

UNIVERSITY OF CAPE COAST

**RELEVANCE AND EFFECTIVENESS OF EMPLOYEE PERFORMANCE
APPRAISAL: A STUDY OF SISSALA EAST DISTRICT DIRECTORATE
OF EDUCATION**

ABUBAKAR SULEMANA

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APPRAISAL: A STUDY OF SISSALA EAST DISTRICT DIRECTORATE OF
EDUCATION

BY

ABUBAKAR SULEMANA

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AWARD OF MASTER OF ARTS DEGREE IN HUMAN RESOURCE
MANAGEMENT

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DECLARATION

Candidate's Declaration

I hereby declare that this dissertation is the result of my own original work and that no part of it has been presented for another degree in this university or elsewhere.

Candidate's Signature:..... Date:.....

Name: Abubakar Sulemana

Supervisor's Declaration

I hereby declare that the preparation and presentation of this dissertation were supervised in accordance with the guidelines on supervision of dissertation laid down by the University of Cape Coast.

Supervisor's signature:..... Date:.....

Name: Dr. Edem Amenumey

ABSTRACT

The main objective of this study was to ascertain whether performance appraisal systems in organizations are adequately designed and implemented to generate appropriate data in terms of adequacy, relevance, accuracy and practicality to be used for Effective Human Resource Management. The study relied on primary and secondary data collected from two hundred and twenty-one (221) staff randomly selected from Sissala East District Directorate of Education.

The study showed that the organization has no clear basis for the performance criteria identified for assessing employees. Both appraisers and appraisees have limited understanding of the criteria on which the assessment is made. There are also no training programmes for assessors (management and senior staff) to assist them get a common understanding to the criteria against which they are required to appraise employees.

The study recommends to management to determine a clear vision of the objectives of what the organization chooses to achieve with its appraisal procedures, those who have to operate the system should be well sensitized to appreciate the objective of the system in order to get the best out of the staff.

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DEDICATION

To my parents, Mr. Bukari Bayorbor and Mrs. Bayorbor, my loving wife Memunatu and my three sons, Ahmed-Ideed, Ghadafi and Sharif.

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LIST OF ACRONYMS

BARS	-	Behavioural Anchored Rating Scales
CRS	-	Catholic Relief Services
DDE	-	District Directorate of Education
DEO	-	District Education Office
HR	-	Human Resource
HRM	-	Human Resource Management
IDS	-	Institute for Development Studies
MBO	-	Management By Objectives
PA	-	Performance Appraisal
PAS	-	Performance Appraisal System
SEDDE	-	Sissala East District Directorate of Education
SPSS	-	Statistical Product and Service Solutions
USA	-	United States of America

CHAPTER ONE

INTRODUCTION

Background to the study

One of the controversial parts of a human resource programme is the means by which an organisation undertakes to appraise the performance and potential of its workers. This controversy led Koontz (1973) to write that, employee performance is a much maligned management function. Blunt and Blunt and Popoola (1990), in their book “Personnel Management in Africa”, emphasized that not much has been done on performance appraisal in Africa. Indeed they argued that for the better part of the century, it has been widely agreed that performance measurement has been one of the most serious and persistent difficulties in industrial psychological research. In fact, most of the views expressed in personnel and management literature have given ample descriptions of the weaknesses and problems of appraisal systems. Under the circumstances, it is not at all surprising that supervisors find employee appraisal one of their most difficult and dreaded tasks or that employees view the process with apprehension. One difficulty is the face-to-face situation of the appraisal interview, where the appraiser sits down with appraisee and reviews his or her performance. Although most organisations have instituted performance appraisal systems, most of them often find themselves in situations where no one is quite

sure as to what is being measured (Katz & Docherty, 1994) and what the information would be used for.

In view of this, most organisations – both public and private, are gradually reviewing their performance appraisal systems to become more objective in measurement and more purposeful. It is in this regard that the Sissala East District Directorate of Education adopted a revised performance appraisal system in 2005 for implementation. Before then, the appraisal system had been an annual confidential reporting system, which may have sometimes lacked credibility. According to Nkrumah (1991), the annual confidential reporting system lacked confidence, with no one being certain of its uses and benefits, a situation which led to the renewed interest in a reviewed performance appraisal system in the Sissala East District Directorate of Education. One would hope that the renewed interest would lead to a vigorous quest for appropriate means of performance appraisal thereby recognizing the importance of performance appraisal as a tool to developing their employees.

Pierce, Dunham and Randell (1990) stated that employee appraisal can be seen as the formal process for collecting vital information from and about the staff of an organisation for decision making purpose. The results of performance appraisal also have a significant impact on other human resource processes, in that they can provide useful data about the quality of the organisation's recruiting, selection, orientation, training and development processes (French & Wendell, 1987).

After their study on African and Ghanaian organisations, Blunt and Popoola (1990) observed that the application of performance appraisal system in Ghana and other developing countries in Africa has been fraught with problems such as poor administration of the system in public organisations and this, must be addressed.

Statement of the problem

The Human resource of any organisation is the most costly resource that must be properly and systematically controlled, maintained and motivated for effectiveness and efficiency. To be able to assess the contribution of employees, there is the need for a carefully thought-out formalized system of appraisal, which should tell the employee his/her level of contribution, strengths and weaknesses, capabilities, etc.

The African experience has shown that problems of appraisal have bedeviled human resources managers and industrial and/or organisational psychologists for the better part of a century, and lately, agreed that performance measurement has been one of the most serious and persistent difficulties in industrial psychological research (Kreitner, 1989). In Ghana, the writings of Nkrumah (1991), Prince (1975) and Owusu-Ansah (1975) have attested to the above fact. For example, the two problems in the performance appraisal in Ghana as mentioned by Owusu-Ansah (1975) are the lack of training in the art of performance appraisal and the reaction to the disclosure of information from annual staff reports. Most organisations in the public sector have performance

appraisal systems, but the reality is that these systems have often yielded unsatisfactory and disappointing results. Consequently, the appraisal systems conducted especially in the public sector, have been characterized by ineffectiveness.

The District Directorate of Education has a unified performance appraisal system. Anecdotal evidence suggests that employees are not involved in the entire process and this contributes to lack of dedication and commitment to work by workers. The study therefore, seeks to find out the performance appraisal system in use and its effectiveness.

Objectives of the study

The specific objectives are to:

- Examine how relevant the performance appraisal system is in Sissala East District Directorate of Education to human resource decision-making.
- Determine the suitability of the performance appraisal system to employees.
- Establish the extent to which data collected in performance appraisals are used for Human Resource decision-making.

Research questions

The following research questions were addressed during the study:

- To what extent is the performance appraisal system relevant to the Sissala East District Directorate of Education?

- How suitable is the performance appraisal system to the human resource development of Sissala East District Directorate of Education?
- To what extent is data collected in performance appraisals used for human resource decision making?
- How effective is employee performance appraisal in the Sissala East District Directorate of Education in human resource decision-making?
- What are the perceptions of employees about the performance appraisal system used in the Sissala East District Directorate of Education?

Justification of the study

There is no gain saying the fact that the development of education and school systems are the key to human resource development in Ghana. This fact is even more relevant to the Sissala East District, which is one of the most deprived districts in Ghana.

Therefore, the study of the performance appraisal system in use by the Sissala East District Directorate of education would provide relevant clues to improving systemic flaws with regard to the development of the educational sector. The study would also unearth new data on best practices that could be adapted by other sectors of the Ghanaian Economy.

It is also envisaged that the study would provide the needed data to serve as the basis for embarking on a national research into existing appraisal systems. The research is also critical to providing quantitative and qualitative data to human resource managers and policy makers in education and other fields to

propose alternative policy initiatives to the existing performance appraisal systems.

Organisation of the study

The report on the study is presented under five broad chapters. Chapter one, which is the introduction, comprises of the conceptual orientation and background of the study, statement of the problem , justification of the study, research questions as well as, objectives of the study. Chapter two is on literature review and conceptual framework. Chapter three contains the methodology adopted for the study. The chapter discusses the selection techniques and tools used for the data collection. Chapter four presents the data collected, analyze them, and discuss the results. From the analysis and interpretation, conclusions are drawn based on findings and discussion of the results. Recommendations offered in Chapter Five.

CHAPTER TWO

REVIEW OF LITERATURE

Introduction

This chapter reviews the literature. It focuses on theories and concepts of performance, performance appraisal and emerging issues in performance management, and the practices and uses of performance appraisal data for effective human resource management. The Chapter ends by examining some empirical studies, which are relevant to integrating performance appraisal and human resource management (HRM).

The human resource management definition

Armstrong (1992) defines HRM as the strategic and coherent approach to the management of an organisation's most valued assets-the people working there who individually and collectively contribute to the achievement of the objectives of the organisation. Miller (1987) sees HRM activities to be related to all those decisions and activities which concern the management of employees at all levels in the business and which are related to the implementation of strategies directed towards creating and sustaining competitive advantage. Armstrong (1992) and Miller (1987) see HRM as employing people, developing their resources,

utilizing, maintaining and compensating their services in line with the job and organisational requirement.

Performance function concept

Performance refers to an employee's accomplishment of assigned tasks and it is measured in terms of results and not effort expended (Cascio, 1992). Also according to Byars and Rue (1994), performance refers to the degree of accomplishment of tasks that make up an employee's job. It reflects how well an individual is fulfilling the requirements of a job. Job performance in a given situation can be determined by the net effect of an employee's effort modified by abilities and role (or tasks) perceptions. This implies that the interrelationships among effort, ability and role perception determine performance in a given situation (Byars & Rue, 1994).

Determinants of performance according to Byars and Rue (1994) include:

- Effort, which refers to the amount of energy (physical and/or mental) used by an individual in performing a task. This results from being motivated.
- Abilities, which refers to individual personal characteristics used in performing a job.
- Role (task) perceptions refer to activities and behaviour that people believe are necessary in the performance of their jobs.

A minimum level of proficiency must exist in each of the performance components in order to attain an acceptable level of performance. Performance is, however, often constrained by other factors beyond the control of the employee.

Some of the more common potential obstacles include inadequate work facilities and equipment, restrictive policies that affect the job, lack of co-operation from others, poor supervision, plant layout etc (Byars & Rue, 1994).

The implication for management is that an individual's performance may be influenced by the abilities, (skill and aptitude), role perception and other factors beyond the control of the individual employee. Hence, performance should be viewed as the interrelationship among these factors.

The most important human resource outcome is the contribution employees make to the achievement of the objectives of the organisation. Such contribution is what is referred to as performance. To know how employees are performing on their tasks calls for appraisal. Thus, performance appraisal is an important means of identifying the strengths and weaknesses of employees so that appropriate action can be taken. The primary purpose of performance appraisal is therefore to improve on the current job performance of the person being appraised. In addition, performance appraisal generates information for human resource planning and development, and improved communication and understanding between the individuals concerned. The concept of performance appraisal therefore needs to be discussed thoroughly to inform and educate appraisers and appraisees, as well as, management for them to appreciate its importance and use.

Performance appraisal

The human resource of every organisation constitutes the core competencies of the organisation; as such an organisation that wishes to remain in business needs to update its Human Resource base. Management can make more informed decisions faster if performance is planned, reported and measured correctly. Effective performance measurement and reporting helps the organisation determine the elements that are important to its daily business operations and monitor potential problems as well as make strategic decisions.

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. 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 accurate and consistent.

There are many reputable sources - researchers, management commentators, psychometricians - who have expressed doubts about the validity and reliability of the performance appraisal process. Some have even suggested that the process is so inherently flawed that it may be impossible to perfect it (Milkovich & Boudreau, 1991).

At the other extreme, there are many strong advocates of performance appraisal. Some view it as potentially the most crucial aspect of organisational life (Coffey, Cook & Hunsaker, 1994). Between these two extremes lie various

schools of thought. While all endorse the use of performance appraisal, there are many different opinions on how and when to apply it.

For instance, a school of thought believes that performance appraisal has many important employee development uses, but scorn any attempt to link the process to reward outcomes such as pay rise and promotion. This school of thought believes that the linkage to reward outcomes reduces or eliminates the developmental value of appraisals. Rather than an opportunity for constructive review and encouragement, the reward-linked process is perceived as judgmental, punitive and harrowing. For example, how many people would gladly admit their work problems if, at the same time, they knew that their next pay rise or a much-wanted promotion was riding on an appraisal result? Very likely, in that situation, many people would deny or downplay their weaknesses (Beach 1975).

Performance appraisal defined

Different authors define concept of performance appraisal depending on their outlook and therefore tend to lay emphasis on what they deem to be crucial and worth considering. A close look at the literature reveals several definitions of performance appraisal. Performance appraisal can be taken to be synonymous with performance/employee evaluation, performance assessment, personnel appraisal, personnel/performance review, progress report, results appraisal and merit rating among others. (Beach 1975:6) for example, defines performance appraisal as “the systematic evaluation of individuals with respect to their job performance and potential for development”. Kavanagh (1987:8) views

performance appraisal as “the process for defined purpose that involves the systematic measurement of individual differences in employees’ performance on their job”. These definitions are not really different from Mathis and Jackson (1994:9). To them, performance appraisal is “the process of determining how well employees do their jobs compared with a set of standards and communicating that information to the employees”. Byars and Rue (1994:5) declare a further improvement on the earlier definitions as the “process of determining and communicating to an employee how he or she is performing on the job and, ideally, establishing a plan of improvement”.

For the purpose of this study the definitions of Beach (1975) and Byars and Rue (1994) will be adopted as a working definition. These definitions bring out the crucial features of performance appraisal. From the definitions, it could be deduced that performance appraisal is a process, which is systematic and measurement oriented. It also communicates and it is purposeful as well.

Performance appraisal involves several processes, no matter the orientation of the appraiser. In the first place there must be a set of realistic standards that must be achievable, and then there is the judgmental process of the appraiser who must choose specific criteria and the way to measure those standards. The third process is the completion of the appraisal form. Kavangah (1987) has noted that in completing a rating form, that is, when performance ratings are used, the rater goes through a judgmental process based on observations of (1) the employee’s behaviour, (2) personal feelings about the employee, and (3) knowledge and evaluation of the employee’s job performance.

These three indicators, according to Kavanagh (1987), are inter-related and therefore the judgment process involved in performance appraisal must consider these components.

It is important also that any performance appraisal must be systematic or orderly. The systematic feature of a well-defined performance appraisal programme ensures that information on the job effectiveness on all employees is available to the manager to aid in personnel and administrative decisions.

Thirdly, the definitions also indicate that the appraisal system should be measure-oriented and based on set standards. Notwithstanding the systematic manner of collection of information on employee's job performance, if the evaluation programme does not meet the criteria established for valid measurement, the results become quite useless (American Society for Personnel Administration, 1973).

Fourthly, the process involved in performance appraisal is inter-personal. This process occurs during the performance interview between supervisor and subordinate. In communicating the results of a job performance appraisal to an employee, the supervisor is in a highly sensitive, emotionally charged situation that calls for extremely good inter-personal skills.

Finally, from the definitions above, an appraisal system should be purposeful. In other words, the process involved in performance appraisal should be in harmony with management's purpose for the programme. For example, with the rapid changes in the business environment these days, it would not be out of place to discuss the personal growth and development of an employee during a

performance interview when the primary purpose for the appraisal is to determine promotions and/or merit increase.

Purposes, benefits, and uses of performance appraisal

From the foregoing analysis, performance appraisal programmes can serve many purposes that may benefit both the organisation and the employee whose performance is being appraised. A research conducted at a Travellers Insurance Company in the US (Sherman, Bohlander & Snell, 1996), had the following objectives for its performance appraisal programme. These objectives, which are similar to that of other organisations, are the following:-

- To give employees the opportunity to discuss performance and performance standards regularly with the supervisor;
- To provide the supervisor with a means of identifying the strengths and weaknesses of employees' performance;
- To provide a format enabling the supervisor to recommend a specific programme designed to help an employee improve performance;
- To provide a basis for recommendations of rewards and incentives.

The literature also presents several benefits of performance appraisal. Mullins (1999) lists the following as potential benefits of an effective appraisal system to both the individual and the organisation:-

- It can identify an individual's strengths and weaknesses and indicate how such strengths may be utilized and the weaknesses overcome;

- It can help to reveal problems which may be restricting progress and causing inefficient work practices;
- It can develop a greater degree of consistency through regular feedbacks on performance and discussion about potential. This would encourage better performance from staff;
- It can provide information for manpower planning to assist succession planning, to determine suitability of employees for promotion, and for particular types of employment and training;
- It can also improve communications by giving staff the opportunity to talk about their ideas, expectations, and how well they are progressing.

Cleveland, Murphy and Williams (1989), have also come up with the following as the most common uses of performance appraisals, which can be classified as either administrative or developmental. In reviewing the literature it was noted that from the standpoint of administration, appraisal programmes provide inputs that can be used for the entire range of Human Resource Management (HRM) activities. For example, research has shown that performance appraisals are used most widely as a basis for compensation decisions (Thomson, & Mabey, 1994). The practice of “pay-for-performance” is found in all types of organisations. Performance appraisal is also directly related to a number of other major HR functions such as promotion, transfer, and layoff decisions. It may also be used in HR planning, in determining the relative worth of jobs under a job evaluation programme, and provide the criteria for validating selection tests. Finally, it is important to recognize that the success of the entire

HR programme depends on knowing how the performance of employees compare with the goals established for them. The assumption is that appraisal systems have the capability of influencing employee behaviour, thereby leading directly to improved organisational performance.

From the standpoint of individual development, appraisal provides the feedback essential for discussing strengths and weaknesses as well as improving performance. Regardless of the employee's level of performance, the appraisal process provides an opportunity to identify issues for discussion, eliminate any potential problems, and set new goals for achieving high performance. A developmental approach to appraisal recognizes that the purpose of a manager is to improve job behaviour, not simply to evaluate past performance.

Characteristics of effective appraisal system

For performance appraisal to be effective, the data generated through the process must have the following characteristics according to Casio (1992):

- **Relevance** – This implies that there should be clear links between the performance standards for a particular job and organisation's goals. In addition, there must be clear links between the critical job elements identified through job analysis and the dimensions to be rated. Performance standards translate job requirements into levels of acceptable or unacceptable employee behaviour.

- **Sensitivity** – This implies that a performance appraisal system is capable of distinguishing between effective and ineffective employees. If it is not, will undermine the motivation of both supervisors and subordinates. For example, if the best employees are rated no differently from the worst employees, then the appraisal system cannot be used for administrative purposes. It will certainly not help employees to develop.

According to Cascio (1992), raters process identical sets of performance appraisal information differently, depending on whether a merit pay raise, a recommendation for further development or the retention of a probationary employee is involved. These results highlight the conflicts between appraisals made for administrative purposes and those made for employee development. Appraisal systems designed for administrative purposes should demand performance information about differences between individuals, while systems designed to promote employee growth should demand information about differences within individuals.

The two different types of information should not be interchangeable in terms of purposes, and that is why performance management systems designed to meet both purposes are more complex and costly.

- **Reliability** – This refers to consistency of judgement. Usually, raters with different perspective may see the same individual's job performance differently. To provide reliable data, each rater must have an adequate opportunity to observe what the employee has done and the conditions under which he/she did it.

- **Acceptability** – Human resource programmes must have the support of those who use them or else human ingenuity will be used to thwart them. Many organisations do not put much effort into gathering the front-end support and participation of those who will use the appraisal system. According to Cascio (1992) 62 percent of respondents in an American Productivity and Quality Centre survey said that their bosses evaluated them fairly. Ultimately, it is management's responsibility to define as clearly as possible the type and level of job behaviour of employees. However, some managers may not know what they want and find it extremely difficult to discuss the issue. Other managers might fear that when employees find out what they want, the employees may not like it while other managers might feel that they would lose flexibility by stating their objectives in advance. These attitudes run counter to research findings in performance appraisal. It is important to enlist the active support and co-operation of subordinates by making explicit what aspects of job performance they will be evaluated on. Only then can the kind of acceptability and commitment needed for appraisal be achieved.
- **Practicality** – This implies that appraisal instruments would be easy for managers and employees to understand and use.

The achievement of these characteristics calls for emphasis to be placed on training of the raters.

Principles underlying performance appraisal

Theorists of performance appraisal and researchers suggest that in designing an appraisal system, certain basic principles concerning its introduction and implementation have to be considered. This is assumed to make the system more meaningful, effective and credible. The criteria and principles underlying performance appraisal are taken to include the following:

Corporate objectives orientation

As earlier stated, appraisal systems should be purposeful. According to Cascio (1992) it should not be viewed in isolation but in relation to the corporate objectives of the organisation and designed to suit its culture and particular requirements. Mullins (1999) is of the opinion that appraisal systems should be integrated with related personnel policies and practices such as manpower planning, training and development programmes.

Clear definition of standards

The starting point of this integration is the process of thorough job analysis. Before any appraisal is conducted, the standards by which performance is to be evaluated should be clearly defined and communicated to the employee. According to Graham (1983), these standards should be based on job-related requirements derived from job analysis and reflected in the job descriptions and job specifications. When performance standards are properly established, they help translate organisational goals and objectives into job requirements that

convey acceptable and unacceptable levels of performance to employees. In the researcher's view, unclear definition of standards might result in a highly subjective appraisal system that may measure other factors that may not be directly job related to job output and therefore difficult to measure performance. Robbins (1988) sums up, in brief, that if the objectives that employees are expected to achieve are unclear, if the criteria for measuring those objectives are vague, and if the employees lack confidence that their efforts will lead to satisfactory appraisal of their performance or believe that there will be an unsatisfactory pay off by the organisation when their performance objectives are achieved, it would be expected that individuals would work below their potential.

Regular dialoguing

A successful appraisal should also establish a regular dialogue and lead to an improvement in manager-staff or supervisor-subordinate relationships. Ubeku (1984) sees performance appraisal as a power-sharing exercise. To succeed, it must be a co-operative and constructive endeavour, with input by both staff and the manager. As stated earlier, the system should focus on the strengths and weaknesses and the accomplishments of staff, rather than on faults and failures. This will then lead to a plan for the future development and progress of the individual.

Commitment and participation

A research by Wright and Noe (1996) concluded that commitment and support from top management is very paramount to a successful appraisal system. Gomez-Mejia, Balkin, Cardy and Dimick, (2000), explain that the HR department ordinarily has the primary responsibility for overseeing and co-ordinating the appraisal programme. It is their belief that managers from the operating departments must also be actively involved, particularly in helping to establish the objectives for the programme. Furthermore, employees are more likely to accept and be satisfied with the performance appraisal programme when they have the chance to participate in its development. Their concerns about fairness and accuracy in determining rises, promotions and the like tend to be alleviated somewhat when they have been involved at the planning stage and have helped develop the performance standards themselves.

Training and monitoring

Mullins (1999) in his contribution states that top management should also make adequate provisions for the proper training of appraisers and also reasonable time should be allowed for the appraisal activity. Appraisal system, like any other personnel programme needs also to be monitored regularly to ensure that appraisals are being carried out properly and to obtain feedback from managers. The system needs constant review and where necessary modified to suite the changing environmental influences or the needs of the organisation.

Appeal procedures and feedback

As the main purpose of appraisal is to help staff improve their performance, several articles and reviews in the literature stress on the need to establish a formal appeal procedure, which is clearly understood by all members of staff to ensure credibility of the system and to maintain goodwill (Cascio, 1992; Kavanagh, 1987; Mullins, 1999). They suggest that appeals be made to a manager in a more senior position.

Much of the research on performance appraisal focused on feedback. The results of these studies provide valuable insights into the role of feedback in performance appraisal systems. Bottomley (1983), points out that people work, learn or achieve more when they are given adequate and objective feedback as to how they are performing. Mathis and Cuming (1994), also point out that performance appraisal feedback is to change or reinforce individual behaviour rather than 'compare individuals'. Experts have indicated that feedback serves two functions for those who receive it; one is instructional and the other motivational. Feedback instructs when it clarifies roles or teaches new behaviour, and motivates when it serves as a reward or promises a reward.

What to appraise

In the literature, three distinctive criteria for performance evaluation emerged. These are individual task outcomes, behaviours, and traits.

Individual task outcomes

According to Fletcher and William (1986), and Robbins (1988), in a situation where ends count rather than means, then management should evaluate on employee's task outcomes or what the individual has accomplished. In using task outcomes for instance, a plant manager of a manufacturing firm could be assessed on criteria such as quantity produced, scrap generated, and cost per unit of production. Similarly, a sales person could be assessed on overall sales volume in his/her territory, increase in sales and number of new customers won.

Behaviours

How an employee actually behaves rather than his personality matters in the behavioural approach. According to Robbins (1988), a worker's rate of production may be satisfactory or excellent but where his speed of work negatively affects other members of his work group or workforce, then not only his outcomes but also his behaviour should form part of an assessment on him.

Traits

Robbins (1988) also describes traits as the weakest set of criteria, yet one that is still widely used by organisations. They are weaker than either task outcomes or behaviours because they are farthest removed from the actual performance of the job itself. This approach involves rating an individual personal traits or characteristics such as having "a good attitude", showing "confidence", "initiative", "dependability", "decisiveness", being "intelligent" or "friendly",

“looking busy” or possessing “a wealth of experience”, and “loyalty”, which may or may not be highly correlated with positive task outcomes. For instance, rating someone low on initiative tells him or her nothing about how to improve job performance. Also employees tend to react defensively to feedback about their personality (Ivancevich, & Gheck 1986). Ivancevich and Gheck (1986) contend that each criterion has its appropriate use, depending on the demands of the situation, and therefore recommend a contingency approach that emphasizes the need for flexibility.

Frequency of appraisal

A review of the literature reveals that in many organisations staff are appraised annually. Mullins (1999), however, advises that the frequency of appraisal should be related to the nature of the organisation, the purpose and objectives of the scheme and characteristics of the staff employed. He recommends more frequent appraisals, that is, more than once a year for organisations operating in a dynamic, changing environment and most importantly for those whose performance falls below required standards. In addition, heavily bureaucratic stable organisations tend to do performance appraisal annually. Almost all the Ghanaian public service departments fall into this group.

The nature of an organisational structure also determines the frequency of appraisal. In an organisation with a flattened or horizontal structure, the number of subordinates under a manager may be so many that appraisals have to be done

annually or less often than annually (Fletcher & William, 1986). The authors further suggest that younger staff with more potential may need more frequent appraisal than staff nearing retirement. Kreitner, and Kinicki (1995), though accept the annual formal appraisal, however, recommend that informal performance appraisals be conducted twice or thrice a year, for most employees.

Reasons why appraisal programmes sometimes fail

Several reasons have been assigned in the literature for the possible failure of appraisal programmes. These reasons include:

Inconcreteness

In actual practice, and for a number of reasons, formal performance appraisal programmes sometimes yield disappointing results. Figure 1 shows that the primary culprits include lack of top-management information and support, unclear performance standards, rater bias, too many forms to complete, and use of the programme for conflicting purposes. For example, as indicated earlier in the literature reviewed, if an appraisal programme is used to provide a written appraisal for salary action and at the same time to motivate employees to improve their work, the administrative and development purposes may be in conflict.

Frequency of performance appraisal

In the literature, it is also noted that the frequency of performance appraisal contributes to the reasons why appraisal programmes sometimes fail.

This is because a fact has been established that performance in many organisations is a once-a-year activity in which the appraisal interview becomes a source of friction for both managers and employees. An important principle of performance appraisal is that continual feedback and employee coaching must be a positive daily activity (Cascio, 1992). To Day, the annual or semi-annual performance review should simply be a logical extension of the day-to-day supervision process.

Table 1. Top 12 reasons why performance appraisals can fail

- 1 Manager lacks information concerning an employee's actual performance
- 2 Standards by which to evaluate an employee's performance are unclear
- 3 Manager does not take the appraisal seriously
- 4 Manager is not prepared for the appraisal interview with the employee
- 5 Manager is not honest/sincere during the evaluation
- 6 Manager lacks appraisal skills
- 7 Employee does not receive ongoing performance feedback
- 8 Insufficient resources are provided to reward performance
- 9 There is inefficient discussion of employee development
- 10 Manager uses unclear/ambiguous language in the evaluation process
- 11 Managers feel that little or no benefit will be derived from the time and energy spent in the process
- 12 Managers dislike the face-to-face confrontation of appraisal interviews

Source: Adopted from Clinton and McGinnis (1992)

Unfairness

One of the main concerns of employees is the fairness of the performance appraisal system, since the process is central to many HR decisions. Managers pretend that the ratings and rankings they use are objective, and they aren't. According to Gomez-Mejia, Balkin, Cardy and Dimick (2000), managers have been unable to recognize the fact that the real "customer" for performance management and appraisal is the employee. Without their supportive involvement, it's all a waste of time. An employee who believes the system is unfair may consider the appraisal interview a waste of time and leave the interview with feelings of anxiety or frustration. By addressing these employee concerns during the planning stage of the appraisal process the organisation will help the appraisal programme to succeed in reaching its goals.

Organisational politics

Organisational politics can also introduce a bias even in fairly administered employee appraisals (Ferris & King, 1991). For example, managers may inflate evaluations because they desire higher salaries for their employees or because higher subordinate ratings make them look good as managers. Alternatively, managers may want to get rid of troublesome employees, passing them off to another department by inflating or deflating their ratings.

Who should be appraised?

Some organisations apply appraisal schemes only to staff in managerial, supervisory or administrative positions. However, it is suggested in the literature that appraisal should be applied to all sorts of groups, including manual workers, especially skilled workers and those involved in technical duties. Fletcher and Williams (1986) believe that appraisal may meet different needs for both the organisation and the individual at different levels; hence the content, style and frequency should be different for different levels. For example, all things being equal, standards set by secretarial examination boards is that, for the typist's job, the standard is forty words per minute with not more than ten errors. However, for the stenographer the standard is different and is between sixty to eighty words per minute depending on the grade with not more than ten errors. It must be noted that performance is not one-dimensional. For example, university professors are evaluated by students on one dimension of their performance. For most professors, there are at least two other important dimensions that students often do not see: research and service. This may apply to specific departments of some Universities for example, the Institute for Development Studies (IDS) of the University of Cape Coast. In some universities, teaching might carry more weight than research. At other institutions, the reverse may be true depending on the mission of the university.

Who does the appraisal?

Just as there are multiple standards by which to evaluate performance, there are also multiple candidates for appraising performance. Given the complexity of today's job, it is often unrealistic to presume that one person can fully observe and evaluate an employee's performance. So realistically, the raters may include:

- Supervisors who rate their subordinates;
- Subordinates who rate their supervisors;
- Peers who rate each other;
- Self;
- Outside sources - customers.

Manager/supervisor appraisal

Logically, the manager or supervisor being the person who allocates work and has the closest knowledge of the individual's duties and performance is the one to carry out the appraisal. Research has shown that about ninety-five per cent of all performance evaluations at the lower and middle levels of the organisations are conducted by the employee's immediate boss (Robbins, 1988). The "unity of command" notion - that every subordinate should have only one supervisor - underlines this approach. Where a supervisor appraises employees independently, provision is often made for a review of the appraisal by the supervisor's superior. Having appraisals reviewed by a supervisor's superior reduces the chance of superficial or biased evaluations (Wright & Noe 1996).

Subordinate appraisal

Subordinate appraisal has been used in companies to give managers feedback on how their subordinates view them (Beardwell & Holden, 1997). Subordinates are in a good position to evaluate their managers since they are in frequent contact with their superiors and occupy a unique position from which to observe much performance-related behaviour.

In reviewing the literature, it became evident that those dimensions judged most appropriately for subordinate appraisals include leadership, oral communication, delegation of authority, co-ordination of teams' efforts, and interest in subordinates. However, dimensions related to manager's specific job tasks, such as planning and organizing, budgeting, creativity, and analytical ability, are not usually seen as appropriate for subordinate appraisal.

Since subordinate appraisals give employees power over their bosses, the managers themselves may be hesitant to endorse such a system, particularly when it might be used as a basis for compensation decisions. However, when the information is used for developmental purposes, managers tend to be more open to the idea (Ivancevich & Gheck 1986). Nevertheless, to avoid potential problems, subordinate appraisals should be submitted anonymously and combined across several individual raters.

Peer appraisal

A peer appraisal provides information that differs to some degree from ratings by a supervisor, since peers often see different dimensions of performance.

While not widely used in practice, peer evaluation is one of the most reliable sources of appraisal data. According to Robbins (1988), the following reasons are valid:

- Peers are close to the action. Daily interactions provide them with a comprehensive view of an employee's performance.
- Using peers as raters result in a number of independent judgments; and the average of several ratings is often more reliable than a single evaluation.

Wright and Noe (1996) in their contribution state that the supervisor often sees employees putting their best foot forward, those who work with their fellow employees on a regular basis may see a more realistic picture.

The following are listed by Wright and Noe (1996) as the problems with peer ratings.

- Peer ratings will be too lenient because peers fear retaliation from each other if they rate too low.
- Peers are not always aware of their co-workers contributions or performance.
- The supervisor's authority is undermined when peer ratings are taken into account.
- The process creates tension among peers.
- Peers may tend to give higher ratings to those they like.

According to Wright and Noe (1996) employers using peer appraisals must also be sure to safeguard confidentiality in handling the review form. Any

breach of confidentiality can create interpersonal rivalries or hurt feelings and bring about hostility among fellow employees

Self appraisal

After ratings by the immediate supervisor, the most widespread appraisal method is having employees evaluate their own performance (Latham & Kenneth 1981). Essentially, it is a self-development tool that forces employees to think about their strengths and weaknesses and set goals for improvement (Lee-Ross, 1990).

If an employee is working in isolation or possesses a unique skill, the employee may be the only one qualified to rate his own behaviour. However, employees may not rate themselves as supervisors would rate them; therefore it is difficult to evaluate self-ratings because people may be rating themselves on quite different standards. Nonetheless, research suggests the performing individual can be a valuable and credible source of performance information (Farh, 1988).

Customer appraisal

Driven by Total Quality Management, an increasing number of organisations use internal and external customer appraisal as a source of performance appraisal information. According to Wright and Noe (1996), external customers' evaluations have been used for some time to appraise restaurant personnel. In contrast to external customers, internal customers include anyone inside the organisation who depends upon an employee's work

output. For example, managers who rely on the HR department for selection and training services would be candidates for conducting internal customer evaluations on HR. For both developmental and administrative reasons, internal customers can provide extremely useful feedback about the value added by an employee or team of employees (Cuming, 1994).

Methods of appraisal

The previous sections explained what managers evaluate and who should do the evaluation. Now the question to be asked is: How is an employee performance evaluated? That is, what are the specific techniques for evaluation? This section therefore reviews the major performance evaluation methods. Appraisals can be conducted by a number of methods. In Figure 3.3.11, the various methods are categorized into four main groups (Mathis & Jackson, 1994).

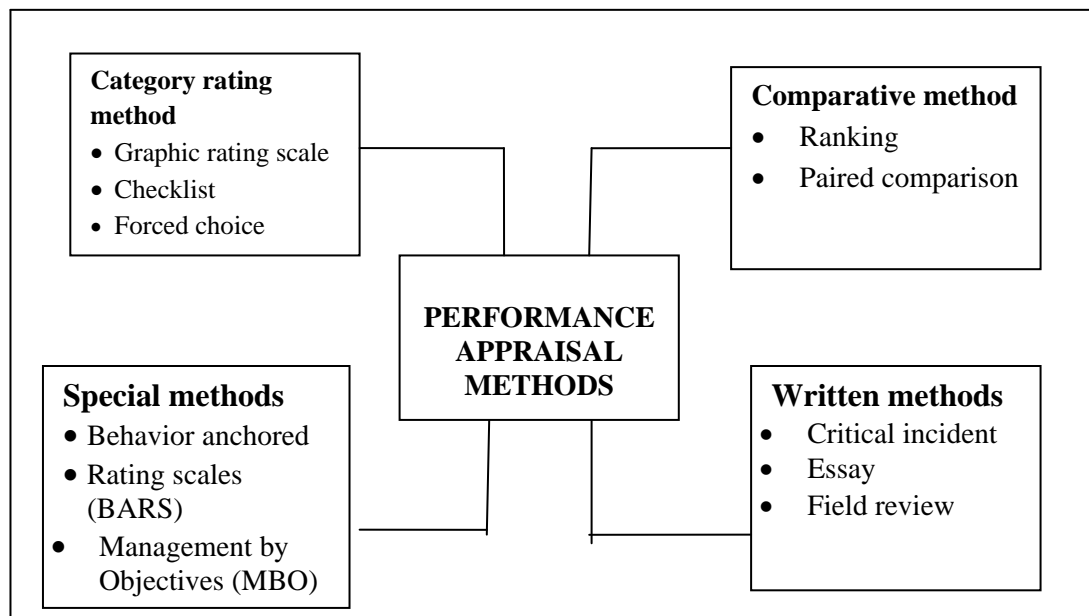


Figure 2: Performance appraisal methods

Source: Mathis and Jackson (1994:68)

Category rating methods

The simplest method for appraising performance is those that require a manager to make an employee's level of performance specific. The graphic rating scale and checklist are common category rating methods.

Graphic rating scale

The graphic rating scale is one of the oldest, most popular and most frequently used methods of evaluation (Beach, 1975; Robbins, 1988). In this method, a set of performance factors, such as quantity and quality of work, depth of knowledge, co-operation, loyalty, attendance, honesty, and initiative, are listed. The evaluator then goes down the list and rates each on incremental scales. As indicated on the sample evaluation forms located at the end of the report marked Appendix '2', the scales specify five points 5 - 1. So a factor like job knowledge might be rated '1' ("below average" that is, poorly informed about work duties) to '5' ("outstanding" has complete mastery of all phases of the job). Graphic ratings are less time-consuming to develop and administer. They also allow for quantitative analysis and comparison (Robbins, 1988).

Pierce, Dunham and Randell, (1990) note that because the graphic rating scale information forms the basis for many performance appraisals, a major concern is that these scales encourage errors on the part of the raters. These errors are discussed in detail in section 2.3.12.

Checklist

This is a method of performance appraisal in which the rater answers with a 'yes' or 'no' to a series of questions about the behaviour of the employee being rated (Byars & Rue, 1994). Mathis and Jackson (1994) in their submission state that given a list of statements or words, a manager checks those representing the characteristics and performance of the employee. Checklists can be modified so that varying weights are assigned to the statements or words and not just the 'yes' and 'no' answers. Usually the weights are not known by the rating supervisor and are tabulated by someone else, such as a member of the HR department. Because raters can see the positive or negative connotation of each question, bias can be introduced. Additional drawbacks to the checklist method are that (1) it is time-consuming to assemble the questions for each job category, (2) a separate listing of questions must be developed for each different job category, (3) the words or statements may have different meanings to different raters.

Forced-choice rating

The forced-choice rating is a method of appraisal that requires the rater to rank a set of statements describing how an employee carries out the duties and responsibilities of the job (Byars & Rue, 1994). Below is an illustration of the forced-choice rating statements.

Description	Ranking
• Is easy to become acquainted with
• Places greater emphasis on people
• Refuses to accept criticisms
• Thinks generally in terms of money
• Makes decisions quickly

These statements are normally weighted, and the rater does not generally know the weights. After the rater ranks all of the forced-choice statements, the HR department applies the weights and computes a score. This method, according to Byars and Rue (1994), attempts to eliminate evaluator bias by forcing him or her to rank statements that may be seemingly indistinguishable or unrelated. However, it has been reported that this method tends to irritate raters, who feel they are not being trusted. Furthermore, results of the forced-choice appraisal can be difficult to communicate to employees.

Comparative methods

Comparative methods require that managers directly compare the performances of their employees against one another. This group of comparative techniques includes alteration ranking, paired comparisons, and forced distribution.

Alteration ranking

The alteration ranking method is relatively simple. Using it, the rater lists the names of the employees who are to be rated from highest level to lowest (Mathis & Jackson, 1991; Byars & Rue, 1994). The primary drawback of this method as noted by Mathis and Jackson (1994) is that the size of the difference among individuals is not well defined. For example, there may be little difference in performance between individuals ranked second and third, but a big difference between those ranked third and fourth. To overcome this drawback, points must be defined to indicate the size of the gaps existing among employees. Ranking also means that someone must be last. It is possible that the last-ranked individual in one group would be the top employee in a different group. Further, ranking may be affected by rater bias or varying performance standards.

Paired comparisons

This method formally compares each employee with every other employee in the rating group one at a time. The number of comparisons can be calculated using the formula $0.5n(n - 1)$, where n , is the number of people being rated (Mathis & Jackson, 1994). For example, a manager with fifteen employees would compare one person's performance with those of the other fourteen employees. Each employee, in turn, would be compared in similar fashion. The manager doing the ratings would have to make 105 different comparisons on each rating factor. At the end of the exercise the employee with the most check marks is considered to be the best performer. Likewise, the employee with the lowest

check marks is the lowest performer. However, one major problem with this method of evaluation is that it becomes awkward to control when comparing more than five or six employees.

Forced distribution

This method requires the rater to compare the performance of employees at various performance levels. It assumes that the performance level in a group of employees will be distributed to a bell-shaped or “normal” distribution curve. The rater is required to distribute the performance of the employees as follows (Byars & Rue, 1994; Wright & Noe 1996):

20% as exceeding expectation 60% as meeting expectation 20% as not meeting expectation	or	15% as exceeding expectations 20% just expectations 30% as meeting expectations 20% just below expectations 15% unaccepted performance
--	----	--

A drawback of this method is that a supervisor may resist placing any individual in the lowest (or the highest) group. Further, with small groups, there may be no reason to assume that bell-shaped distribution of performance really exists. Finally, in some cases the manager may feel forced to make distinctions among employees that may not exist (Mathis & Jackson, 1994).

Narrative methods

Some managers or HR specialists are required to provide written narrative appraisal information. Documentation and description are the essence of the critical incident, the essay, and the field review methods.

Critical incident

Critical incidents focus the evaluator's attention on those behaviours that are key in making the difference between executing a job effectively and executing it ineffectively (Robbins, 1988). That is, the appraiser keeps a written record of the highly favourable and unfavourable actions or incidents as they occur in an employee's performance.

The main drawback to this approach is that the rater is required to jot down incidents regularly: this can be burdensome and time-consuming. Also, the definition of a critical incident is unclear and may be interpreted differently by different people. It is felt that this method can lead to friction between the manager and employee when the employees feel that the manager is keeping a "book" on them.

Essay appraisal

The essay or free-form appraisal method requires the manager to write a short essay describing each employee's performance during the rating period. The rater usually is given a few general headings under which to categorize

comments. The intent is to allow the rater more flexibility than other methods does.

One drawback to the essay method is that some supervisors communicate in writing better than others do, so the quality of the ratings depends on the writing skills or ability of the raters. Also, the method can be time-consuming, and it is difficult to quantify or express numerically for administrative purposes.

Field review

Under the field review method, the HR department becomes an active partner in the rating process. A member of the HR department interviews the manager about each employee's performance. The HR representative then compiles the notes of each interview into a rating for each employee. Then the rating is reviewed by the supervisor for needed changes. This method assumes that the representative of the HR department knows enough about the job setting to help supervisors give more accurate and thorough appraisals.

The major limitation of this method is that the HR representative has a large amount of control over the rating. Supervisors may see it as a challenge to their managerial authority. In addition, the method can be time-consuming, particularly if a supervisor has to rate a large number of employees.

Special appraisal systems: Behaviourally-Anchored Rating Scales (BARS) and Management by Objectives (MBO)

Two special systems that attempt to overcome some of the difficulties of the methods described above are Behaviourally-Anchored Rating Scales (BARS) and Management By Objectives (MBO). Behaviourally-anchored rating scales seem to hold promise for situations in which many people are doing the same job, whereas MBO is useful for management appraisals.

Behavioural Anchored Rating Scales (BARS)

Byars and Rue, (1994) define **BARS** as a method of performance appraisal that determines an employee's level of performance based on whether or not certain specifically described job behaviours are present. **BARS** are normally developed through a series of meetings attended by both managers and job incumbents. Three steps are usually followed:

- Managers and job incumbents identify the relevant job dimensions or characteristics for the job.
- Managers and job incumbents write behavioural anchors as statements for each of the job dimensions. As many anchors as possible are written for each dimension.
- Managers and job incumbents reach a consensus concerning the scale values to be used and the grouping of anchor statements for each scale value.

A comprehensive review of the research on BARS conducted by Milkovich and Boudreau, J. W. (1991) indicated that at present there is no strong evidence that BARS reduces all of the rating errors mentioned previously. However, their studies show that scales of this type can yield more accurate ratings. One major advantage of BARS is that personnel (job incumbents) outside the HR department participate with HR staff in its development, which can lead to greater acceptance of the performance appraisal process and of the performance measures that it uses. In addition, Byars and Rue, (1994) indicate that the anchors are developed from the observations and experiences of employees who actually perform the job. Finally, BARS can be used for providing specific feedback concerning an employee's job performance.

The main disadvantage of BARS is that it requires considerable time and effort to develop. In addition, because the scales are specific to particular jobs, a scale designed for one job may not apply to another. Thus, separate forms must be developed for different jobs (Byars & Rue, 1994; Wright & Noe 1996).

Management by Objectives (MBO)

The goal-setting approach to performance appraisal, or management by objectives (MBO) as it's more frequently called, is more commonly used with professional and managerial employees. MBO is a philosophy of management first proposed by Peter Drucker in 1955. Other names for MBO include management by results, performance management, results management, and work-planning and review programme. MBO seeks to judge the performance of

employees on the basis of their success in achieving the objectives they established through consultation with their superiors. Performance-improvement efforts under MBO focus on goals to be achieved by employees rather than on the activities they perform or the traits they exhibit in connection with their assigned duties (Wright & Noe, 1996).

The MBO process typically consists of:

- Establishing clear and precisely defined statements of objectives for the work that is to be done by the employee.
- Developing an action plan indicating how these objectives are to be achieved.
- Allowing the employee to implement this action plan.
- Measuring objective achievement.
- Taking corrective action, when necessary.
- Establishing new objectives for the future.

If an MBO system is to be successful, several requirements must be met. First, objectives set at each level of the organisation should be quantifiable and measurable for both the long term and short term. Objectives should also be challenging and yet achievable, and they should be expressed in writing and in clear, concise, unambiguous language. Second, the expected results must be under the employee's control, and goals must be consistent for each level (top executive, manager, and employee). Third, managers and employees must establish specific times when goals are to be reviewed and evaluated. Finally,

each employee goal statement must be accompanied by a description of how that goal will be accomplished.

The MBO system is not without its critics. One researcher contends that MBO is a lengthy and costly appraisal system that has only a moderate impact on organisational success (Cuming, 1994). Another criticism is that since performance data are designed to measure results, they may be affected by factors out of an individual's control. For example, an assembly-line worker usually has so little job flexibility that performance standards and objectives are already determined. The MBO process seems to be most useful with managerial personnel and employees who have a fairly wide range of flexibility and self-control over their jobs. When imposed on a rigid and autocratic management system, MBO may fail (Mathis & Jackson, 1994).

Potential problems in performance appraisal

While organisations may seek to make the performance evaluation process free from personal biases, prejudices, and idiosyncrasies, a number of potential problems can creep into the process (Robbins, 1988). Several common errors have been identified in performance appraisals. Byars and Rue (1994) summarizes the key features of these problems as follows:

- Leniency Error occurs in performance appraisals when a manager's ratings are grouped at the positive end instead of being spread throughout the performance scale (continuum).

- Central Tendency occurs when appraisal statistics indicate that most employees are appraised as being near the middle of the performance scale.
- Recency occurs when evaluations are based on work performed most recently - generally, work performed one or two months prior to evaluation.

The impact of these errors would be the difficulty in separating good performers from poor performers. In addition, these errors make it difficult to compare ratings from different raters. For example, it is possible for a good performer who is evaluated by a manager committing central tendency errors to receive a lower rating than a poor performer who is rated by a manager committing leniency errors.

Another common error in performance appraisals is the halo effect. This occurs when a rater allows a single prominent characteristic of an employee to influence his or her judgment on each separate item in the employee receiving approximately the same rating on every item.

Personal preferences, prejudices, and biases can also cause errors in performance appraisals. Managers with biases or prejudices tend to look for employee behaviours that conform to their biases. Appearance, social status, dress, race, and sex have influenced many performance appraisals. Managers may also allowed first impressions to influence later judgments of an employee. First impressions are only a sample of behaviour; however, people tend to retain these impressions even when faced with contradictory evidence.

An additional error identified by Mathis and Jackson (1994) is the contrast error. The contrast error is the tendency to rate people relative to other people rather than to performance standards.

Suggestions to overcome appraisal problems

The forced-distribution method of performance appraisal attempts to overcome the errors of leniency and central tendency. In addition, behaviourally anchored rating scales are designed to reduce halo, leniency, and central tendency errors usually committed by appraisers during performance appraisals. Unfortunately, because refined instruments frequently do not overcome all obstacles, it does not appear likely that refining appraisal instruments will totally overcome errors in performance appraisals.

A more promising approach suggested to overcoming errors in performance appraisals is to improve the skill of raters. Appraiser training is valuable. When managers and supervisors are offered insights and ideas on employee rating, documenting appraisals, and conducting appraisal interview increases the value and acceptance of an appraisal programme by staff (Pierce, 1990). Training appraisers gives them confidence in their ability to make appraisals and handle appraisal interview without antagonism.

Conducting the appraisal interview

Wright and Noe (1996) after conducting a research in this area concluded that there are probably no hard-and-fast rules on how to conduct an appraisal

interview. They, however, offered some guidelines that may increase the employee's acceptance of the feedback, satisfaction with the interview, and intention to improve upon performance in the future. Some of the guidelines that they suggest could be considered during appraisal interviews include the following:

Ask for a self-assessment: It is useful to have employees evaluate their own performance prior to the appraisal interview. The self-appraisal starts the employee thinking about his or her accomplishments. It also ensures that the employee knows against what criteria he or she is being evaluated, thus eliminating any potential surprises. After the self-evaluation, the interviewer can discuss those areas where the manager and the employee have reached different conclusions.

Invite participation. The core purpose of a performance appraisal interview is to initiate a dialogue that will help an employee improve his or her performance. To the extent that an employee is an active participant in that discussion, the more likely it is that the root causes and obstacles to performance will be uncovered. It is also more likely that constructive ideas for improvement and development will be raised. Research has shown that participation is strongly related to an employee's satisfaction with the appraisal feedback as well as his or her intention to improve performance (Pierce & Dunham, 1990). As a rule of thumb, supervisors should spend only about 30 to 35 per cent of the time talking during the interview. The rest of the time should be listening to employees respond to questions.

Express appreciation. Praise is a powerful motivator, and in an appraisal interview, particularly, employees are seeking out positive feedback. It is frequently beneficial to start the appraisal interview by expressing appreciation for what the employee has done well. In this way, he or she may be less defensive and more likely to talk about aspects of the job that are not going on well.

Minimize criticism. Employees who have a good relationship with their managers may be able to handle criticism better than those who do not. However, even the most stoic employees can absorb only so much criticism before they start to get defensive. If an employee has many areas in need of improvement, managers should focus on those few objective issues that are most problematic or most important to the job (Graham, 1983).

Change the behaviour, not the person. In dealing with a problem it must be remembered that it is not the person who is bad, but the actions he or she has exhibited on the job. Suggestions about personal traits should be avoided; instead more acceptable ways of performing should be suggested. It is difficult for employees to change who they are; it is usually much easier for them to change how they act.

Focus on solving problems. Frequently, solving problems requires an analysis of the causes, but ultimately the appraisal interview should be directed at devising a solution to the problem.

Be supportive. Employees frequently attribute performance problems to either real or perceived obstacles (such as bureaucratic procedures or inadequate resources). By being open and supportive, the manager conveys to the employee

that he or she will try to eliminate external roadblocks and work with the employee to achieve higher standards.

Establish goals. Since a major purpose of the appraisal interview is to make plans for improvement, it is important to focus the interviewee's attention on the future rather than the past. In setting goals with an employee, the manager should observe the following points:

- Emphasize strengths on which the employee can build rather than weakness to overcome.
- Limit plans for growth to a few important items that can be accomplished within a reasonable period of time.
- Establish specific action plans that explain how each goal will be achieved. These action plans may also include a list of contracts, resources, and timetables for follow-up.

Follow up day to day. Ideally, performance feedback should be an ongoing part of a manager's job. Feedback is most useful when it is immediate and specific to a particular situation. Unfortunately, both managers and employees are frequently happy to finish the interview and file away the appraisal form. A better approach is to have informal talks periodically to follow up on the issues raised in the appraisal interview.

The appraisal system in Ghana Education Service

Performance appraisal in the District Directorate of Education and basic schools in the Sissala East District is conducted annually. It covers the period 1st January to 31st December, which also coincides with its financial year period.

At the beginning of July each year, appraisal forms for both junior and senior staff are distributed to unit and school Heads, for completion and return to the Human Resource Director by end of December for processing. Below are the descriptions of the appraisal forms in use: (See Appendices 4 and 5)

The junior staff form

Here personality trait rating is adopted. A semi-structured form is used requiring the appraiser to rate each employee on a continuum from 'O' or 'Outstanding' on one end of the scale to 'U' or 'Unsatisfactory' on the other end. Employees are rated on a number of personal qualities and personality characteristics such as: Knowledge of Job, Goal Attainment, Dependability, Quality of Work, Productivity, Reliability, Communication, Efficiency and Cooperation.

The junior staff appraisal form is divided into five (5) sections. The first deals with personal information. The second section focuses on duties and key targets of employees. The third section allows the appraiser to judge the potential of the appraisee using five-point rating scale. The fourth section requests for the potential forecast of the appraisee and the fifth, covers the employees development plan.

The senior staff appraisal form

The rating on the senior staff appraisal form is not different from that of the junior staff, except that senior staff is rated on parameters such as: Goal Attainment, Knowledge of Work, Output, Efficiency, Initiative, Sense of Judgement, Responsibility and Reliability, Communication, Problem Solving, and Overall Rating.

The senior staff appraisal form, is sub divided into three (3) sections. Part I covers assessment of work and capability. There are ten (10) areas of core skills provided on the form. Each core skill is assessed on a five-point rating scale. Unlike the junior staff appraisal form, there are provisions for justification. Part II focuses on potential forecast, which focuses on position for which 'Ready Now', position to consider 'In The Future' and the reasons for these estimates of potential. The final part dwells on development plan, of the appraisee.

When these completed forms are received from supervisors, HR department then processed and analysed. It is this department that summarizes the recommendations received on each employee for appropriate decisions.

CHAPTER THREE

METHODOLOGY

Introduction

This chapter is devoted to the full description of the type of research method used for the study. Other areas include sources of information, definition of target population, sample size and data collection technique/instrument, and analysis.

Study area

The district is located in the Northwestern portion of Ghana. It falls between longitudes, 1.30'W to 2.40W and latitudes, 10.00N. It forms one of the nine Districts of the upper West. Its total land size is 4,744sq km, which is about 26% of the landmass of the total landmass of the whole Upper West Region.

The Sissala East District is located in the Guinea Savanna vegetation belt. The vegetation consists of grass with scattered fire resistant trees such as the shea trees, the baobab and the dawadawa trees. Acacia is also a common tree of this vegetation belt. The heterogeneous collections of trees provide all domestic requirements for fuel wood and charcoal, construction of houses, cattle kraals and fencing of gardens. The shorter shrubs and grasses provide fodder for livestock. The shea tree is one that is of great economic asset to the district and head portage

has been the most common means of transporting the nuts from the bush to the houses. Provision of the most appropriate means of transport will greatly enhance the business in sheanuts. The climate of the Sissala East District is tropical continental as experienced in the Northern Region of Ghana. Temperatures throughout the year are high and this favours growth. The rainfall pattern is characterized by a single rainy season from May to September with the total number of rainy days ranging between 70 to 80 days.

The district shares boundaries with Kassena Nankana and Builsa to the East, Mamprusi West to the Southeast, Wa East, Nadowli and Jirapa Lambussie Districts to the Southwest, Sissala West District to the West and Burkina Faso to the North.

Two main rivers run through the district, namely: the Kulpawn River and River Sissili, from which the district probably got its name.

The Sissala East District Directorate of Education is one of the twenty-two (22) decentralized departments under the Sissala East District Assembly responsible for education delivery in the district. It is headed by the District Director of Education.

Assisting the District Director in the running of administration are four (4) Assistant Directors in the frontline. These are usually referred to as the unit heads responsible for Finance and Administration; Human Resource Management and development; Supervision and Inspectorate and Planning; as well as Budgeting, Monitoring and Evaluation. Other officers are also appointed to man other notable areas and activities of the district. These include Circuit Supervisors; District

Girls' Education Officers; District Head Teacher/Master Advisor and School Health Education Programme Co-ordinator.

The Sissala East District has a total of ninety-six (96) basic schools comprising twenty-two (22) preschools, forty-four (44) primary schools and thirty (30) junior secondary schools located in five educational circuits. The district also has two senior secondary schools, of which one offers technical programmes, a private Vocational Training School and College of Education. The district has a total of 372 teachers made up of 12 pre-school, 182 primary, 113 junior high school and 65 senior high school teachers. It must be noted that these teachers comprise trained, pupil and Arabic teachers.

A comparison of 11,802 pupils with 307 teachers gives an average pupil teachers ratio of 38:1 at the basic school level. This gives an encouraging picture since it falls below the national average of 40pupils to a teacher (SEDDE, 2008). This situation notwithstanding, the district lacks teachers at the pre-school and senior high level which poses a problem for the proper preparation of children for basic schools and the universities.

Research design

This study is basically a case study design using the activities of Sissala East District Directorate of Education. This approach was adopted because there is paucity of literature on the conduct of performance appraisal in Ghana Education Service. The research also employed qualitative sources of data and methods in order to fully address the objectives.

Study population

The population for this study essentially consisted of all staff of all schools in Sissala East District. There are ninety-six (96) schools in all and the district office, and the staff strength as of 2008 was 372 (SEDDE, 2008)

Sampling procedure and type of data

Due to time and financial constraints, the study covered 28 schools and the district office. The district office was purposefully selected to be covered due to its position in the set up. The random sampling procedure was then used to select the remaining 28 out of the 96 schools. Names of schools were written on pieces of paper. These names were put into a box and shuffled. A research assistant was asked to pick at random one name at a time after each shuffle. This exercise was used to select the 28 schools for the study. Thus, the staff of the selected schools constituted the sample population for the study.

The study was based on primary and secondary data. Primary data was obtained from selected members of staff of the selected schools and the district office. Two broad categories of staff were identified at each school and the district office, namely the appraisers and the appraisees. The appraisers are those members of staff whose job requirements include carrying out appraisals on other staff at regular intervals; while the appraisees were those members of staff who have no role of appraising others, but are appraised.

Three sets of questionnaires were designed for the study – one for the appraiser and the others for the appraisees and Human Resource Director. The

objective for designing three sets of questionnaires was to obtain fair results by comparing the responses from both perspectives, and also to obtain the perceptions of the group of appraisers and appraisees. As would be explained later, the questionnaires were designed and administered in a way that respondents did not have much difficulty to understand them, as well as answering them.

Sampling technique

Since the research was a case study, workers were sampled from the District Office, junior and senior high schools to help in the study. In view of time constraints, a sample size of 221 employees was selected for the study. Two hundred and twenty appraisees and appraisers were randomly selected while HR Director was exclusively interviewed using the purposive sampling technique.

The technique used in selecting the appraisees and appraisers was stratified sampling technique. The criteria used in selecting participants were:

- Representative sample of employees with at least a year in employment in the organisation
- Representative sample of various grades (junior and senior)

A random sampling approach was adopted to ensure unbiased distribution of respondents and across status. Names of employees were written on pieces of paper. These names were put into a box and shuffled. A research assistant was asked to pick at random one name at a time after each shuffle. This exercise was used to select the sample size of 221 respondents for the study.

The proportionate stratification of senior and junior staff into a ratio of 1:3 was used. Consequently, from the sampling size, 56 senior staff and Directors (appraisers) and 165 junior staff (appraisees) were involved in the study.

Data collection methods

The study used three sets of structured questionnaires to collect the necessary data for the study. One set of questionnaire was prepared for the appraisers while a different one was prepared for the appraisees as shown in Appendix 2 and 3. Because all respondents were expected to be literate, the questionnaires were meant to be self administered, and all necessary guidelines were clearly spelt out on the questionnaire. The interview schedule with the Human Resource Director was also structured by a number of issues such as organizational policies affecting the smooth implementation of the appraisal system, procedures and resources that support the appraisal activity, the timing and the frequency of evaluations, and storage and use of appraisal information. (Appendix 1)

Due to the tight schedule at work, the respondents were allowed to take the questionnaires home so that they could complete them at their own time and return them later. A period of three days was allowed for this and an additional two days was added for those who were not able to return theirs within the initial three days allowed.

The items on the questionnaires had a blend of close-ended and open-ended questions. The close-ended questions served to simplify the coding of

responses for analysis and to also make it easier for respondents to answer the questions. The open-ended questions were meant to allow respondents the free will to express themselves on certain pertinent issues relating to the study.

Items covered on the questionnaires included background information of respondents such as length of service and highest level of education. The second part of the questionnaires then covered the issues relating to the conduct of appraisals in Ghana Education Service.

Data analysis

Responses/answers to questions were then summarized in tables and percentages. The survey method was chosen because it allows the researcher to have a fair view of what workers think about performance appraisal system or report doing in the directorate. Statistical Product and Service Solutions (SPSS) a statistical package was used for the analysis of data. Input for analysis includes variables (questions), value labels (responses) and the data (actual answers given by the respondents).

CHAPTER FOUR

RESULTS AND DISCUSSION

Introduction

The data gathered from the survey is presented and analysed in this chapter. Tables are used for the data presentation. The analyses are essentially descriptive. The responses of appraisees and appraisers are dealt with separately. Additionally, the views of the Human Resource Director at the district office, about the current status of the appraisal system are presented in this chapter. Also included in this chapter is a discussion of the survey results.

Attitude of staff and their opinion about performance appraisal

Background of respondents

Employees who had served at least five years would be in a better position to express their views and give meaningful impressions about the performance appraisal system being operated in the organisation.

Table 1: Length of service of respondents

Category	Frequency		Percentage	
	Junior	Senior & Mgt.	Junior	Senior & Mgt.
Up to 5 Years	35	10	21	18
6 to 10 Years	60	15	36	27
10 Years. & above	70	31	42	55
Total	165	56	100	100

Source: Field data, 2010

Table 1 show that a high percentage of respondents had served at least 10 years. Forty-two percent (42%) of the Junior Staff, and 55% of Senior Staff & Management had served at least 10 years and above.

Table 2: Academic qualification (Junior staff)

Category	Frequency	Percent
GCE 'O'		
LEVEL/SSSCE	45	27
DIPLOMA	92	56
OTHERS	28	17
Total	165	100

Source: Field data, 2010

Table 2 shows the academic qualification of Junior Staff respondents. An attempt was made to administer the questionnaire to those who could read and

understand the questions. From the sample, 56% of the Junior Staff were employed with Diploma qualifications.

During discussions, it came to light that staff spent more than the accepted three years (GES condition of service, 1995) before they were promoted. The explanation was that even though performance appraisals were conducted almost once every year, it took three years to promote and blamed the delay on a policy management adopted that until one upgraded him/herself in higher educational qualification, he/she could not easily be promoted.

Below are the responses by the staff in respect of the duration it took to gain promotion and the criteria used for the promotion.

Table 3: Duration for promotion

Category	Frequency	Percentage
Up to 5 years	62	28
6 to 10 years	121	55
10 years & above	38	17
Total	221	100

Source: Field data, 2010

Table 3 shows that 55% of staff were promoted after at least 5 years service instead of the expected three years. The long delay in promoting staff stifle motivation, commitment and dedication to duty.

Table 4: Criteria for promotion

Criteria	Frequency	Percentage
Length of service	80	36
Performance	63	29
Length of service & performance	78	35
Total	221	100

Source: Field data, 2010

From Table 4, 36% of staff believed that Length of Service was the right criteria for promotion. However, 35% of staff were of the opinion that length of service and performance should also be considered as criteria for promotion. They explained that it was not fair for a staff with a shorter length of service to be promoted over staff employed earlier.

Table 5: Last time appraised

Criteria	Frequency	Percentage
Last Year	107	48
2- 3 years ago	63	29
Never	51	23
Total	221	100

Source: Field data, 2010

Data in Table 5 confirms that performance appraisal was a yearly affair in the organisation. The Human Resource Director stated that the 29% and 23% of

staff who were not apprised, all efforts were being made by supervisors to appraise them.

General impressions about performance appraisal

The following responses were received from respondents when asked to state whether appraisal was necessary or not in the organisation.

Quite a high percentage, 38% of Junior Staff of the organisation were of the view that performance appraisal was “very necessary” with 20% indicating that it was “of little value”. Fifty-two percent (52%) of Senior Staff and Management were of the opinion that performance appraisal was “very necessary” with 21% stating that it was “of little value”. It is interesting to note that 15% of the Junior Staff viewed the performance appraisal system as “completely useless”, while none of the Senior Staff and Management shared the view.

Table 6: Necessity of appraisal in the organisation

Response	Frequency		Percentage	
	Junior	Senior & Mgt.	Junior	Senior & Mgt.
Very necessary	63	29	38	52
Useful but not essential	45	15	27	27
Of little value	33	12	20	21
Completely unnecessary	24	0	15	0
Total	165	56	100	100

Source: Field data, 2010

Table 7 shows the opinions of respondents, both Senior Staff and Management and Junior Staff on the usefulness of performance appraisal procedures in the organisation. Fifty percent (50%) and 46% for Junior Staff and Senior Staff and Management respectively, were of the opinion that performance appraisal procedures in the organisation were “useful”.

Table 7: How respondents describe the appraisal procedures in the organisation

Response	Frequency		Percentage	
	Junior	Senior & Mgt.	Junior	Senior & Mgt.
Useful	82	26	50	46
Can be useful	50	18	30	32
Waste of time	33	12	20	21
Total	165	56	100	100

Source: Field data, 2010

Objectivity of assessment

To the extent that appraisal data can be used for effective human resource management, organisations must ensure that the appraisal process should be unbiased, reliable, accurate, relevant and acceptable by both management and employees.

Table 8: Junior staff impression about their boss's assessment of their performance

Response	Frequency	Percentage
Fair	56	34
Unfair	109	66
Total	165	100

Source: Field data, 2010

The Human Resource Director confirmed that performance measurement had been a problem in the Directorate because the whole system was very subjective and prone to abuse.

Table 9: Description of performance appraisal system (Junior Staff)

Response	Frequency	Percent
Objective assessment	40	24
Subjective assessment	94	57
Favouritism	31	19
Total	165	100

Source: Field data, 2010

To a question as to how staff considered the fairness of performance appraisal by their supervisors, 66% of the Junior Staff considered their assessment as “Unfair” while 34% said their assessment was “Fair” (Table 8). To buttress the point data in Table 9 above indicate that 57% of the Junior Staff viewed the appraisal system as subjective.

It is obvious that there was some dissatisfaction with the performance appraisal procedures. One way by which assessment can be considered to be fair is for assessors and assessees to understand the basis of the assessment.

Performance measurement

Table 10: Assessors level of understanding of performance appraisal criteria

Criterion	High level of understanding		Low level of understanding		Lower level of understanding	
	Freq.	Per.	Freq.	Per.	Freq.	Per.
Goal Attainment	14	25	30	54	12	21
Knowledge of Work	23	41	10	18	23	41
Development of HR	15	27	31	55	10	18
Efficiency	10	18	38	68	8	14
Initiative	18	32	29	52	9	16
Sense of Judgment	35	63	18	32	3	5
Communication	46	82	16	11	4	7
Problem Solving	46	82	8	14	2	4
Reliability	48	86	6	11	2	4

Source: GES Senior Staff Appraisal Form, 2005

A number of questions sought to find out what staff thought about the effectiveness of the measuring instrument and their understanding of same.

Table 11: Appraisee level of understanding of the criteria used in assessing their performance

Criterion	Yes		No	
	Freq.	Per.	Freq.	Per.
Goal Attainment	116	70	49	30
Knowledge of Work	64	39	101	61
Dependability	61	37	104	63
Development of human resources	62	38	103	62
Quality of Work	70	42	95	58
Productivity	143	87	22	13
Cooperation	58	35	107	65
Communication	135	82	30	18
Reliability	69	42	96	58

Source: GES Junior Staff Appraisal Form, 2005

Both management and senior staff and junior staff of the organisation were asked to indicate their level of understanding of the criteria used to measure performance. Table 10 and Table 11 show the responses received from both senior & management (assessors) and junior staff (rates) respectively.

The figures in the above tables show the inconclusive understanding of the appraisal criteria used in the organisation. Whereas some assessors indicated their high level of understanding for some of the criteria, others had lower understanding. For example in Table 10, whilst 41% indicated a “high level of

understanding” of the criterion “knowledge of work” the same percentage (41%) indicated lower level of understanding. As high as 68% indicated a “low level of understanding” of the criterion “Efficiency” while only 14% indicated “Lower level of understanding”. A high percentage of assessors indicated a “high level of understanding” of the criteria “Sense of judgment”, (63%), “Communication” (82%), “Problem solving” (82%) and “Reliability” 86%. On whether an “appraisee can “Initiate” 52% indicated a “Low level of understanding” of the criteria whilst 32% indicated “high level of understanding”.

On “Goal Attainment” criteria 54% of assessors indicated a “Low level of understanding” whilst 21% indicated “Lower level of understanding”.

The above observation gives a classic expression of how differently assessors in the organisation define criteria against which they rate employees. Assessors who indicated lower level of understanding of the criteria, ranged between 4% (Problem solving, Reliability, Sense of judgment, Communication, Efficiency, whether an appriasee can initiate, Development of HR and Goal attainment) to as high as 41% (knowledge of work). It must be noted that criteria are variables useful for measuring individual workplace behavior. Hence an assessor’s inability to understand some of the criteria impacts on the data that will be generated. This is because any effective measuring instrument needs to provide relevant and sufficient measurement criteria that are explicitly understood by both the appraiser and the appriasee if it is to be useful in synthesizing the criteria features of individual performance (Byars & Rue 1994)

A similar pattern of response was observed when junior staff (appriasees) were asked to indicate their level of understanding of the criteria used in assessing their performance. Sixty-five percent (65%) of junior staff indicated they did not understand the criteria “Cooperation”, 63% did not understand the criteria “Dependability”. 70% indicated that they did understand the criteria “Goal attainment”, 82% understood the criteria “Communication” whilst 87% stated that they understand “Productivity”. Even though there was quite a number of junior staff who said they understood these criteria the number who responded in the negative might affect the credibility and objectivity of data generated through performance appraisal.

Table 12: Appraisers and appraisees agreement on setting future objectives and targets for work

Response	Junior Staff		Senior Staff & Mgt.	
	Frequency	Percent	Frequency	Percent
To substantial extent	25	15	15	27
To some extent	94	57	0	0
To limited extent	0	0	8	14
Not at all	46	28	33	59
Total	165	100	56	100

Source: Field data, 2010

Performance assessment and feedback

For appraisees to receive adequate feedback on their performance, appraisees must be involved in the setting of performance objectives. As high a percentage as 59% said they were not involved, 14% said they were involved to a “limited extent” with 27% saying that they involved appraisees to agree on future objectives to a “substantial extent”.

As shown in Table 12 only 15% indicated that they agreed to a substantial extent with their bosses to set future objective and targets on their work. Fifty-seven percent (57%) agreed to “some extent” while 28% said “not at all”. This is an indication of the weak feedback system.

Table 13: Frequency of Junior Staff counseling by supervisors to improve performance

Response	Frequency	Percentage
Occasionally	150	91
Very frequently	15	9
Total	165	100

Source: Field data, 2010

On the question of how frequent their bosses counselled them to improve their performance only 9% said “very frequently” whilst 91% said “occasionally”.

Table 14: Discussion of promotion prospects, training needs and career development programmes with appraisees

Response	Career					
	Promotion Prospects		Training Needs		Development	
	Freq.	Per. (%)	Freq.	Per.(%)	Freq.	Per. (%)
Discussed	25	15	58	35	82	50
Not Discussed	140	85	107	65	83	50
Total	165	100	165	100	165	100

Source: Field data, 2010

Another interesting observation is that as low as 35% of junior employees said training needs were discussed with them while 65% said they were not discussed.

Table 15: Frequency of performance appraisal training (Senior staff)

Response	Frequency	Percentage
I - 3 time	25	45
Not at all	31	55
Total	56	100

Source: Field data, 2010

Appraisal systems can be improved by training the appraising supervisors. In many organisations including Ghana Education Service, supervisors have had little appraisal training (SEDDE 2008). This is reflected in Table 16 where as high

as 55% of senior staff and HR Director indicated that they had not had any appraisal training. Only 45% said they had some form of appraisal training.

Table 16: Appraiser’s involvement in the design of the appraisal system

Response	Frequency	Percentage
To a substantial extent	8	14
To some extent	16	29
Not at all	32	57
Total	56	100

Source: Field data, 2010

It is important for supervisors who are knowledgeable about the performance criteria appropriate for the jobs, to be involved in the design of the appraisal system. This gives them ownership of the system. Table 16 shows that 57% of senior staff were not involved in the design of the performance appraisal system in the organisation, 29% said they were involved “to some “extent” whilst 14% said to a substantial extent”. This obviously impacts on effective implementation of performance appraisal that will generate the appropriate data for effective human resource management. Lack of training of appraisers and non-involvement of supervisors in the design of the appraisal system can contribute to poor rating system and lack of understanding of the system by workers.

Table 17: Importance of performance appraisal results

Criteria	Yes		No	
	Frequency	Percent	Frequency	Percent
Salary	67	41	98	59
Promotion	60	36	105	64
Transfer	78	47	87	53
Career Dev't.	10	6	155	94

Source: Field data, 2010

The data in Table 17 show the response of junior staff to the question “would you say that appraisal results in your organisation are used for making the following decisions”? The highest percentage is in relation to career development, promotion, salary and transfer with percentages of 94%, 64%, 59% and 53% respectively. Six percent indicated that it was used for career planning which might be one of the strategic decisions that needed to be taken.

To find out whether performance appraisal information was used for effective human resource management, junior staff were asked whether proposals such as changing methods to achieve efficiency, recommendations for transfers and giving additional responsibilities listed in the table below were discussed with them.

Table 18: Junior staff response on proposals discussed

Response	Changing Work		Giving Responsibility		Recommending Transfer	
	Freq.	Per.(%)	Freq.	Per. (%)	Freq.	Per. (%)
	Discussed	110	67	35	21	20
Not discussed	8	5	36	22	121	73

Source: Field data, 2010

From Table 18, 67% of respondents indicated that ways of changing methods to achieve effectiveness and efficiency were discussed with them whilst 5% said this proposal was not discussed. Seventy-three percent (73%) said recommendation for transfer was not discussed with them whereas 21% indicated the possibility of giving them additional responsibilities were discussed with them. The trend shows that apart from changing work methods which was 67%, the others such as giving more responsibilities and recommendation for transfers received higher negative percentages, an indication that Supervisors did not really consider it very necessary to use appraisal data for effective human resource management.

To further ascertain the extent to which performance appraisal data were used for effective human resource management, HR Director and senior staff were asked whether promotion and training were based on performance appraisal results.

Table 19: Condition for promotion/training (Senior staff & HR Director)

Response	Frequency	Percentage
Strictly on current performance appraisal results	6	11
Partially on current performance appraisal results	12	21
Has nothing to do with current performance appraisal	38	68
Total	56	100

Source: Field data, 2010

The table above shows the responses given by HR Director and senior staff to the basis for their promotion and training. Almost 70% indicated that their selection for training and/or promotion “has nothing to do with current performance appraisal results”.

Discussion on data collected

A study that examines a process is basically concerned with the way a particular organisation achieves its objectives. As earlier indicated the main method used to get the necessary information for the purpose of examining the organisation and the uses to which data so generated are put, is to make the staff complete questionnaire on the organisation.

The preceding chapters have presented an analysis of data obtained from primary and secondary sources. This section discusses the implications of the results and makes inferences to the objectives of the study.

Performance appraisal objectives and design

There is no evidence of clearly stated objectives of the appraisal procedure on the appraisal form.

According to Pierce, Jon L. and Dunham, Randell B. (1990), all uses of appraisal can be divided into three categories and for each category, an appraisal system should be designed to satisfy only one of these. These categories are; reward reviews, potential reviews and performance review. This is to avoid a situation where the assessor will find himself playing conflicting roles of “helper” and a “judge”. According to Fletcher and William (1986), if for example, the system is designed for salary awards and at the same time improving performance, it becomes difficult for the appraiser to be impartial whilst on the other hand, the employee is careful when discussing job related problems in order not to jeopardize possible pay rise. Pierce and Dunham, Randell (1990) therefore asserted that to overcome these problems, organisations have to take into consideration the primary purpose of their appraisal system and make sure that procedure, training and individual expectations of the system are not in conflict. He further claimed that given the choice of the system to be used for performance appraisal, its use for performance reviews such as to provide appraisal of past performance, meeting of objectives, identification of training needs, problems preventing and better performance would provide the greatest advantage to organisations. This however poses a great problem. The question is whether organisations should settle for reward reviews and forgo the advantages of performance review or whether they have to put in place two different systems.

This confusion was evident when analyzing the data collected from Sissala East District Directorate of Education. As already indicated there was no evidence of the existence of clearly defined appraisal objectives. The appraisal forms were designed making room for recommendation on a range of issues – including promotion, training, and potential identification. If the objectives for which the results are to achieve and the measurement criteria and procedures not clear, the output will not be used for any meaningful and relevant human resource decision-making. The data revealed that assessors had difficulty relating overall rating of appraisees to the recommendations they made. For example, whilst 35% of appraisees said training needs were discussed with them, 68% of assessors indicated that their training had nothing to do with the appraisal results.

It is also imperative for the Human Resource Director to involve assessors in the design of the appraisal system as they were in better position to determine the performance criteria of the jobs. If it is developed without the involvement of the assessors, there will arise little ownership of the system. The appropriate data would thus not be generated for effective human resource management. As revealed by the data, 57% of management and senior staff indicated that they were “not at all” involved in the design of the performance appraisal system currently in use in the organisation.

Where assessors had no clear guidance as to what was to be assessed and the objectives for which the results of the appraisals they undertook was directed to achieve, they might play it safe by not unduly rating appraisees high or very low but rather in the mid-point. When this happens, the appropriate data would

not be generated for effective human resource management. Though rating people is not an easy task, it could be structured so that it is made as objective as possible.

The above findings while confirming the observation by Randell (1984) as earlier indicated, show that when the objectives that the performance appraisal were designed to achieve were not clearly defined, the individual appraiser finds himself in a dilemma and cannot meaningfully, link the results of the assessment he makes on the employee for effective human resource management neither could reliable and appropriate data be generated for making strategic human resource decisions.

Performance measurement

A variable that can affect the result to which appraisal results are to be used for is the understanding of the criteria by both the appraiser and the appraisee. It is therefore important for both the appraiser and appraisee to be involved in the identification of the criteria by which staff are appraised. This gives them ownership of the appraisal system for its effective implementation.

These criteria must be:

- Be easy for the appraiser to administer;
- Appear fair and relevant;
- Must be linked with the human resource policies of the organisation;
- Must relate to what uses the results are meant for.

Data gathered revealed that neither the appraisers nor appraisees had made any substantial inputs to their design. About 60% of assessors indicated that they were not involved in the design of the appraisal system. Fifty-nine percent said they did not set future performance objectives with their subordinates.

There were wide variations as to the level of understanding of the criteria for appraising staff both by appraisers and appraisees. Whereas some assessors as high as 41% indicated that the criterion against which they rated appraisees, with regard to “Knowledge of work” (see Table 10) was “Lower”, the same 41% indicated “high understanding of the criteria. The criteria, the assessors indicated “Low understanding” include “Development of human resource” 55%, “whether appraisees can initiate” 52%, “Efficiency” 68% and “Goal attainment” 54%. Other criteria which were indicated to have been highly understood by assessors are “Communication” 82%, “Sense of judgment” 63% “Problem solving” 82% and “Reliability” 86%. A similar pattern runs through the level of understanding of the criteria by which the junior staff were appraised. With the exception of “Productivity” 87%, “Communication” 82% and “Goal attainment” 70%, high percentage of appraisees indicated that they did not understand the criteria, “Cooperation” 65%, “development of human resources” 62%, “Quality of work” 58%, “Knowledge of work” 61% and “Dependability” 63%. Even in a situation where 70% of respondents indicated that they understood the criteria “Goal attainment” there were wide variations in their understanding when a cross section of staff were interviewed on what they understood by the criteria “Goal attainment”.

In such diversity of understanding and misunderstanding of criteria for appraising staff, it is obvious that it will be difficult to have any meaningful performance measurement made for any effective and meaningful human resource decision making.

Performance measures should accurately measure all significant aspects of the performance of the employee and must measure what they seek to measure. Some jobs do not easily lend themselves to measurement. It is for example difficult to measure “Dependability”.

It is difficult to suggest a criteria which can be used in all departments of the organisation as a criterion which may be relevant in one department such as marketing may not be relevant in the billing department. It must be stated that performance measures are best derived from proper job analysis, job description and job specification. These are lacking in the organisation as appraisal forms were designed without the involvement of the appraisers and appraisees. Each assessor was therefore left to his own understanding as to what to assess in relation to the criteria stated on the appraisal form (Kreitner, 1995)

For tasks whose results cannot be easily quantified, the objectives of the department/division must be clearly defined and articulated, as they are the foundation upon which performance appraisal must rest (Kreitner, 1995). Further, these objectives must reflect the strategic objectives of the organisation. In addition these objectives must be agreed upon between the head of Department/Section and the subordinates so that they can be operationalized and measured.

Behavioural measures which are job related are relevant. The important thing is that the objective for which performance is being measured must be clear. Behaviour criteria such as “Dependability” or any other criteria can be valid and reliable if: Subordinates and supervisors agree that the criteria selected are essential for the job.

There is no such situation in which supervisor – subordinate meet to discuss criteria against which performance should be measured in the organisation. This has contributed to the lack of uniformity in interpretation of criteria thus introducing unfairness into the rating system and making appraisal results of little value for meaningful human resource decision making. About 60% of appraisees indicated that the performance appraisal in the organisation was based on subjective assessment while 19% said it was based on favouritism with only 24% saying it was based on objective assessment. Thus 76% did not think that the assessment was objective. Further, at least 19% did not believe that the assessment was fair.

Performance standard and rating scales

The performance standard describes the level of performance the employee is expected to achieve. The extent to which he/she meets this standard is an indication of his/her performance. The standard should be realistic and rational. Standards need to be set for behaviours and actions which lead to the achievement of these measurable results. Thus, levels of employee performance are defined by measuring performance appraisal standards. It is when

performance has been measured against these standards that any meaningful results can be derived for human resource decision making.

Whilst performance standards show the expected levels of performance, rating scales indicate the level of performance of the employees. The rating scales in Sissala East District Directorate of Education were expressed in absolute terms. Even though, clear guidance of the rating parameters was given, the rating still posed a difficulty for assessors who had to justify the rating for attributes appraised as on the appraisal form.

In addition, assessors had not undergone any training designed to equip them with skills for appraising employees. This explains the lack of enthusiasm by most assessors to effectively appraise their subordinates. Performance appraisal is thus appraisal form filling exercise. As earlier indicated, 55% of assessors indicated that they had not had any training in performance appraisal (Table 4.14) whilst 45% had some form of training. As a result of lack of appraisal training for assessors, performance appraisal is carried out as a routine administrative exercise.

Feedback on performance and performance interview

Feedback is another important variable that impacts on the extent to which an appraisal system can provide adequate information for meaningful human resource decisions. According to Torrington (1991), the purpose of the interview and the extent of the appraisee participation, will depend on the use of the appraisal and the degree to which it is an open process.

The interview can be used for appraiser and appraisee to go through the appraisers' rating or assessment and affords the appraiser the opportunity to explain reasoning behind the judgement. The appraisal interview also focuses on job problems and how these might be tackled and also provides a forum for them to discuss training needs and development programmes which may come up during the interactions.

This extensive process of providing performance feedback and interview was missing in the appraisal systems in Sissala East District Directorate of Education. As discussed, because of the undefined nature of criteria and the absence of performance standards for jobs against which these criteria were measured, an effective feedback and performance interview would have decreased the adequacy and relevance of information needed for effective human resource management.

The data showed that no detailed performance appraisal interviews, counseling and feedback as outlined by Torrington (1991) went on in the organisation. Ninety-one percent (91%) junior respondents in the organisation indicated that they were occasionally given counselling by their bosses with only 9% indicating that very frequent counselling was received from their bosses. In addition, discussion of promotion prospects, training needs and career development programmes with the appraisees received little attention. Fifteen percent of appraisees indicated that their assessors discussed promotion prospects with them, 35% said training needs were discussed with them and 50% said career development plans were discussed with them. Without any effective feedback

mechanism in the system except for the appraisees signing on the appraisal form as to whether they agreed with the assessment made on them or not, the appraisal system cannot generate adequate and relevant information for effective human resource management.

General impressions about performance appraisal

Notwithstanding the shortcomings of performance appraisal in the organisation, there were still positive impressions about the usefulness of performance appraisal. A high percentage of respondents had served in the organisation for at least six years and were assumed to be familiar with problems associated with performance appraisal to give informed comments. Forty-two percent of junior staff indicated they had served in the organisation for at least ten years. Fifty-five percent (55%) of management and senior staff indicated they had served the organisation for at least ten years.

The general impression was that some form of appraisal system was necessary. Thirty-three percent (38%) of junior staff indicated that some form of performance appraisal system was “very necessary” with only 20% indicating that it was “of little value”. The response from the management and senior staff followed a similar pattern as 52% indicated that some form of appraisal was “very necessary”. 27% said it was “necessary but not essential” whilst 21% said it was “of little value”.

Furthermore, it was observed from the data that 46% of management and senior staff viewed the performance appraisal as “useful” whereas 32% indicated

that it “can be useful”. A similar system was the case of junior staff. 50% viewed it as “useful” and 30% indicating that it “can be useful”. The data show that performance appraisal system in the organisation is still considered to be a management tool that can be very useful if it is well designed and implemented.

Both management and junior staff of the organisation believe that results of performance appraisal should be used for making both administrative and strategic decisions such as training, promotion, transfer, redeployment, incentive rewards additional responsibilities, career development programmes and identification of potentials. The data showed that the appraisal data is not used for making such human resource decisions.

Sixty-eight (68%) of management and senior staff indicated their promotions and training programmes undertaken had nothing to do with their current performance appraisal results. Thirty-six percent (36%) of both senior staff and management and junior staff also indicated that their promotion was based on seniority while 29% said it was based on performance with 35% indicating that it was based on both, seniority and performance.

From the data analysis it can be concluded that unless Ghana Education Service clearly defined the objectives for the appraisal system to reflect its mission statement, develop criteria that are based on jobs and clearly define and equip both assessors and appraisees with the skills that they require to play their respective roles, especially during appraisal interview, criteria for assessing performance will not be well defined to provide adequate and relevant data for effective human resource management

CHAPTER FIVE

SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

Summary

The study sought to ascertain whether performance appraisal systems in organisations are adequately designed and implemented to generate appropriate data in terms of adequacy, relevance, accuracy and practicality to be used for Effective Human Resource Management. The study further examined the extent to which data generated through performance appraisal were used as a management tool for Effective Human Resource Management in organisations. The performance appraisal procedures of Sissala East District Directorate of Education were examined to test the problem under study.

A sample size of two hundred and twenty-one respondents from Sissala East District Directorate of Education made up of both management and senior staff and junior staff provided the primary data. Secondary data was also obtained from documents in the organisation. The study focused on appraisal forms as they appeared to be the only formal appraisal activity in the organisation.

The findings drawn from the study are that:

- The organisation had not clearly defined the objectives for which the appraisal procedure in the organisation was designed to achieve. As a result, the appraiser were confronted with the problem of having to play

the conflicting role of “helper” and a “judge” in addition to assessing the employee for reward reviews and at the same time for potential and performance review. This was done in the absence of properly structured appraisal procedure designed to appraise all these three issues.

- Ill-defined performance criteria were used to assess employees. There was no clear basis for the performance criteria identified for assessing employees. Both appraisers and appraisees had limited understanding of the criteria on which the assessment was made. To a great extent assessors made up of Head Teachers and supervisors were not involved in the design of the appraisal system. In addition, rating constructs were not explained to appraisers, a situation which compromised the objectivity of their assessments and recommendations.
- Performance interviews and feedback were important elements in any control system as they provide the opportunity for both the appraiser and the appraisee to set future performance objects provides a means by which appraisees are given guidance and counselling on their jobs as well as to discuss the strengths and weaknesses of the employee. This was found missing in the appraisal system currently in use in Sissala East District Directorate of Education. The evidence was that formal discussion with employees on their job performance was minimal.
- Performance standards that are essential elements in all effective control systems were absent in the appraisal procedure and criteria of the organisation. Performance standards by which employees were appraised

were not determined from the job analysis, description and specification. This accounts for the lack of objectivity in the assessment of staff.

- There were no training programmes for assessors (management and senior staff) to assist them get a common understanding of the criteria against which they were required to appraise employees. This created a wide diversity in how each assessor interpreted the criteria. This normally renders information generated through appraisal system unreliable for making human resource decisions.
- A system is effective if it is able to achieve the objective for which it was established. In the light of the data analysis and discussions in Chapter four and comparing with the literature review in Chapter three one can infer that:
 - The objective of performance appraisal procedure in the organisation was not clearly defined. As a result the knowledge of appraisers and appraisees about the objectives of the system was inadequate.
 - The criteria on which assessment was made were ill defined.
 - That performance appraisal data were largely not used for administrative decisions such as promotions, training, transfer, and modifying job methods, neither were they used for strategic human resource planning.
 - Performance standards set in the year were not communicated to employees.

- No effective appraisal interview was conducted during the performance appraisal session.
- The appraisal system did not establish regular dialogue and frequent discussions;
- The staff were not involved in the design of the appraisal system.
- The commitment of staff to the appraisal system was minimal
- Performance appraisal system in the organisation was not linked to the strategic objectives and for that matter the human resource strategy of the organisation.
- The appraisers had not been trained in performance appraisal procedures skills. Those who claimed to have received some form of training lacked the necessary appraisal techniques.
- Subordinates did not have the opportunity to appraise their bosses neither did they appraise their colleagues.

From the above, it could be implied conclusively that the appraisal system within Ghana Education Service was not effective to generate the type of appropriate data to be used for Effective Human Resource Management.

Recommendations

The findings made in the analysis have brought to the fore some problems which impacted on the effectiveness of appraisal system to generate accurate, relevant, timely, adequate and practical data that could be used for Effective

Human Resource Management. The following recommendations are therefore made as guidelines for improving the efficiency of the system in the organisation:

- It is important that Ghana Education Service examines its human resource objectives in relation to those that performance appraisal procedures seek to achieve in the larger dimension and from this perspective, develop their performance appraisal objectives.
- Having determined a clear vision of the objectives of what the organisation chooses to achieve with its appraisal procedures, management should ensure that those who have to operate the system are sensitized to appreciate the objective of the system.
- Given the low understanding of the objectives and benefits, there is the need for management to ensure that all employees are briefed on the system.
- Management should embark on vigorous appraisal training programmes for all employees. Appraisers should be trained to fully understand the principle of goal setting.
- Human Resource Department should ensure that appraisal procedure should be efficiently administered to ensure that all component of an ideal appraisal system are recognized. The appraisal procedure must therefore be made up of not only completing forms but must be extended to conducting effective appraisal interview meetings and counseling.

- For an appraisal system to generate the appropriate data to be used for effective and strategic Human Resource Management, it is suggested that performance appraisal procedures in organisations should reflect the corporate goals of the organisation. Management should ensure that the appraisal system must be properly integrated into the organisational human resource strategies and corporate planning. This calls for the Human Resource Director to play a proactive role and to be a member of the strategic planning team of the organisation.

It is suggested that further research on this topic should include the effect of organisation culture on performance appraisal process in organization.

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other(s) (please indicate)

4. Would you say that Top Management gives the necessary support for the appraisal system in your organisation?

Yes Usually sometimes Rarely None

5. Are you a member of the strategic planning team of your organisation?

Yes No

6a. If 'No' why?

6. If answer to (6) is 'Yes', to what extent do you link Human Resource Programmes with strategic objectives of your organisation?

To substantial extent (explain)

To limited extent (explain)

Not at all (explain)

7. The present performance appraisal procedure in my organisation

helps to identify only weakness of the individual

helps to identify only strength of the individual

both of them

neither of them

other(s) (please indicate)

8. Would you say that appraisal results in your company/organisation are used for making the following Human Resource decisions? (Tick as many as applicable)

	Always	Sometimes	Not at all
Manpower planning	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Promotions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Transfer	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Rewards	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Career Development	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Succession planning	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Feedback	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Redeployment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Recruitment and selection	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other(s) (please specify)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

9. In the design of the appraisal system the following was (were) taken into consideration (Tick as many as applicable)

- mission/vision statement of the organisation
- recruitment potentials
- retention capability
- identification of potentials
- identification of strengths and weaknesses
- other(s) (please indicate)

10. Current criteria used to assess senior staff performance in my organisation is

- easy to understand and rate objectively

difficult to measure

other(s) (please specify)

11. How many times are employees appraised in a year?

once a year

twice a year

12. To what extent are raters given the necessary training to implement the appraisal system?

always

usually

sometimes

rarely

13. To what extent are Heads of departments/supervisors encouraged to set and agree on future performance objectives and targets?

to substantial extent

to some extent

to limited extent

not at all

14. In your view, which of the following prevent (if at all) the effective implementation of performance appraisal system in your organisation?

poor top management support

poor rating system

lack of regular training for appraisers

workers do not understand the system

15. Who appraises your performance?

.....

16. What would you say has been the greatest frustration or disappointment in the implementation of performance appraisal procedure in your organisation?.....

Thank you.

APPENDIX 2

QUESTIONNAIRE FOR JUNIOR STAFF

The survey is to sample opinions among staff on the use of performance appraisal data for effective and strategic Human Resource Management in organisations. It would be most appreciated if you could spare some time and complete this questionnaire for me. The information provided will be used for academic work only. Strict confidentiality is assured. (In all questions please tick only one unless otherwise indicated)

1. Length of service
 - up to 5 years
 - 6 to 10 years
 - 10 years and above

2. What is your highest educational level?
 - MSLC GCE'O' level/SSS/R.S.A.
 - GCE'A' level Diploma Other(s) please
specify.....

3. How long did it take you to progress to your current grade?
 - up to 5 years
 - 6 to 10 years
 - 10 years and above

4. Would you say your promotion was based on
 - seniority
 - performance

- both
- other(s) (please indicate)

5. When was the last time you were formally appraised?

- last year
- 2-3 years ago
- 4-6 years ago
- Never

6. How would you describe performance appraisal procedure in your organisation?

- useful
- waste of time
- can be useful

7. Would you say some form of appraisal in your organisation is (please tick)

- very necessary
- of little value
- potentially de-motivating
- completely useless

8. Have appraisals improved your general motivation for increased job performance? (*Explain your answer*)

- Yes.....
- No

9. How often have you and your boss agreed on setting future objectives and targets on your work?

- very often
- sometimes
- not at all

10. Did you feel your boss's assessment of your performance was:
(*Explain your answer*)

- unfair
- fair

11. Please indicate how frequently your boss counsels you to help you improve your performance?

Anytime Occasionally Seldom Never

12. Which of these was most time spent in discussing ...?

your strengths your weaknesses

ways of improving performance primarily on your personality

13. Every year are you assessed on under listed qualities? Would you say that you understand how each affect your work and are you aware of them?

	Yes	No	Comment
Goal attainment	<input type="checkbox"/>	<input type="checkbox"/>
Knowledge of work	<input type="checkbox"/>	<input type="checkbox"/>
Dependability	<input type="checkbox"/>	<input type="checkbox"/>
Development HR	<input type="checkbox"/>	<input type="checkbox"/>
Quality of work	<input type="checkbox"/>	<input type="checkbox"/>
Productivity	<input type="checkbox"/>	<input type="checkbox"/>
Cooperation	<input type="checkbox"/>	<input type="checkbox"/>
Communication	<input type="checkbox"/>	<input type="checkbox"/>
Reliability	<input type="checkbox"/>	<input type="checkbox"/>

14. As far as your job is concerned would you say that the qualities in Q.13 are the only ones you need to be assessed on?

these are only some of the qualities that need to be assessed

all these qualities are irrelevant

some of these qualities are irrelevant (*please list those that are irrelevant*)

.....

15. Would you say that appraisal results (data) in your organisation are used for making the following decisions?

	Always	Sometimes	Not at all
Salary	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Promotion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Transfer	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Rewards	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Career planning	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Feedback	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Redeployment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other(s) (indicate)			
.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

16. Would you say any of the following has been discussed with you during appraisal interview?

- promotion prospects
- training needs
- career development plans
- potential for higher positions

17. Would you say the following proposals are discussed with you during appraisal interview?

	Yes	No	comment
Changing work methods	<input type="checkbox"/>	<input type="checkbox"/>
Giving you more responsibilities or Guidance	<input type="checkbox"/>	<input type="checkbox"/>
Recommending a transfer	<input type="checkbox"/>	<input type="checkbox"/>
Other(s) (please indicate).....		

18. Performance appraisal in my organisation, in my opinion, is based on

- objective assessment
- subjective assessment
- favouritism
- other(s) (please indicate).....

19. Do you have the opportunity to assess your immediate boss/

- Yes
- No

Thank you

APPENDIX 3

QUESTIONNAIRE FOR DIRECTORS AND SUPERVISORS

(SENIOR STAFF)

This survey is to sample opinions among staff on appraisal practices and the use of performance appraisal data for Effective and Strategic Human Resource Management in organisations. It would be most appreciated if you could spare some time and complete this questionnaire for me. The information provided will be used for academic work only. Strict confidentiality is assured. (In all questions please tick only one unless otherwise indicated).

1. Length of Service up to 5 years
 6 to 10 years
 10 years and above

2. How many staff members do you have under your direct supervision?
 1 to 5 5 to 10 10 to 15
 15 to 20 20 and above

3. Who appraises your subordinates?
 myself my boss my head of department

4. Would you say that some form of performance appraisal in your organisation is:
 very necessary useful but not essential
 of little value completely unnecessary

5. How would you describe the appraisal procedure in your organisation?

- | | |
|--|--|
| (a) Senior Staff | (b) Junior Staff |
| <input type="checkbox"/> useful | <input type="checkbox"/> useful |
| <input type="checkbox"/> waste of time | <input type="checkbox"/> waste of time |
| <input type="checkbox"/> can be useful | <input type="checkbox"/> can be useful |

6. Indicate your level of understanding of these criteria against which you assess your subordinates

	High	Low	Lower
Goal attainment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Knowledge of work	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Development human resource	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Efficiency	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Initiative	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sense of judgment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Communication	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Problem solving	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Reliability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

7. As far as the jobs of your subordinates are concerned, would you say that the above listed criteria ... *(please tick appropriate box below to complete sentence).*

8. are the criteria against which performance should be measured?
 are only some of the criteria against which performance should be measured

[] includes some criteria which are irrelevant and do not measure performance (*please indicate them*):

.....
.....

9. Would you say your subordinates have a clear understanding of what specific results they are expected to achieve on the job?

[] Yes [] No

(*please explain your answer*)

.....
.....

9a. Are there some constraints to the implementation of performance appraisal results? [] Yes [] No

(*please explain your answer*)

.....
.....

9b. If ' Yes', in your view, which of the following prevents the effective implementation of performance appraisal system in your organisation.

[] poor to management support

[] poor rating system

[] lack of regular training for appraisers

[] workers do not understand the appraisal system

10. How many times have you had your performance appraised since 2003?

[] Nil

[] 1-3 times

[] 4-6 times and more

11. How many times have you had performance appraisal training?
 Nil 1-2 times 3-5 times and more
- 12a. If you answer in 11 was 'Nil', would you like to trained?
 Yes No
- 12b. How useful was the training programme in increasing your understanding of performance?
.....
.....
13. To what extent were you involved in the design of the appraisal system in your organisation? (*explain*)
 to substantial extent
 to some extent.....
 to limited extent.....
 not at all
14. To what extent did you and your subordinates agree on setting future objectives and targets for work? (*explain*)
 to substantial extent
 to some extent.....
 to limited extent.....
 not at all
15. In your opinion what decision should performance appraisal results be used for?

(*please tick as many as applicable and explain*)

- training.....
- promotion.....
- transfer.....
- redeployment
- incentive rewards
- additional responsibilities.....
- succession planning.....
- career development programmes
- other(s) (please indicate)

16. Are performance results in your organisation used for taking all or some of the decisions indicated in (15) above? (*Explain with evidence*)

- Yes No No idea

.....
.....

17. Which decisions are performance appraisal results in your organisation are used for?

(please tick as many as applicable)

- training (identification of training needs)
- promotion
- transfer
- redeployment
- incentive rewards
- additional responsibilities

- succession planning
- career development programmes
- identification of potentials
- other(s) (please indicate.....)

18. The design of appraisal forms in your opinion ... (*you may tick more than one*)

- makes it easy to assess subordinates objectively
- does not make it easy to assess subordinates
- gives room for favouritism and other forms of biases
- others (please specify)

19. Would you say that all or any promotion/training you have had since joining the organisation was based:

- strictly on current performance appraisal results
- partially on current performance appraisal results
- has nothing to do with current performance appraisal.

20. When was the last time your performance was appraised?

- last year
- two years ago
- more than two years ago
- never

21. On the whole, would you say that performance appraisal system in your organisation ... (*tick one(1) to complete*)

- is working well
- is working fairly well
- needs to be modified

[] is not working at all

[] needs to be completely abandoned

Any other comments you wish to make

.....
.....

Thank you

APPENDIX 4
GHANA EDUCATION JUNIOR STAFF
PERFORMANCE APPRAISAL FORM

A

Name	Sex	Present Position	Grade/Rank	Date of Promotion to present Rank	Staff No.
Div/Unit	A L E	Section	No. of Years in Present Position		

B. DUTIES

List key job responsibilities/assignments

1.
2.
3.
4.

5.

Indicate key Target(s) to be achieved
achieved

Percentage of Target

- (a) (a).....
- (b) (b).....
- (c) (c).....
- (d) (d).....
- (e) (e).....

C. RATING:OUTSTANDING (O) EXCELLENT (E) GOOD (G)
FAIR (F) UNSATISFACTORY (U)

Please tick the appropriate box below

O	E	G	F	U
---	---	---	---	---

Goal attainment

Comments: [] [] [] [] []

Knowledge of job – A clear understanding of the facts or factors pertinent to the job

Comments: [] [] [] [] []

Quality of work – Thoroughness, accuracy and neatness of work

Comments: [] [] [] [] []

Productivity – Demonstrated accomplishments, volume of work

Comments: [] [] [] [] []

Dependability – Conscientious, responsible, reliable with respect to attendance, work completion.

Comments: [] [] [] [] []

Cooperation – Ability and willingness to work with associates, Supervisors, and others

Comments: [] [] [] [] []

Overall Rating [] [] [] [] []

Comments:

D. Potential forecast

- 4. Position for which READY NOW
- 5. Position to consider IN THE FUTURE (indicate timing)
- 6. The reasons for these estimates of potential are:

E. Development plan

Overall Comments and Recommendations of the Appraiser (including follow-up actions)

.....

Name of Appraiser:

Designation:

Signature:

Date:

Comment of Appraisee

.....

Name:

Signature:

Date:

APPENDIX 5

GHANA EDUCATION SERVICE

SENIOR STAFF PERFORMANCE APPRAISAL FORM

Period of Appraisal

1) PARTICULARS OF DISTRICT

Name:

Region:

Address

2) PARTICULARS OF THE OFFICER

Name: Regd. No:

Sex: Date of Birth..... Staff No.....

Present Position:

Date of Promotion:

Date of First Appointment to the service:

No. of Years in current Position:

No. of years in present District/Region:

Qualification (Highest)

Academic:

Professional:

Seminars, Workshops, In-service Training during the reporting period:

.....

B. Duties

List key job responsibilities/assignments

1.
2.
3.
4.
5.

Indicate key Target(s) to be achieved
achieved

Percentage of Target

- | | |
|----------|----------|
| a). | a) |
| b). | b) |
| c). | c) |
| d). | d) |

4. Rating

O - Outstanding E - Excellent; G - Good

F - Fair U - Unsatisfactory

Please tick the appropriate box in the columns 5 – 14 below.

5. GOALS ATTAINMENT

O	E	G	F	U

State justification for Rating

.....

.....

6. Knowledge of work

Rating b.

O	E	G	F	U
---	---	---	---	---

a). Own

Schedule

State justification for Rating:

.....

.....

7. Output

a) Own

Schedule

b) Other

Schedule

State justification for rating

.....

.....

8. EFFICIENCY

a) Timeliness

b) Accuracy

c) Skills

State justification for rating

.....

9. Initiative

a) To confront Issues

b) To facilitate education
programmes

c) To cooperate with
other stake holders

State justification for rating

.....

.....

10. Sense of judgment

- a) Soundness of recommendations
- b) Ability to develop contingency plans

State justification for Rating

.....

.....

11. Responsibility and reliability (Duty consciousness,
Trustworthiness and dependability)

- a) Extend of job
Consciousness
- b) Readiness to accept
tasks
- c) Ability to handle
Tasks with minimum
Supervision

State justification for rating

.....

.....

12) Communication

a) Oral

b) Written

State justification for Rating

.....

.....

12. Problem solving/decision

a) Able to analyse

And solve problems

b) Able to take

difficult but

important decision

c) Able to implement

decision in a timely manner

State justification for rating

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

14) Overall rating

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State justification for rating

.....
.....

Areas for improvement

(List the main areas where the performance of staff falls below expectation and Requires improvement)

.....

Training and Development Needs

(Identify any specific training need(s) identified to improve performance or prepare staff for greater responsibility)

.....
.....

Final comments and Recommendations of the Appraiser (including follow –up actions)

.....
.....

B. Potential forecast

1. Position for which READY NOW
2. Position to consider IN THE FUTURE (indicate timing)
3. The reasons for these estimate of potential are:

C. Development plan:

Name of Appraiser:

Designation:

Signature:

Date:

Comment of Appraisee

.....
.....

Name:

Signature:

Date: