involvement in setting standards and targets, poor feedback of the appraisal results inconsistency in the appraisal exercise as some of the factors that hindered the effectiveness of performance appraisal of staff in the ministry of education Nairobi province. She recommended a comparative study be conducted in other ministries or institutions in order to gain more insights into factors that inhibit the implementation of performance appraisal in Kenya.

Unlike Kiruja's study, which was conducted among the staff in the ministry of education, this study was carried out in a learning institution which has unique roles of instilling discipline to students and ensuring that students do well in their final examinations. This makes performance appraisal of teaching staff more complex and unique as compared to that of civil service where their main objective is to deliver service to the public.

The literature review indicates the need to establish the factors that affect the effectiveness of performance appraisal of teaching staff in TIVET Institutions with a

view to improving the quality of performance of teachers, Students as well as the organization performance. Once these factors are identified, strategies on how to overcome these barriers to achieving the effectiveness of the appraisal can be laid down.

In the year 2008, the Government of Kenya proposed the use of performance contracting system in evaluating employee performance in the teaching profession. This method measures employee performance on the basis of objectives that are set and evaluated at the end of the year. It calls for involvement of both the supervisor and the employee in setting targets. Unlike in the civil service where performance contracting has taken root, the method is yet to be introduced in TIVET Institutions as a method of appraising the teaching staff. However if performance contracting is embraced in TIVET Institutions, its effectiveness is likely to be influenced by similar factors influencing the current performance appraisal. Therefore there is need to identify these factors in order to improve on the effectiveness of the appraisal system in evaluating the teaching staff in TIVET Institutions. Kiruja's study revealed that implementation of performance contracting in civil service has yielded better results and to some extent improved the appraisal exercise reducing bias and effects on demographic factors such as gender, ethnicity and political interference

2.8 Conceptual Framework.

Performance appraisal is an integral part of performance management process. The literature review revealed that a wide range of differences exist in the appraisal practice, from supervision dominated to collaborative systems, from systems seen to be the property of the personnel department to one where all stakeholders are participants. Despite, all the fore mentioned, two things seemed to be clear, the need for setting appraisal objectives and ensuring appraisee feedback. The appraised should participate as much as the appraiser in the appraisal process, Objectives must be spelt out clearly by the institutions so that they guide the users on what to be assessed thereby minimize yardsticks likely to be encountered within the appraisal exercise.



With clear Objectives, performance appraisal tools may be used effectively to assess performance against agreed target or objectives thus provide information to the individual on performance progress. The appraisee should also be involved in appraising him or herself in order to understand and become sensitive to the problems encountered by appraisers. Appraisers should observe and recall all the activities undertaken by appraisees and fill forms objectively in order to justify ratings given. Krein (1990) has suggested self-Auditing. He argues that appraisers should not confront employees directly with criticism. Rather, they should aim to let the evidence of poor performance emerge "naturally" during the course of the appraisal interview. This is done by way of open-ended questioning techniques that encourage the employee to identify their own performance problems.

On staff demographic factors, any form of discrimination on the basis of gender, age, or any other factor is likely to affect the effectiveness of the appraisal. Transparency and fairness is important to ensure accuracy of the results.

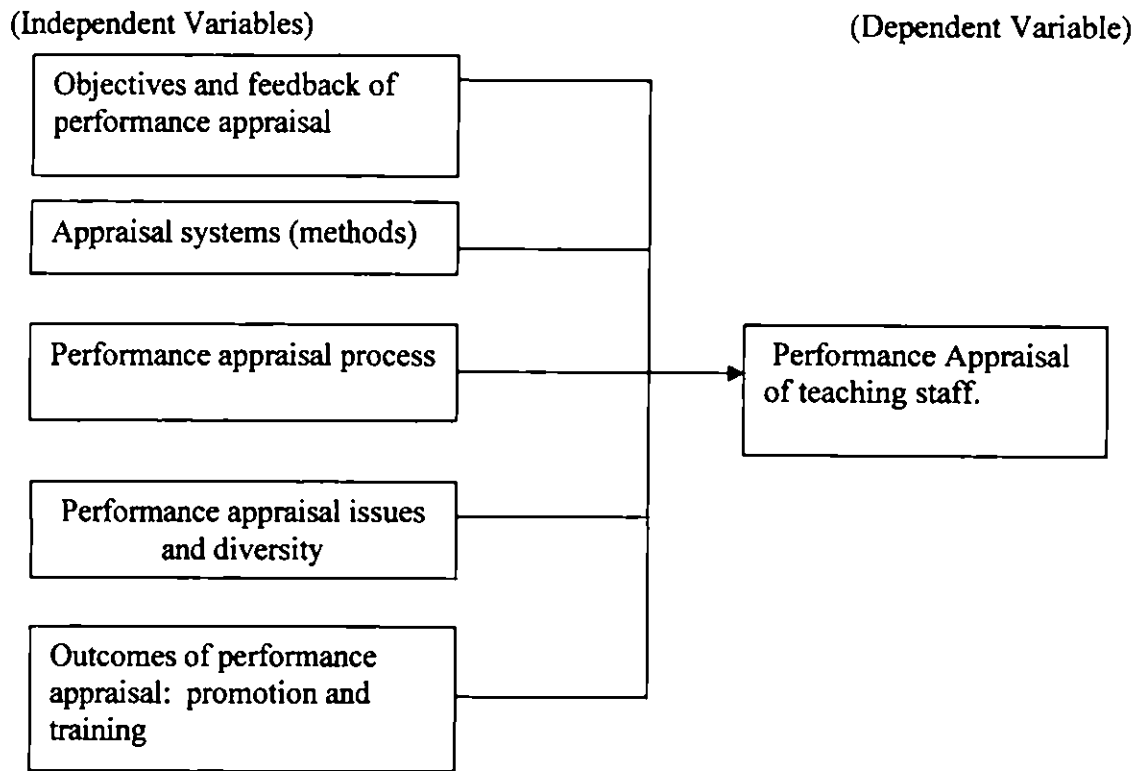
Issues that arise in performance appraisal exercise are likely to affect employee performance appraisal system. Any bias effect on the part of the employee by the supervisor is likely to affect the appraisal system. An employee who feels that evaluation on his part was not fairly done may feel demoralized towards his/her job and thus frustrate the appraisal process. An employee whose performance was highly rated but does not get a promotion on the basis of his/her merit also feels demoralized towards his work this is likely to influence the appraisal process in the following year.

Arising from the above argument the following independent variables may influence the performance appraisal of the teaching staff in TIVET institutions

1. Performance appraisal objectives and feedback.
2. Performance appraisal methods.
3. Performance appraisal process
4. Performance appraisal issues and diversity.
5. Outcomes of the appraisal exercise. –Training and promotion

The conceptual framework is illustrated in the figure 2.4 below

Figure 2.3: The Conceptual Framework.



Source: Author (2008)

CHAPTER THREE

METHODOLOGY

3.0 Introduction.

This chapter describes the research methodology that was used in the study to establish the factors affecting the effectiveness of performance appraisal of teaching staff in TIVET Institutions. The methodology describes: the research design; Location of the study; Target Population; Selection of the sample; Data collection procedure and instruments; Data analysis and presentation; expected outcomes and the Chapter summary.

3.1 Research Design

The study took the form of descriptive research design. Descriptive studies involved subjects being observed in the natural set ups. The relationship between performance appraisal system and the various factors that are likely to influence the effectiveness of the system at Kenya Polytechnic were described. the research objectives which included : to determine the extent to which objectives of performance appraisal and feedback influenced the effectiveness of performance appraisal of the teaching Staff of Kenya Polytechnic; to find out how the appraisal systems (methods) affected performance appraisal of the teaching Staff of Kenya Polytechnic; to find out whether performance appraisal process influenced performance appraisal of the teaching Staff of Kenya Polytechnic; to determine whether performance appraisal issues and diversity influenced performance appraisal of the teaching staff at Kenya Polytechnic and to determine the extent to which the outcomes of appraisal exercise influenced the effectiveness of performance appraisal of the teaching Staff of Kenya Polytechnic. Analysis of the study was also guided by research questions which had been formulated from the research objectives. The choice of the descriptive research design was based on kiruja (2008) descriptive research design which she adopted in her research. Her study (the factors that affect performance appraisal of civil service in the ministry of education Nairobi province) was selected for comparative purpose since it was similar to this research study. From these descriptions information was obtained which helped in drawing valid conclusions based on the research topic. Kiruja (2008) choice of the descriptive studies

was that they are designed to obtain pertinent and precise information concerning the status of phenomena and whenever possible to draw valid general conclusion from the facts discovered.

3.2 Target population

The target population was the teaching staff of Kenya Polytechnic. The population comprised of 350 teaching staff, who were categorized into three groups: TSC teaching staff, heads of department and part-timers or Kenya Polytechnic employees as shown on the table below. The Heads of department are responsible for filling in the appraisal forms and giving information about the teaching staff. Kenya Polytechnic was selected for the study due to its ideal location and convenience for data collection. It is located within the Central Business District of Nairobi.

Table 3.0 Total number of staff in the target population

Category of staff	No. of staff/population	Percent	Cumulative Percent
TSC teaching staff	290	82.9	82.9
Part-time teaching staff	47	13.4	96.3
Heads of Department	13	3.7	100
Total	350	100	

Source: Survey data

The population means a complete census of all items in a research area of investigation. For the purpose of the study, a sample was selected from the population

3.3 Selection of the Sample Size

From the population of 350, a sample size of 35 (approximately 10%) was considered using stratified random sampling. This was appropriate because it enabled comparing different subgroups which included the TSC Teaching staff (290), part-time staff (47) and heads of department (13). The sample size gave more than the 10% of the total population data representation. Kiruja (2008) in her research study on the factors affecting performance appraisal of staff in the ministry of education in Nairobi province selected a sample size of 30 staff that gave approximately 10% representation. To allow equal chance for all sample units to be selected among each category of staff, simple random sampling method was also used within each category of staff..

Table 3.1 Sampling design

Category of teaching staff	No. of staff/population	Sample ratio	Sample size
TSC Staff	290	0.1	29
Part-time staff	47	0.1	4.7
Heads of department	13	0.1	1.3
Total	350		35

Source: Survey data

3.4 Data Collection Procedure and Instruments.

In order to obtain useful research results and reliable data, the following methods were used in data collection:

3.4.1 Pilot Study.

A pilot survey was done through observation and informal interviews in order to develop the statement of the problem. Out of ten teaching staff interviewed on the performance

appraisal of the teaching staff, eight of them felt there is a problem with the current appraisal system hence needs to find out the factors that are affecting its effectiveness. Kothari (1990) recommends undertaking a pilot study before defining a research problem in order to develop a suitable and researchable problem.

For test validity and reliability over use of questionnaires in collection of data, five questionnaires were distributed randomly to the teaching staff. This helped the researcher to familiarize with data collection procedures. Kothari (1990) points out the importance of a pilot study as the study being a replica and rehearsal of the main survey and also brings out the weaknesses (if any) of the questionnaires and also of the survey techniques thus effecting improvement of the research.

3.4.2 Secondary Data.

A study of the existing records such as the teaching staff files, computer database and past appraisal records for the last five years was done. The confidential staff evaluation forms used were examined.

Information was also obtained from TSC Newsletter, Journals, Magazines and past research report. References was also made to both Theoretical and Empirical studies to help in drawing comparisons and conclusions in order to determine how the effectiveness of performance appraisal at Kenya Polytechnic would be improved.

3.4.3 Primary Data. Questionnaires

Coded Questionnaires were circulated to the respondents. Coding facilitated the sorting and analysis of Data. Both structured and unstructured questions were used. The structured questions helped to elicit response while unstructured questions gave an insight of the subject of the study (the factors that hinder the effectiveness of performance appraisal of teaching staff at Kenya Polytechnic). This method was cheap, less time consuming and easy to administer. It also enabled the respondent to collect more accurate and reliable data since the respondents were free to give their own views without any fear. Fowler (1993) recommends the Questionnaire as a convenient and most suitable

instrument for data collection in survey and social and technical research. Each item in the questionnaire was developed to address a specific objective.

3.5 Data Analysis and presentation

Data was analyzed mainly using Descriptive Statistics. To ensure accuracy, both field and central editing was done. Field editing involved reviewing questionnaires for completing while central editing was done after all forms were completed and returned. Editing of data was done before and after tabulating. For efficient analysis, data was coded by assigning numbers (1-40) to each questionnaire given to the respondents. To facilitate analysis of questionnaire data was classified according to gender, departments, age designation, years of service and professional qualifications of the respondents. To facilitate the process of comparison and provide a basis for various statistical computations tabulation was done.

Percentages were used in data presentation for the purpose of simplifying numbers and for comparison Purposes. A Microsoft Excel worksheet was used for analysis. Analysis of the statistical data such as Frequency distribution tables, pie charts and histogram was done using SPSS. Frequency distribution tables, pie charts and histogram were used to present Data on demographic characteristics, staff opinion and views about appraisal, performance appraisal issues and diversity, Standards and Objectives, Employee participation in the appraisal process and other factors that influence the effectiveness of performance appraisal. The findings were interpreted according to the research questions and study objectives.

3.6 Expected Outcome

After analysis and presentations of the research findings, conclusions and recommendations were drawn on the factors affecting the effectiveness of performance appraisal of teaching staff in TIVET Institutions. The conclusions were to determine whether effectiveness of Employee Performance appraisal at Kenya Polytechnic and is

influenced by the objectives set, employee involvement in the appraisal process, employee feedback, outcomes of the appraisal system and demographic factors. A Comparison of the study was drawn with that of kiruja (2008) to determine whether factors that influenced performance appraisal of staff in the ministry of education did also influence the effectiveness of performance appraisal of teaching staff in TIVET Institutions. Recommendations were derived from the conclusions made. Since the above factors had an affect on the effectiveness of performance appraisal of teaching staff in TIVET institutions, alternatives were recommended on how the performance appraisal of the teaching staff may be improved.

3.7 Chapter Summary

This Chapter clearly describes Research methodology used in data collection on the factors that affect the effectiveness of the performance appraisal of teaching staff at Kenya Polytechnic. The next chapter consists of the presentation, analysis and interpretation of the data collected in the course of the study.

CHAPTER FOUR: DATA ANALYSIS, PRESENTATION AND DISCUSSION OF THE RESULTS.

4.0 Introduction

This chapter presents the findings of the study based on the data collected from the respondents. In particular, the data covered themes in the research objectives which included: assessing how performance appraisal tools affected performance appraisal of teaching staff in TIVET Institutions; establishing if involvement of staff in setting performance targets and use of feedback influenced performance appraisal; to find out whether the process of appraising teaching staff had an influence on its effectiveness; to determine whether performance appraisal issues and diversity influenced its effectiveness and determine the extent to which performance appraisal outcomes such as promotion and training influenced its effectiveness.

Out of the 40 questionnaires issued, 38 questionnaires were filled giving a response rate of 95 per cent which was adequate for data analysis. Relationship between independent and dependent variables was shown using descriptive statistics such as frequency tables. Discussion of the results was done as per the objectives of the study. The chapter starts by describing the characteristics of the study sample.

4.1 Characteristics of the Study Sample.

Data was collected from respondents of different departments and of different job categories. They included heads of department, principle lecturers, senior lecturers, lecturers and assistant lectures. The demographic information sought was on gender, designation, department, and years of experience in the teaching service and education levels.

4.1.1 Gender distribution

The study revealed that out of the thirty eight (38) respondents, sixteen (42%) of the respondents were male while the remaining twenty two (58%) percent were female as summarized on table 4.0 This gave a rather almost balanced representation of both gender

in the study and therefore ability to obtain diverse views on performance appraisal across gender groups. Men who represented a lesser percentage are generally fewer at Kenya Polytechnic as compared to women. This is however common characteristics of many learning institutions as women prefer teaching jobs as compared to men.

Table 4.0: Gender Distribution

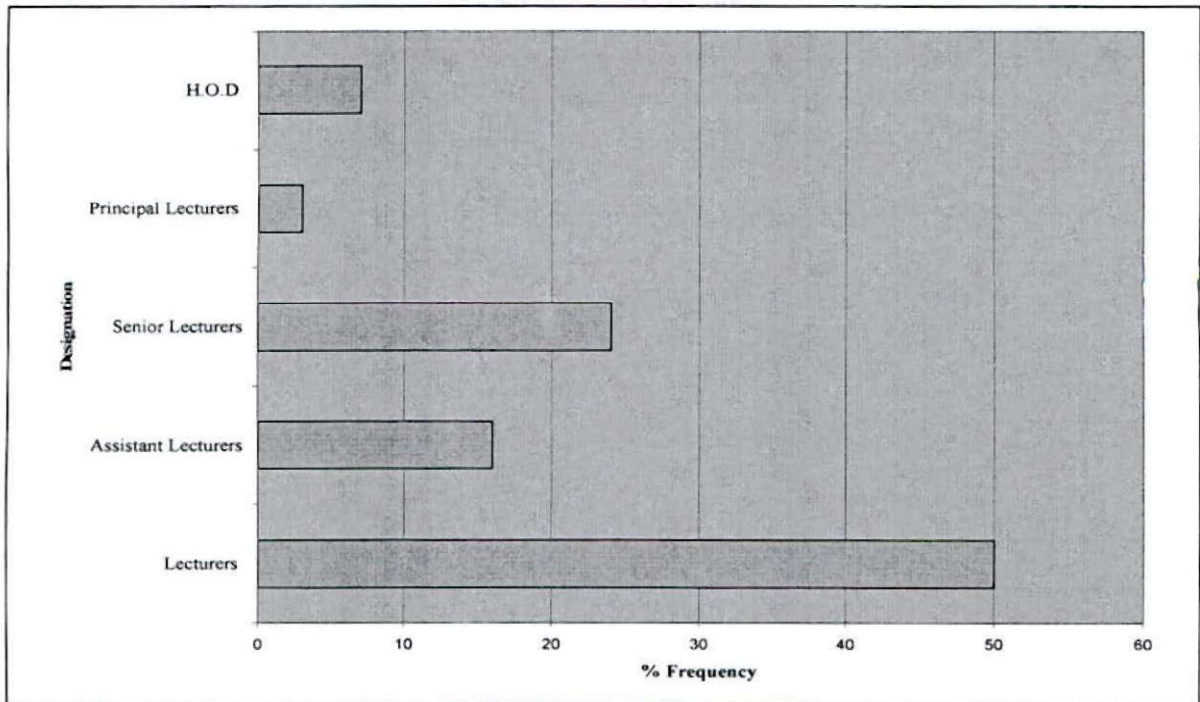
Gender	Frequency	Percent	Cumulative Percent
Male	16	42	42
Female	22	58	100
TOTAL	38	100	

Source: Survey data

4.1.2. Designation

It emerged that most respondents 19 (50%) were lecturers, 6 (16%) were Assistant lecturers, 9(25%) were senior lecturers, 1(3%) principal lecturer and 3(7%) were heads of departments. as indicated in figure 4.0. This was a fair representation of the teaching staff where generally the majority of the teaching staff at Kenya Polytechnic fell under lecturers and senior lecturers. Therefore the sample was considered a fair representative of the population. The figure below gives a clear representation of teaching staff designation.

Figure 4.0: Designation of the Respondents

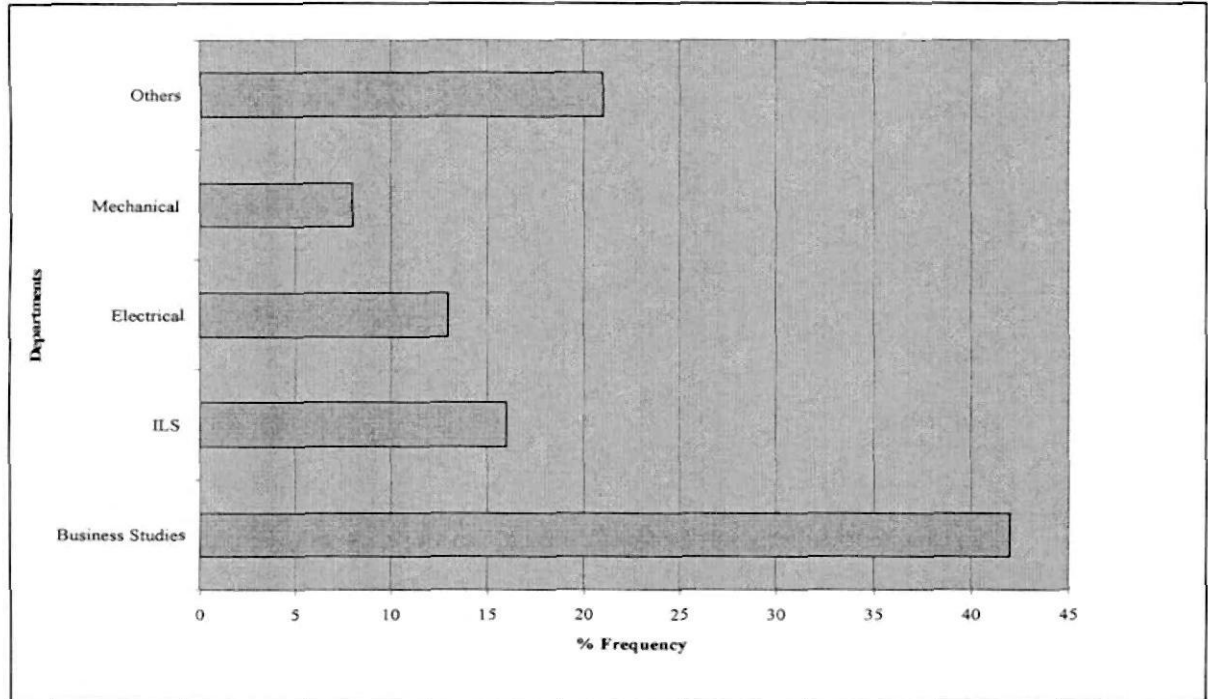


Source: Survey data

4.1.3 Departments of the Respondents.

Majority of the respondents were from Business Department constituting sixteen (42%) of the respondents followed by the Information and liberal studies department with six (16%), Electrical and electronic five (13%), Mechanical three (8%) and other department took the rest of the percentage as shown in figure 4.1. Business department took the highest number of respondents since it has the highest population in terms of the teaching staff at Kenya Polytechnic

Figure 4.1: Departments of the Respondents



Source: Survey data

4.1.4 Teaching experience at Kenya Polytechnic

Majority of the respondents 12 (32%) had served at the Kenya Polytechnic for a period between group 10-15 years, then followed by group 5-10 years of service which took the proportion of 16(26%) as indicated on table 4.1. Eleven (29%) respondents had served above 15 years. Only 5(13%) respondents had only served below 5years. This means that the sample constituted of respondents with enough teaching experience hence well versed with performance appraisal and thus able to understand the factors that affected its effectiveness.

Table 4.1 Teaching Experience

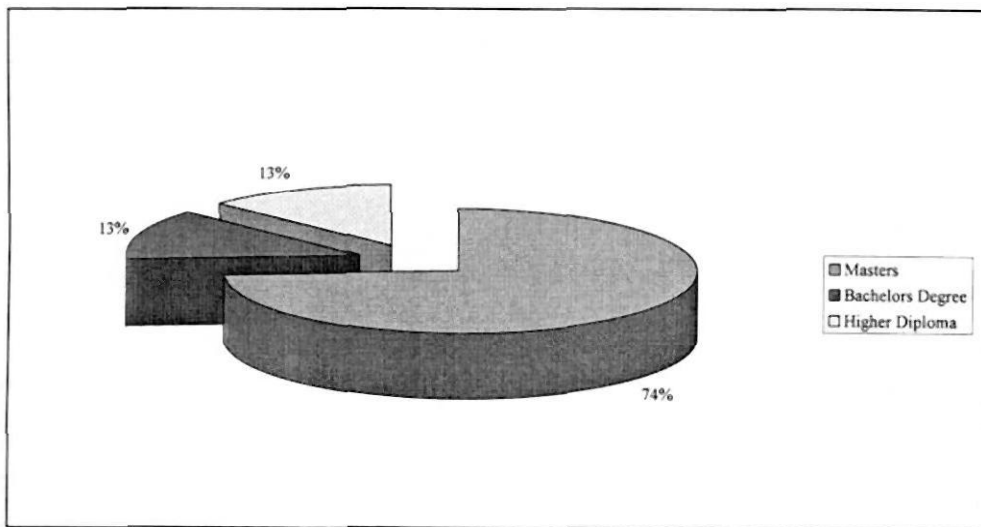
Years of teaching Experience	Frequency	Percent	Cumulative Percent
below5	5	13	13
5-10	10	26	39
10-15	12	32	71
Above 15	11	29	100
TOTAL	38	100	

Source: Survey data

4.1.5 Education level

Concerning the level of education, the study revealed that majority of the respondents 28 (74%) had masters degree education; five (13%) had bachelors degree while the other five (13%) had higher diploma certificates as illustrated in figure 4.2.below. This means that the group of respondents consisted of individuals with fairly good education thus had better understanding of the operations of the performance appraisal exercise in Kenya especially in regard to performance contracting and appraisal which has been the key them in Kenya on matters relating to performance management.

Figure 4.2: Education Level of the Respondents



Source: Survey data

4.2 Analysis of results by objectives.

4.2.0. Effect of staff involvement in setting objectives and feedback on performance appraisal.

The first objective was to determine the extent to which staff involvement in setting objectives of performance appraisal and obtaining feedback influenced the effectiveness of performance appraisal of the teaching Staff of Kenya Polytechnic.

The study revealed that 36 (95%) of the respondents were aware of the existence of performance appraisal as indicated on table 4.2.below.However 2 (5%) of the respondents were not conversant with performance appraisal since they had never been appraised. These two respondents had below five years teaching experience. The responses indicated that majority of the participants were conversant with the use of confidential report form method.

Table 4.2: Whether respondents were conversant with performance appraisal method

Response	Frequency	Percent	Cumulative Percent
Yes	36	95	95
No	2	5	100
TOTAL	30	100	

Source: Survey data.

Results from the analysis indicates that majority 22(58%) of the respondents were not involved in setting targets within which they were appraised. This resulted in a negative attitude towards the staff which in turn made the whole exercise a routine and thus did not yield the desired results. It was noted that for performance appraisal to be effective, all stakeholders such as the appraisees and the appraisers, must be fully involved. However ten (26%) of the respondents felt they were involved to a small extent while six (16%) as shown on table 4.3 indicated that they were involved to a great extent since they set targets within which they undertook their teaching duties. In general majority of the respondents felt lack of their involvement in setting targets affected the effectiveness

of the appraisal exercise. They indicated a need for staff involvement in setting performance targets.

Table 4.3: Whether the teachers were involved in setting targets

Influence	Frequency	Percent	Cumulative Percent
To a great extent	6	16	16
To a small extent	10	26	42
Not involved at all	22	58	100
Total	38	100	

Source: Survey data

It emerged that 34 (89%) of the respondents did not get feed back of the results on performance appraisal (Table 4.4). Only four (11%) of the respondents indicated that they obtained feedback from their heads of department once. Majority of the respondents expressed the situation as unfortunate that the results of the appraisal did not get back to the people who were supposed to improve on them. The principle of an effective performance appraisal is where the appraiser discusses with the appraised on the appraisal results.

Table 4.4: Whether employees were given feedback after performance appraisal

Influence	Frequency	Percent	Cumulative Percent
Yes	34	89	89
No	4	11	100
TOTAL	38	100	

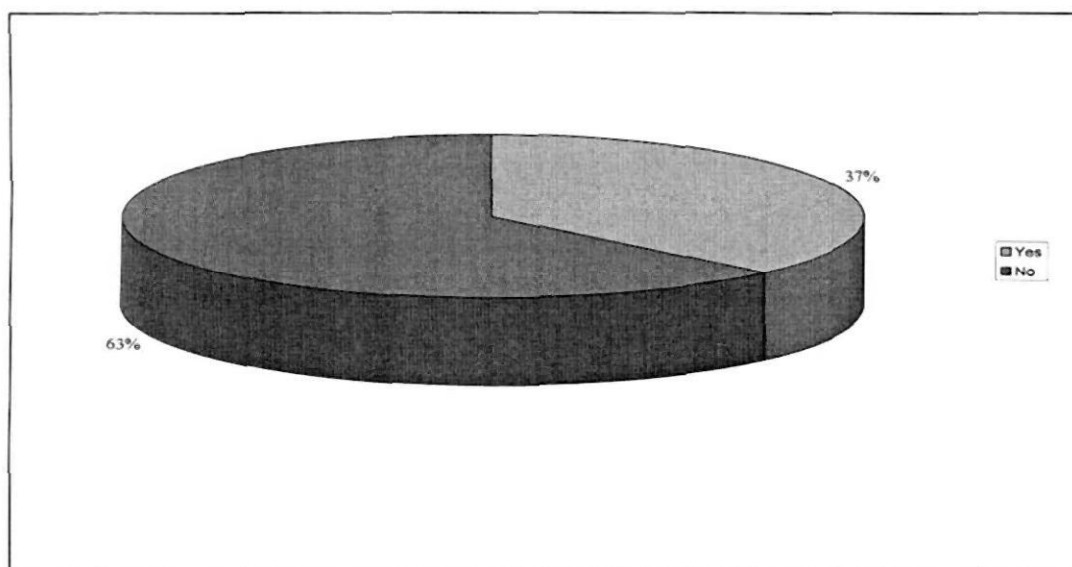
Source: Survey data

Lack of employee feedback and involvement were also cited as some of the main factors that affected the effectiveness of the employee performance appraisal. All respondents indicated there was need for discussion with the head of department on their performance so that appraisees are able to identify their weaknesses. Ineffectiveness in the appraisal exercise was clearly shown by the ignorance of some employees who were not aware of the existence of the performance appraisal. They pointed out that even the few times they filled the confidential forms; they were not briefed of their uses and hence did not attach any meaning to them.

4.2.1. Influence of performance Appraisal method on Performance Appraisal exercise

The second objective was to find out whether the appraisal method affected performance appraisal of the teaching staff of Kenya Polytechnic. When respondents were asked if they were satisfied with the method used to appraise them, Only 14 (37%) of the respondents indicated they were satisfied with the appraisal method of filling the confidential staff performance appraisal forms. This group felt as long as the form was detailed to evaluate all aspects of an employee and the teaching staff involved in setting their own targets/Objectives within which they were appraised and feed back obtained, they had no problems with the method used. However, 24(63%) of the respondents were dissatisfied with the method used. They indicated that the method influenced the effectiveness of performance appraisal of the teaching staff. They revealed that it did not take into account of the appraisees personal attributes such as hard work; patience and being results oriented which was also important in assessing performance. They also felt that the method was biased since it was supervisor oriented.Only heads of department participated in giving general comments about the appraised. Some respondents also expressed concern that results were never given back to those appraised thus denying them room to improve on their weaknesses. The figure 4.5 below shows staff response on whether the employees were satisfied with the appraisal tool.

Figure 4.3: Whether employees were satisfied with the appraisal Method



Source: Survey data

Some respondents explained that performance appraisal method did not take into consideration the appraisee's personal attributes such as hard work; patience and being results- oriented which were also important in performance. Majority of the respondents indicated that the form should be more detailed thus enabling the appraisee to be evaluated in all aspects of teaching. It was felt that for effective evaluation, method used should also take into consideration students' results. Many of the respondents also felt that the information on the form should not be confidential. Individual results must be openly discussed to allow room for improvement where there weaknesses and where the results were positive, the teaching staff should be rewarded e.g. through promotion in order to motivate them.

4.2.2 Influence of performance appraisal process, on appraisal exercise.

The third objective was to find out whether the appraisal process influenced performance appraisal of the teaching staff of Kenya Polytechnic. Majority of the respondents described the process as poor and inadequate. When asked whether adequate guidelines were given by the appraiser to the appraisee during the appraisal process, majority of the respondents 33(87%) indicated that the guidelines were not adequate. 3 (8%) of the

respondents felt the process had adequate guidelines while 2(5%) as shown on table 4.5 below were not sure whether the guidelines were adequate. There was a general agreement by all respondents that an effective performance appraisal must have clear guidelines throughout the appraisal process on how it should be conducted, what should be evaluated and on time frame.

Table 4.5: Opinion on whether adequate guidelines were given during the appraisal process.

Effectiveness	Frequency	Percent	Cumulative Percent
Yes	33	87	87
No	3	8	95
Neutral	2	5	100
Total	38	100	

Source: survey data

However most respondents thirty six(95%) as shown on table 4.6 below, stated that performance appraisal process affected the effectiveness of performance appraisal exercise of the teaching staff in achieving its goals of improving performance of teachers, identifying their training needs and as a basis of promotion since the manner in which it was conducted was questionable. They stated that since there were no clear guidelines given to the appraisee during the appraisal process and there was little or no appraisee involvement, there was the likelihood of favoritism or bias by the appraisee. It was felt that filling in the appraisal form on the basis of what one thinks and knows about the appraisee could encourage bias on the side of appraisee. This group of respondents cited the process as one time annual exercise that lacked consistency in evaluating the staff. An effective performance appraisal should be consistent and continuous otherwise the process may encourage the Halo and the bias effect. However 2(5%) respondents were convinced that performance appraisal process had little to do with influencing its success since comments given by the supervisor on the form were sometimes considered for Human resource action such as promotion.

Table 4.6: Opinion on whether the appraisal process affected performance appraisal of the teaching staff

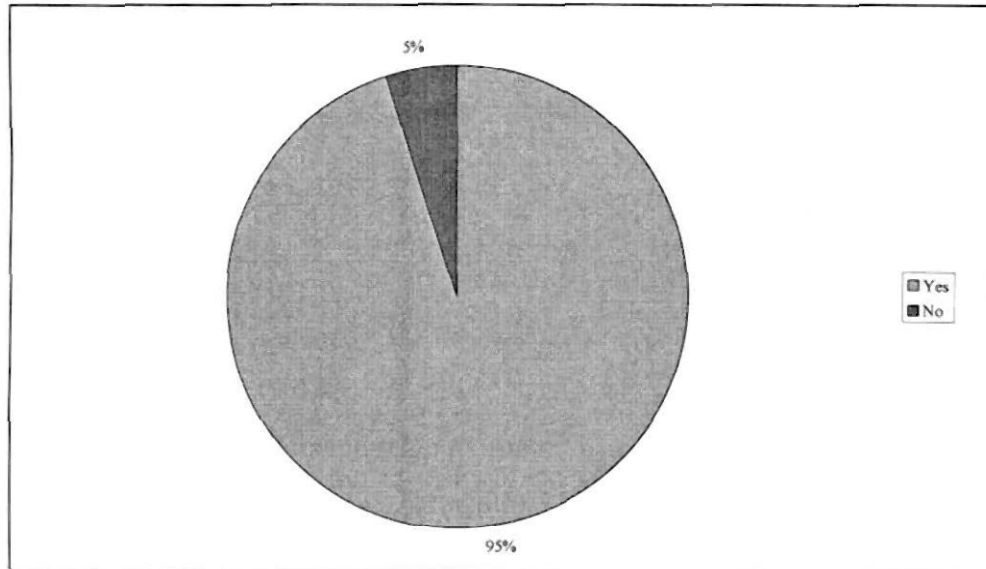
Response	Frequency	Percent	Cumulative Percent
Yes	36	95	95
No	2	5	100
TOTAL	30	100	

Source: Survey data

Ineffectiveness of performance appraisal at Kenya Polytechnic was blamed on the use of poor performance appraisal method, which in turn affected the whole appraisal process. There was high concern that the method was outdated and required immediate withdrawal to pave way for better appraisal methods such as 360 degree feedback method where all stake holders are involved. Some respondents indicated that lack of consistency and continuity in filling appraisal form affected the effectiveness of the appraisal exercise of the teaching staff. Majority of the respondents felt a one time annual employee evaluation exercise was not enough to evaluate employee performance and it led to appraisee perception that the whole exercise was not taken seriously thus the results were not of any relevance.

Lack of Transparency and openness during the appraisal process were also cited as some of the factors that affected the effectiveness of performance appraisal in TIVET Institutions. Majority of the respondents felt that since the use of confidential form did not allow for openness, the method was not effective. Respondents cited fear of bias by the heads of department when giving recommendations about the staff.

Fig 4.4: Opinion on whether the appraisal process affected performance appraisal of the teaching staff



Source: Survey data

4.2.3 Influence of performance appraisal issues and diversity on appraisal exercise.

The fourth objective was to determine whether the performance appraisal issues and diversity influenced performance appraisal of the teaching staff at Kenya Polytechnic. A number of issues concerning performance appraisal were raised by respondents which had an effect on performance appraisal. Some respondents felt that unlike in the civil service which is more concerned with service delivery, teaching job is unique in that it is concerned with instilling knowledge and skills on staff and Performance of students in their national examination in itself was a way of evaluating teachers. However some respondents felt that there were teachers who did not teach examination classes making it difficult to evaluate them on the basis of national examination.

Favoritism or bias by the appraiser was also cited as some of the issues that affected performance appraisal. Generally it was felt that the appraisal method gave discretion to the heads of department to give subjective judgment since the forms were confidential. It was also cited that filling in the appraisal form on the basis of what one thinks and knows about the appraisee could encourage bias by the appraiser. This group of respondents

cited the process as a one time annual exercise that lacked the consistency in evaluating the staff. An effective performance appraisal should be consistent and continuous otherwise it may encourage the Halo and the bias effect.

The respondents cited cases of likely influence of bias but there was no evidence of favoritism on the basis of gender or ethnicity reported. This was attributed to the fact that no or if any few employees obtained feedback thus denying them an opportunity to know what was filled on the appraisal form by the appraiser about them.

Lack of Transparency and openness during the appraisal exercise were therefore cited as some of the issues that affected the effectiveness of performance appraisal in TIVET Institutions. Majority of the respondents felt that since the use of confidential form did not allow for openness, the method was not effective. Respondents cited fear of bias by the heads of department when giving recommendations about the staff.

Some respondents indicated that lack of consistency and continuity in filling appraisal form affected the effectiveness of the appraisal exercise of the teaching staff. Majority of the respondents felt a one time annual employee evaluation exercise was not enough to evaluate employee performance and it led to appraisee perception that the whole exercise was not taken seriously thus the results were not of any relevance.

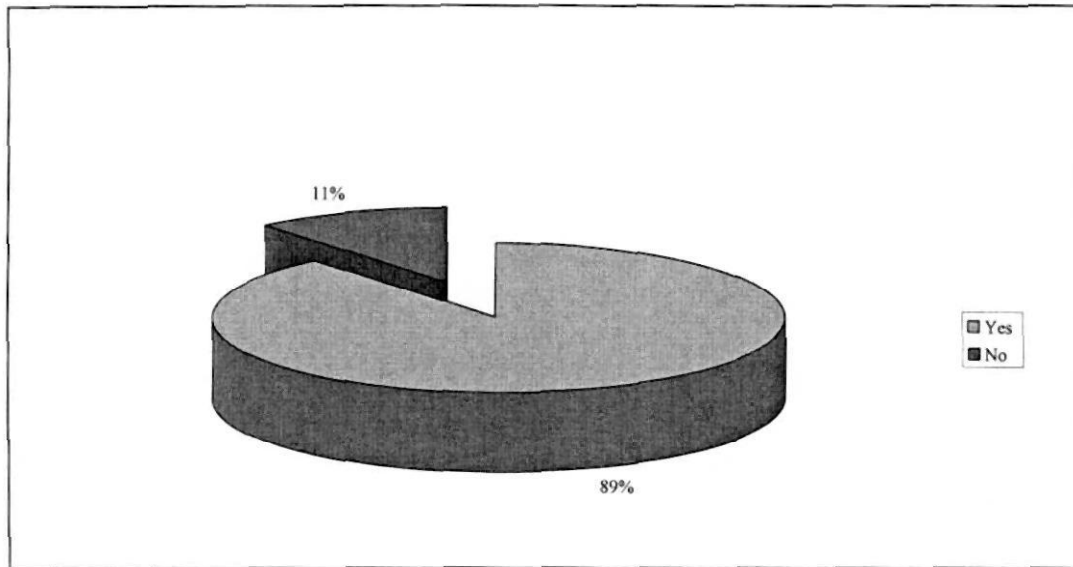
4.2.4: Influence of performance appraisal outcomes on performance appraisal.

The last objective was to determine the extent to which the outcomes of appraisal exercise influenced the effectiveness of performance appraisal of the teaching staff of Kenya Polytechnic. The study was concerned with promotion and training as the outcomes or reward of employee performance appraisal exercise.

When respondents were asked whether they were promoted on the basis of performance appraisal report, thirty four (89%) of the Respondents indicated that performance appraisal exercise did not influence their promotion at any one time. However five(11%) of the respondents as shown in figure 4.5 below acknowledged they were promoted on the basis of performance appraisal report made by their supervisors. Most of the responses supported pegging promotions on individual performance as a way of making the appraisal system more effective. It was felt by majority of the respondents that the

method of the appraisal exercise did not matter as long as staff was promoted on the basis of their performance results.

Figure 4.5: Whether Appraisal exercise led to promotion

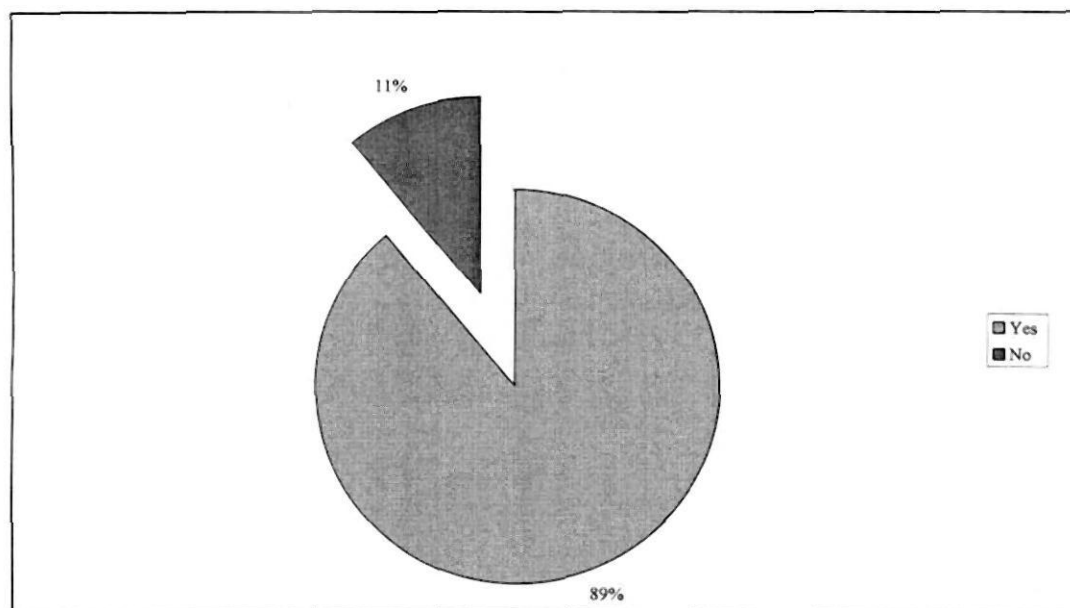


Source: Survey data

Thirty 34(89%) of the Respondents as shown in figure 4.6 below stated that performance appraisal exercise was not used as a basis of identifying training needs though one of the main objectives of appraisal exercise was to identify training gaps. However four of the respondents (11%) felt that the form filled was considered in identifying their training needs.

Performance appraisal exercise was termed as lacking in identifying training needs and as a basis for promoting employees Majority of the respondents felt that the fact that the appraisal form was not considered in identifying training gaps or as basis of promotion in it made employees to assume the appraisal exercise .Some respondents did admit that they skipped filling the form sometimes since there was no serious follow-up.

Figure 4.6: Whether Appraisal exercise contributed in identifying employee training needs



Source: Survey data

A number of the respondents felt that the effectiveness of the performance appraisal was influenced by its outcomes, i.e. whether employees were promoted and their training needs identified on the basis of the appraisal results.

4.3: Opinion on the effectiveness of performance appraisal

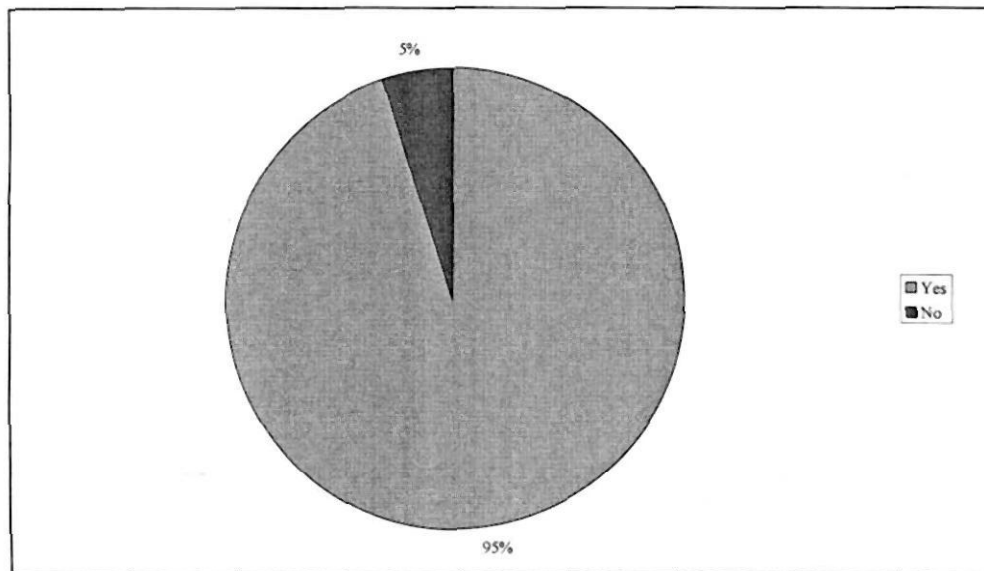
36(95%) of the respondents rated performance appraisal of teaching staff of Kenya Polytechnic as ineffective. They cited lack of appraisee involvement in the actual appraisal process, use of poor appraisal method, inconsistency in appraising staff and lack of attaching appraisee results to any outcomes such as promotion and training as some of the main factors hindering its effectiveness. However 2(5%) or the respondents were comfortable with appraisal exercise as shown on table 4.7 and figure 4.7.

Table 4.7: Opinion of the respondents on the effectiveness of Performance Appraisal

Response	Frequency	Percent	Cumulative Percent
Yes	36	95	95
No	2	5	100
TOTAL	30	100	

Source: Survey data

Fig 4.7: Opinion of the respondents on the effectiveness of Performance Appraisal



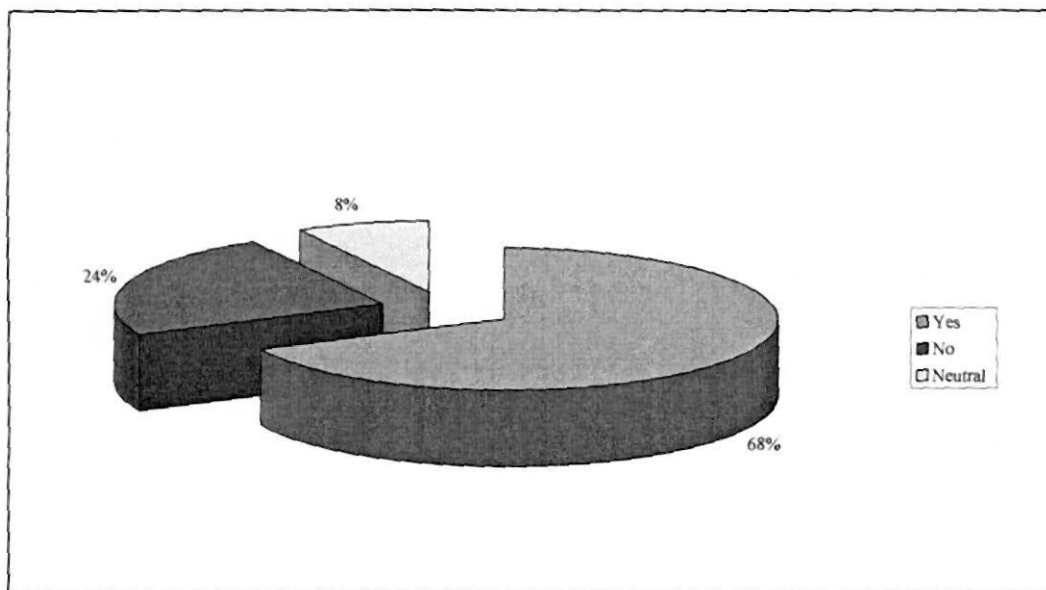
Source: Survey data

4.4. Opinion on the introduction of performance contracting.

When respondents were asked whether they would prefer performance contracting system to the current appraisal system, twenty six (68.4%) of the respondents as shown in figure 4.8 preferred the use of performance contracting. They felt that the method allowed employees in setting their own targets, involved them throughout the appraisal process and it was result oriented. However, Nine (24%) were not in support of

performance contracting method. Majority of this category felt that the method would not be appropriate in the teaching profession since teachers can generally be evaluated on their performance through students' national and internal examinations. However three (8%) of the respondents did not understand performance contracting system hence opted not to comment.

Figure 4.8: Opinion on the introduction of performance contracting.



Source: Survey data

4.5 Suggestions for improving performance appraisal

The respondents interviewed pointed out that performance appraisal method required overall change through introduction of an objective performance appraisal system, linking promotion and reward to measurable performance, strengthening and clarifying obligations required of the employees in order to achieve agreed set targets. There was a call to introduce a more effective system where employees were involved throughout the appraisal process. Kiruja (2008) in her research contends that the new performance contracting system created a feeling of fairness and trust among employees that made the performance appraisal to be perceived as fair. However being a rather new concept in the civil service, she suggested that workers should be given an opportunity to learn from

their mistakes through support and feedback of the appraisal reports so as to perfect the whole exercise. Otherwise problems that inhibited the performance of government agencies before the implementation of performance contracting such as excessive controls, multiplicity of principles, frequent political interference, poor management and outright mismanagement may continue to persist with an ineffective performance appraisal (Republic of Kenya 2005).

Majority of the respondents felt that the most important way to perfect the appraisal system is to address issues affecting performance appraisal so that any other method likely to be applied in the future is not subjected to the same weaknesses of the former method. Employee support and feedback were viewed as key elements of any appraisal process.

Though majority of the respondents felt that performance contracting was a better system, some of the respondents were more concerned with the outcomes after results. They indicated that if employees are not rewarded for their good performance after they have been evaluated; their performance is not likely to improve regardless of the method used in appraising them. The general feeling from the study was that employees' reward through promotion regarding performance was key factor in ensuring success of performance appraisal. In this way employees would take the process more seriously thus perform better as long as their performance objectives were laid down.

Majority of the respondents also called for an open system where everyone gets to know how their colleagues have been rated. Some respondents advocated for the use of the 360 degree feedback to enable even the students to evaluate the teachers along with the other teaching staff and the head of department. This would avoid bias or favoritism sometimes by the appraiser when giving appraisal reports.

Continuous training of both the appraiser and the appraisee was suggested as another way of improving performance appraisal. Training would help employees appreciate the importance of being subjected to the exercise since some respondents were ignorant about appraisal exercise in TIVET institutions. It would also equip the appraisers with the necessary skills needed to appraise the employees thus improving the exercise in totality.

CHAPTER FIVE: SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

5.0 Introduction

This chapter gives a summary conclusions and recommendations which were arrived at after conducting the research study on the factors affecting the effectiveness of performance appraisal of Kenya Polytechnic teaching staff. The chapter compares kiruja (2008) research study conducted in the ministry of education in Nairobi province on factors affecting performance appraisal of staff within the ministry with this study. Unlike Kiruja' (2008) study where performance contracting method was already in force as a way of evaluating staff, it was very clear that the traditional system of appraisal form continue to apply at Kenya Polytechnic. This was identified as one of the major factors that hindered the effectiveness of the appraisal exercise.

5.1 Summary

The study set out to determine factors that affect the effectiveness of performance appraisal in TIVET Institutions: Kenya Polytechnic was identified as the target population. The following objectives were identified for the purpose of the study: To assess how performance appraisal method affected the effectiveness of performance appraisal of the teaching staff; establish If employee involvement in setting targets and getting feedback influenced performance appraisal of the teaching staff; find out if the appraisal process determined the success of performance appraisal; determine whether performance appraisal issues such as fairness and time affected the effectiveness of the exercise and if the outcomes to be obtained after the exercise such as training and promotion influenced the effectiveness of performance appraisal .

Data was collected from respondents of varied teaching experience, different departments and different designations and whose majority were conversant with performance appraisal system.

The study revealed that sixteen (42%) of the respondents were male while the remaining twenty two (68%) percent were female. It emerged that most respondents 19 (50%) were lecturers, 9 (25%) were senior lecturers, 6(16%) were assistant lecturers, 1(3%) principal

lecturers and 3(7%) were heads of department. Business studies department formed the bulk of the respondents constituting 42%, followed by Information and liberal studies department with 16 % and other department sharing the rest of the percentage. Majority of the respondents 12 (32%) had served at Kenya Polytechnic for a period between 10-15years, then followed by 26% with experience between 5-10 years, and 29% with experience above 15years. Those who had served below 5years were only 13%. Concerning their level of education the study revealed that the majority of the respondents 26 (74%) had masters degrees, five (13%) had a graduate degrees and five (13%) had higher diploma certificates.

The demographic characteristics of the study were unique from that of Kirujas (2008) study in the ministry of education. In her study, 53% of the respondents were male while women took 47% as compared to Kenya Polytechnic where majority of the respondents were female (64%). Kiruja (2008) study revealed that majority of the respondents (33%) had working experience of between 5-10 years unlike in Kenya Polytechnic where majority of the teaching staff had 10-15years work experience.

The study at Kenya Polytechnic revealed that majority 36 (95%) of the respondents were aware of the existence of performance appraisal and conversant with performance appraisal confidential report method used. Only 16 (37%) of the respondents were satisfied with the appraisal method used at Kenya Polytechnic as compared to 57% of the respondents in the ministry of education. Among the staff of the ministry of education in Nairobi Province, delay in receiving performance appraisal form which in turn delayed the whole appraisal process had been cited as one of the barriers to success in performance appraisal (Kiruja 2008).

However majority of the respondents 24(63%) at Kenya Polytechnic were dissatisfied with the current appraisal method. They felt that the method influenced the effectiveness of performance appraisal of the teaching staff. It was revealed that the method did not take into account of the appraisee personal attributes such as hard work; patience and being results oriented which were also important in performance. They also felt that the method was biased since it was supervisor-oriented. Thirty four (89%) of the Respondents felt that the performance appraisal exercise had no any time led to their

promotion by the T.S.C. while five (11%) of the respondents indicated that they were promoted on the basis of performance appraisal report.

It emerged that 34 (89%) of the respondents did not get feedback of performance appraisal as compared to 57% of the respondents from the ministry of education. Only four (11%) of the respondents indicated that they obtained feedback through their heads of department once. It was unfortunate that the results of the appraisal did not get back to the people who were supposed to improve on them. The principle of an effective performance appraisal is where the appraiser discusses with the appraised on the appraisal results.

When asked whether adequate guidelines were given during the appraisal process, majority of the respondents 33(87%) indicated that the guidelines were not adequate. 3 (8%) of the respondents felt the process had adequate guidelines while 2(5%) were not sure whether the guidelines were adequate. Most of the respondents indicated lack of clear guidelines within the appraisal process as one of the factors that contributed to the effectiveness of the appraisal exercise.

The appraisal exercise was also termed as lacking in identifying training needs and therefore did not help those appraised to improve through training. Thirty 34(89%) of the Respondents felt that performance appraisal was not used as a basis of identifying training needs though one of the main objectives of appraisal exercise was to identify training gaps. However four of the respondents (11%) felt that the form filled helped the management in identifying training needs.

When respondents were asked whether they preferred performance contracting system to the current system, twenty six (68.4%) of the respondents preferred the use of performance contracting. They felt that the method allowed employees in setting their own targets, involved them throughout the appraisal process and it was result-oriented hence more effective. However Nine (24%) of the respondents were not in support of the method. This category indicated that performance contracting would not be necessary in the teaching profession since teachers can be generally evaluated on the performance of their students in national and internal examinations. Three (8%) of the respondents did not understand the system hence opted not to comment.

5.2 Conclusions

The study established that lack of employee involvement in setting performance targets and obtaining feedback seriously affected the effectiveness of performance appraisal of the teaching staff at Kenya Polytechnic. It also established that the appraisal method used had a big bearing on the effectiveness of performance appraisal. The method not only determined whether the process was accurate but also the extent to which an employee was involved in the appraisal exercise. The fact that employees did not get any feedback, felt that performance appraisal in TIVET institutions was not a serious business. The study identified failure of employee to get rewards such as promotion and other outcomes after appraisal exercise as a major factor that hindered its effectiveness. There was need to have an overall change in employee performance appraisal starting with the methods used, the process guidelines and sealing loopholes that would emerge within the process such as supervisor bias. Inconsistency in the appraisal exercise hindered the effectiveness of the employee performance appraisal. Production of annual appraisal reports did not capture all the variables that could be assessed in a teaching staff such as teacher student relationship.

The introduction of performance contracting in the civil service had increased performance of its employees since it is result-oriented (Kiruja 2008). According to Kiruja (2008) performance contracting method of appraising staff has induced the public service in the ministry of education to become more oriented towards delivery of service to the public and enhanced performance. Performance contracting method was viewed better by the teaching Staff when compared to the use of confidential forms since it is result oriented and allowed the appraisee in setting his targets. Kiruja (2008) contends that performance contracting emphasized better human resource management leading to saving in time and resources, internal management improvement and better accountability. She cited factors such as lack of timely delivery of materials needed like evaluation forms delaying the whole process of appraisal and constant job transfers as other factors that hindered performance appraisal in the ministry of Education. Factors such as transfers did not characterize performance appraisal at Kenya Polytechnic. None

of the respondents cited them. Regardless of the method used, these factors must be addressed to ensure effectiveness of the appraisal exercise in achieving the intended targets.

5.3 Recommendations

The following recommendations are made from the findings of the study:

1. There is need for introduction of better appraisal method that is result oriented and allows all stakeholders including students in evaluating the teaching staff. The method introduced should allow free and open discussion between the teaching staff and their appraisers throughout the performance appraisal process. The teaching staff should be involved in setting performance targets within which they are evaluated.
2. There is need to link employee performance outcomes with rewards. Obtaining performance results as a formality without rewarding employee's e.g. Through promotion or sponsoring those in need for further training demoralized the teaching staff.
3. Performance appraisal results should be open and fair to all stakeholders. The use of a confidential report form in appraising employees denied the teaching staff room for improvement and comparison. This situation was viewed more seriously when even the appraisees were denied a chance to know how they were rated.
4. There is need to introduce a well-defined training program for the teaching staff and heads of department on performance management practices to enable them appreciate the present performance management practices. This training is critical since some of the respondents did not have knowledge on performance contracting methods.
5. Performance appraisal in TIVET Institutions should be accompanied by performance-oriented change and a culture of nurturing an all round student in terms of discipline and skills development. This is because TIVET Institutions main objective is to provide for

middle level manpower in Kenyan economy. It is through moulding all round human resource that Kenya will be able to achieve its vision 2030 national development strategy.

6. The management should ensure regular and consistent overall evaluations, allowing interdepartmental comparisons and audits of benefits and drawbacks of performance appraisal in order to learn from diverse experiences. Differences in implementing contexts may provide different learning experiences. Mistakes are likely to be made but what is critical is drawing lessons for future performance improvements.

5.4 Areas for Further Research

To understand further the factors that affect the effectiveness of performance appraisal in TIVET Institutions, the study suggests a comparative study to be conducted on the factors affecting performance appraisal in other TIVET Institutions especially those training artisans and certificates candidates. This would be an interesting area to explore in order to gain insights into factors that enhance or inhibit the effectiveness of performance appraisal in Kenya.

REFERENCES

Cole M (2002). *Personnel and Human Resource Management* 5th edition: London, the (ELST) Foundation 2002

Cohen G.A (1994). *Personnel management theory and Practice*: South Carolina, South Carolina Press.

Delpo (2005). *Performance Appraisal Systems*: Spain, Capital Publishers

Dwirendi I (1998) *Management and Organistion*: West Chicago, South-Western publishing Company

H.T Graham and Roger Ben net (1998). *Human Resource Management* (9th edition): Britain; Person profession limited (1998).

Ivancevich, J.M (1993). *Human Resources Management (9th Ed)*. Ohio: Thomson/South Western.

John Bratton (2000). *Human Resource Management* (5th edition): USA, West-publishing Company.

Kiruja E.K(2008). *Factors affecting performance appraisal of staff in the ministry of Education in Nairobi Province*: Nairobi, Kenya.

Lawler (1990). *Rewarding civil servants performance through team bonuses, findings, analysis and recommendations*: Sweden, Emery International

Liz Patron (2005). *Halogen e-appraisal software HR- Corporate Initiative*: Nestle Canada

Michael Armstrong (2003). *Human Resource Management Practice* (8th edition): U.S.A Kogan Ltd.

Mugenda O. and Mugenda A. (1999) *Research Methods: Quantative and Qualitative approaches*; Nairobi, Acts Press

Ministry of Education (December 2007) *Newsletter of the Ministry of Education issue no. 10*, Elimu News Jogoo House B: Nairobi Kenya.

Nzuve, S.N.M (1997). *Management of Human Resources: A Kenyan perspective*. Nairobi: Basic Modern Management Consultants.

Oberg (2006). *Environmental management and Communication*: Sweden Springer Johansson

Okumbe, J.A (1998). *Education Management Theory and Practice*, Nairobi: University Press

Republic of Kenya (2005). *Results Based Management : Training Manual*, Government printer

Robert B. (2005), *Communication and effective performance appraisal*, PDF/ Adobe Acrobat Texas.

Sally Coltrin (1998). *Personnel Human Resource Management* (5th edition) U.S.A: West publishing company

Teachers Service Commission (2005). *TSC Code of Regulations for Teachers* (3rd Edition): Nairobi Government Printers.

Teachers Service Commission (2005). *TSC Image Volume 10*; Nairobi; Oakland media services

Teachers Service Commission (2004). *TSC Image Volume 9*; Nairobi; Oakland media services

Tobias (2003). *Organizational Behavior*: Kenyatta University

Utah (2006). *Country Commission Government, and appraisal systems*: Utah state library, Utah

APPENDIX I

General guidelines

The purpose of this study is to examine the factors that affect the effectiveness of performance appraisal of the teaching staff in TIVET Institutions. You are kindly requested to give honest responses. This information will be used only for the intended purpose and confidentiality is guaranteed. You do not need to indicate your name in the Questionnaire.

The research project is being undertaken in partial fulfillment for the award of the degree of Master of Business Administration (Human Resource Management), Department of Business Administration, Kenyatta University.

PART A: TO BE FILLED BY THE HEADS OF DEPARTMENT

Section A: Background Information

Please indicate by means of a tick (V) as appropriate.

1. Gender A. Female... B. Male....

2. Age in years
A. Below 30 B. Between 30-40 C. Between 40-50 D. Above 50

3. Your present professional qualification
A. Diploma
B. Higher diploma
C. DEGREE
D. Masters Degree
E. PHD
F. Others (specify)

4. Teaching experience in years
A. Below 5 B. 5-10 C. 10-15 D. 15-20 E. Above 20 yrs

5. Department

6. Designation.....

7. How long have you served as the head of department?
A. Below 5 B. 5-10 C. 10-15 D. 15-20 E. above 20 yrs

Section B. Performance Appraisal information

8. Do you appraise your teaching staff on their performance?

A. Yes B. No

9. How often do you appraise your teachers?

A. Weekly B. monthly C. Quarterly D. Yearly E. Others (specify)....

10. Which method do you use to appraise your staff (describe)?

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

11. Are there guidelines provided by the TSC for appraisal exercise?

A. Yes B. No

12. do you consider the guidelines adequate?

A. Yes B. No



13. If no give reasons why you think the guidelines are not adequate.

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

14. If yes give reasons why you think the guidelines are adequate.

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

.....
.....
15. Are there set targets for staff within which you evaluate them?

- A. Yes
- B. No

16. If yes who sets the targets?

- A. The TSC
- B. The Principal
- C. The Heads of Department
- D. The Teaching Staff
- E. Others (specify).....

17. To what extent is teaching staff involved in setting their own targets?

- A. To a great extent
- B. To a small extent
- C. Not involved at all

18. Does the TSC communicate feedback through the principal the performance of your staff?

- A. Yes
- B. No

19. If yes do you discuss with the individual staff about their performance?

- A. Yes
- B. No

20. What challenges do you face when appraising staff?

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

21. What alternatives would you recommend for improving the appraisal exercise in TIVET

Institutions?.....
.....
.....
.....
.....
.....
.....

22. Is the current of staff promotion based on the appraisal exercise results?

- A. Yes
- B. No

23. To what extent is the appraisal report considered as a basis for identifying the staff-training gap?

- A. To a great extent
- B. To a small extent
- C. Not involved at all

24. Do you think the method used in appraising staff affects its effectiveness?

- A. Yes
- B. No

25. The Civil Service in Kenya has adopted performance-contracting method of evaluating employees. Do you think this method would be most appropriate in appraising your teaching staff than the current method used?

- A. Yes
- B. No

Give reasons for your answer.....
.....
.....
.....

26. Give your general view about performance appraisal exercise at Kenya polytechnic

.....
.....

27. In your opinion how would you rate the effectiveness of the current appraisal system?

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

28. Suggest what you would want improved on the current appraisal System?.....

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

Thank you for your cooperation.

PART 2: TO BE FILLED BY THE TEACHING STAFF

Section A: Background Information

Please indicate by means of a tick (V) as appropriate.

1. Gender A Female..... B Male.....

2. Age in years
A Below 30 B Between 30-40 C Between 40-50 D Above 50

3. Your present professional qualification
A. Diploma
B. Higher diploma
C. DEGREE
D. Masters Degree
E. PHD
F. Others (specify)

4. Teaching experience in years
A. Below 5 B. 5-10 C. 10-15 D. 15-20 E. Above 20 yrs

5. Department

6. Designation.....

7. How long have you served as a lecturer at Kenya Polytechnic
A. Below 5 B. 5-10 C. 10-15 D. 15-20 E. Above 20 yrs

Section B. Performance Appraisal Information

8. Are you appraised on your work performance?
A. Yes B. No

9. How often are you appraised?
A. Weekly B. monthly C. Quarterly D. Yearly E. Others (specify)....

10. Which method is used to appraise you? (Describe)?

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

11. Are there guidelines provided by the TSC for appraisal exercise?

A. Yes B. No

12. Do you consider the guidelines adequate?

A. Yes B. No

13. If no give reasons why you think the guidelines are not adequate.

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

14. If yes give reasons why you think the guidelines are adequate.

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

15. Are there set targets within which your Performance Appraisal is based on?

A. Yes B. No

16. If yes who sets the targets?

- A. The TSC
- B. The Principal
- C. The Heads of Department
- D. The Teaching Staff

E. Others (specify).....

17. To what extent are you involved in setting your own targets?

- D. To a great extent
- E. To a small extent
- F. Not involved at all

18. Does the TSC communicate feedback through the principal on your performance?

- A. Yes
- B. No

19. If yes do you discuss openly with your supervisor about your performance?

- A. Yes
- B. No

20. What challenges do you face when you are being appraised?

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

21. What alternatives would you recommend for improving the appraisal exercise in your Institution?.....

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

22. Have you in the past been promoted on the bases of the appraisal exercise results?

- A. Yes
- B. No

23. To what extent is the appraisal report considered as a basis for identifying your training gap?

- D. To a great extent
- E. To a small extent
- F. Not involved at all

24. Do you think the method used in appraising staff affects the effectiveness of the appraisal exercise?

- A. Yes
- B. No

25. The Civil Service in Kenya has adopted performance-contracting method of evaluating employees. Do you think this method would be most appropriate in appraising your teaching staff as compared the current method used?

- A. Yes
- B. No

Give reasons for your answer.....
.....
.....
.....
.....

26. Give your general view about performance appraisal exercise at Kenya polytechnic

.....
.....

27. In your opinion how would you rate the effectiveness of the current appraisal system?

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

28. Suggest what you would want improved on the current appraisal

System?.....
.....
.....
.....

Thank you for your cooperation.

APPENDIX III

Research project work plan

Activity	period	Timeframe
Literature search and review	Sept-Oct 2008	2months
Proposal Writing	Nov-Dec 2008	2months
Design of Study Instruments	January 2009	1month
Pilot study	February2009	2weeks
Data collection	March-April09	2months
Report Writing	May 2009	1month
Final Report and Forwarding	June 2009	1month

APPENDIX IV

BUDGET FOR RESEARCH PROJECT

Budget Item	Cost	Sub-Total
	Ksh	Ksh
Production of research instruments		
Typing of Questioners 10Pages@ Ksh 10	100	100
Photocopying of 50copies of 10pgs @ksh.2	1000	1000
		<u>1100</u>
Transport and Subsistence		
Transport and Lunch during the pilot study 14days @300per day	4200	4200
Transport and Lunch during data collection 20days @300per day	6000	6000
		<u>10200</u>
Data Analysis		
Payment for data Analysis Package		2000
Production of Report		
Typing 100pgs @ksh 10 per page	1000	1000
Producing 7copies	7000	7000
Binding @70 per copy	490	490
		<u>8490</u>
Production of final Report		
4copies of final report @1000per copy	4000	4000
Hardcover binding@500 per copy	2000	2000
		<u>6000</u>
Miscellaneous Cost		1000
Grand Total		<u>28790</u>