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COLLEGE OF HUMANITIES AND SOCIAL SCIENCES

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DEPARTMENT OF SOCIOLOGY AND SOCIAL WORK

EMPLOYEES' PERCEPTION OF STAFF APPRAISAL IN

PUBLIC ORGANISATIONS: A CASE STUDY OF THE

UNIVERSITY OF NAIROBI

CSO 698: PROJECT PAPER

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2013

DECLARATION

I declare that this Research Project is my own original work and has not been presented for a degree in any University.

Signed:

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This Research Project has been submitted for examination with my approval as the University Supervisor.

Signature:Date:.....

Dr. Beneah Mutsotso

DEDICATION

To my late parents, Reuben Lumiti and Diminah Liona,

My Husband, John Mbunde

Children, Brian and Ian Mbunde

Brothers and Sisters,

With all my love.

ACKNOWLEDGEMENTS

This study in its present form has been made possible by a number of people to whom I am greatly indebted and would like to express a lot of gratitude.

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ABSTRACT

The topic of this study was Employees' Perception of Performance Appraisal: A Case Study of the University of Nairobi. Despite the fact that various studies exist on performance appraisal, none has specifically explored employee perception of performance appraisal at the University of Nairobi among the Administrative Staff from Grades A to Academic. The objectives of the study were: To examine employees' views of performance appraisal results in the University of Nairobi, to find out the extent to which employees and employers understand performance appraisal in the University of Nairobi and assessing the tool used in performance appraisal of employees in the University of Nairobi.

In the Literature of this study the following themes were addressed: the concept of performance appraisal, objectives of performance appraisal, staff benefits, the process of appraisal, appraisal styles, requirement for effective performance appraisal and performance appraisal methods. A sample of 138 respondents was selected. The respondents were drawn from the six colleges and Central Administration of the University of Nairobi. Semi structured questionnaires were administered to the respondents. Primary data was collected, summarized and analysed using descriptive statistics and presented in tables and pie charts.

The study established that whereas there was a performance appraisal system in place, it faced various challenges. Among the factors found to influence employee perception were: lack of clarity on the purpose of staff performance appraisal, in-existent link between performance appraisal results and reward system, lack of communication on problem areas that require improvement and absence of performance standards.

From the foregoing, it was concluded that the University of Nairobi's Performance Appraisal process was not effective to serve the intended purpose. It therefore, recommended that there should be clarity about the purpose of performance appraisal and reward system be linked to the performance appraisal results, instruments used by the University should therefore to be revised with a view to tailoring each instrument to specific job categories, feedback be given promptly to develop trust, positive perception and also reduce anxiety among employees.

CHAPTER ONE

INTRODUCTION AND PROBLEM STATEMENT

1.1 INTRODUCTION

Performance appraisal, as the practice of formally evaluating employees, has existed for centuries (Wiese & Buckley, 1998). Vallance and Fellow (1999) state that modern appraisal methods are generally traced to the United States of America following the introduction of a formal appraisal system for the army in 1813. By early 1950s, in the USA, appraisal was an accepted practice in many organizations in making administrative decisions such as promotion and salary increases; and in the 1960s and 1970s its usage increasingly included employee's development, organizational planning, documentation and systems maintenance (Johnson,1995; Vallance & Fellow,1999).

The history of performance appraisal roots in the early 20th Century can be traced to US Industrial Engineer, Frederick Winslow Taylor (1856-1915) pioneering Time and Motion studies (Wiese & Buckley, 1998). As a distinct and formal management procedure used in the evaluation of work performance, appraisal really dates from the time of the Second World War - not more than 60 years ago. Performance appraisal systems began as simple methods of income justification. That is, appraisal was used to decide whether or not the salary or wage of an individual employee was justified (Wiese & Buckley, 1998).

In their efforts to strengthen frame work for managing of results, organizations have developed performance appraisal systems. These performance appraisal systems are basically aimed at improving the performance of employees by enhancing staff participation and involvement in planning and evaluation of work performance. The importance of people management has an influence on the bottom line, even more than quality, technology, comparative advantage, research and development (Muthaura 2006).

Performance appraisal is the process of arriving at judgments about an individual's past or present performance, against the background of his or her work environment, and about his or her future potential for the organization (Okumbe 2001).Employees'

performance may be viewed as behaviour or an activity. Performance is what the workers do and can be observed. Performance entails those actions and behaviours that are relevant to the organizational goals and which are measurable as per the individual employee contribution. As an activity, performance is a record of specified outputs on specified activity or job function during a specified period of time (Williams 1998).

Performance appraisal is important because it allows for the continuous communication between the supervisor and an employee about job performance, as a result this provides appropriate information to the management which can lead to appropriate managerial action for the improvement of the organizational standards. Good performance appraisals benefit both employees and the organization. They promote common understanding of individual needs, work objectives and standards of acceptable performance, thus giving employees and managers a useful tool for employee development. In most organizations that appraise staff, performance appraisals can provide some valuable information to a number of important human resource issues such as: deciding promotions, determining transfers, making terminations, identifying training needs, identifying skill and competency deficits, providing employee feedback and determining reward allocations (Dessler 2003).

Perception is the process of organizing, interpreting and integrating external stimuli received through the senses. The mental process involved in identifying and subjectively interpreting objects, concepts and behaviour, the attainment of awareness, insight and understanding. Thus the concept of perception appears to encapsulate a mental or cognitive activity that receives, processes and interprets (rightly or wrongly) the host of external stimuli that impinge on everyday lives. This process usually takes place instantly (Cole 2001).

Perception varies from person to person and thus different meanings may be assigned to what is perceived. Perception is the process by which we create a meaningful picture of the World (Kotler 2003). The perception of performance appraisal by employees of an organization is of strategic importance, as employees are the driving force behind any successful productivity. This requires that raters and

ratees must agree on the purpose, importance, feedback and reward system to be put in place, otherwise the results will be confrontations and defensiveness leading to negative impact on productivity of the organization in question (Fletcher 1997). Both the raters and the ratees must share the perceived purpose and need for performance appraisals – this is so because the two parties have different interests and expectations. From the foregoing it is imperative that the rater and ratees views of performance should be similar, so as to lead to increased acceptance of appraisal (Longenecker & Goff 1992).

Nzuve (2007) has articulated the importance of perception by stating that people's behavior is based on their perception of the reality. According to Arnold and Feldman (1996), if staff perception of what is expected of them is consistent with the actual expectations of the organization, then the result is effective performance. Arnold and Feldman further note that if staff perception is a distorted or inaccurate picture of reality, then the outcome will be inappropriate behavior and ineffective performance. Bradly (2006) notes that if employees perceive unfairness, favoritism and nepotism in the organization, they will change their behavior and go against what is beneficial to the organization. Hackett (1998) concurs that employees who perceive that there is hardly any evidence that decision on training needs and promotions, among others, are not related to the performance appraisal system, then the system will not win the trust of employees. The appraisal system would therefore not appear to form a facet for organizational efficiency or effectiveness.

Perception is psychological and can be measured by qualitative factors such as people's attitudes, emotions, previous experiences and their needs. People's attitudes have a powerful influence upon what they pay attention to, what they remember and how they interpret information (Arnold & Feldman 1986 up there, you give 1996. Which is the correct year?) People's perceptions of organizations are strongly influenced by their attitudes towards the organization. Employees' emotional state also influence perception process strongly. When staff are highly agitated, frustrated or angry, their perceptual process becomes impaired. The people's previous experiences with similar circumstances do also influence perception. Arnold and Feldman add that stress among employee impedes their capability to process

and perceive information they receive. Arnold and Feldman (1986) further state that employees may have been consumed by receiving certain information at certain times or under certain circumstances, which distort perception, resulting in behaviour that is inappropriate or undesirable from the organization's standpoint. Organizations, therefore, should ensure that their members perceive what is expected of them if they are to perform effectively.

If an employee's performance was found to be less than ideal, a cut in pay would follow. On the other hand, if their performance was better than the supervisor expected, a pay rise was in order. Little consideration was given to the developmental possibilities of appraisal. It was felt that a cut in pay, or a rise, should provide the only required impetus for an employee to either improve or continue to perform well (Cole,2001).

Bowles and Coates (1993), believe that the growth of performance appraisal was attributed to the 1980s where organizations had to be seen to have the competitive edge, whereby its main objectives were to operate effectively and to provide quality services and products. Wright and Race (2004), concur that a well-administered and fair performance appraisal which consists of agreed measurable objectives and developmental needs for employees will help an organization to achieve a competitive edge. However, they caution that any plans discussed must be followed through to ensure that the system does not lose credibility.

It was felt that employees with roughly equal work abilities could be could be paid equally, despite having different levels of morale, motivation and performance. Basically, the payment structure was focused on amount of work rather than the outcome. Morale and self-esteem were the issues which had a major impact on the performance of different individuals. As a result, the traditional emphasis on reward outcomes was progressively rejected. In the 1950s, in the United States, the potential usefulness of appraisal as the tool for motivation and development was gradually recognized. The general model of performance appraisal, as it is known today, began from that time (Wiese & Buckley, 1998).

1.2 PROBLEM STATEMENT

Performance appraisal is a special form of evaluation and comparing an employee's actual performance against set expected outcomes (Cole, 2001; Johnson, 1995; Wiese & Buckley, 1998; Baker, 1988)). It is also a plan for the future; to discuss ways to do the tasks efficiently and effectively without using it against people as a tool for punishment (Cole, 2001).

Performance appraisal process for both the appraisees and appraisers generally means the annual interview that takes place between the manager and the employee to discuss the individual's job performance during the previous twelve months and the compilation of action plans to encourage improved performance (Wilson & Western, 2001). Rudman (2003) indicates that performance appraisal is a process of planning an employee's future work, goals and objectives, reviewing job performance and work behaviours, assessing progress towards the predetermined work goals, and discussing the employee's training and development. It must be synchronized with the organization's strategic plan and developed in harmony with each staff member's position description. Yet in reality, this is not typically so, and therefore the process of employee performance appraisal is seen as a pointless chore.

Despite its long history, performance appraisal is the most debatable human resource management activity. Its supporters deem it necessary to a successful human resources strategy, while its critics view it as unnecessary and potentially destructive to workplace harmony (Roberts, 2003; Simmons, 2002, Vallance & Fellow 1999). Critics such as Scholtes (1998) argue that there is no right way to conduct performance appraisal, and that the process hurts both those who are appraised and the appraisers.

Cole (2001) shows that the process of performance appraisal is an important way for managers and their team members to work together on issues that really matter. If the process encourages a joint problem solving approach, in which other team members may be involved, it can contribute to individuals maturing in experience and obtaining greater job satisfaction.

It is imperative then that the study of employees' perceptions of staff appraisal has some effects on the quality of services that enhance the scholarly work at the University of Nairobi.

1.3 GENERAL OBJECTIVE

The purpose of this study is to investigate employees' perception of staff appraisal.

1.4 OBJECTIVES OF THE STUDY

- (i) To examine employees' views of performance appraisal results in the University of Nairobi.
- (ii) To find out the extent to which employees and employers understand performance appraisal in the University of Nairobi.
- (iii) To assess the tool used in performance appraisal of employees in the University of Nairobi.

1.5.1 RESEARCH QUESTIONS

- (i) What is the foundation of staff appraisal at the University of Nairobi?
- (ii) What is the justification of staff appraisal in the University of Nairobi?
- (iii) Is there any correlation between improved productivity and Performance Appraisal at the University of Nairobi?
- (iv) Does Performance Appraisal lead to employee satisfaction?

1.6 JUSTIFICATION OF THE STUDY

Staff appraisal is one of the few avenues that give employees and employers opportunities to interact or investigate each other outside routine office work. This study contributed to the body of knowledge on performance appraisal. It helped in training and sensitizing managers for effective and efficient decision making. Also staff appraisal is a key management tool that most modern organizations now use. Yet, the introduction and application of staff appraisal has been misunderstood, hence the need for a research of this nature that seeks to deepen our understanding of this important management tool in the University of Nairobi and Kenya in general.

1.7 SCOPE AND LIMITATIONS OF THE STUDY

This study targeted non-teaching staff who handle administrative duties from those in Grade A to Deputy Registrars. In addition, focus was on those who had been appraised between three and four times at the University. The study looked into their aspirations, involvement in the exercise, views of the whole exercise, the experience of the exercise and their responses towards the exercise as well as the challenges faced in this exercise. The limitation encountered was that the detailed first hand information required a lot of time to be achieved however it was not possible due to the fact that researcher is involved in active employment. Also there was prejudice in that respondents were not co-operative as they were not sure of the implications of their responses despite being assured that information collected was to be treated with confidence.

CHAPTER TWO

LITERATURE REVIEW AND THEORETICAL FRAMEWORK

2.0 INTRODUCTION

This chapter covers literature related to the study. It has the following subheadings: Performance appraisal, objectives of appraisal, benefits of staff appraisals, the appraisal process, requirements of an effective performance appraisal, performance appraisal methods, paired comparison method, forced distribution method, Critical Incident Method, theoretical framework, organisational change and conceptual framework

2.0.1 PERFORMANCE APPRAISAL

Performance appraisal may be defined as a structured formal interaction between a subordinate and supervisor, that usually took the form of a periodic interview (annual or semi-annual), in which the work performance of the subordinate was examined and discussed, with a view to identifying weaknesses and strengths as well as opportunities for improvement and skills development (Cole 1993 & Cuning, 1980). Performance appraisals regularly record an assessment of an employee's performance, potential and development needs. The appraisal was an opportunity to take an overall view of work content, loads and volume, to look back on what had been achieved during the reporting period and agree on objectives for the next.

Under the University of Nairobi (1985) Act of Parliament, six campus colleges were established namely: - The College of Education and External Studies (CEES), the College of Architecture and Engineering (CAE), the College of Biological and Physical Sciences (CBPS), the College of Health Sciences (CHS), the College of Agriculture and Veterinary Sciences (CAVS) and the College of Humanities and Social Sciences - CHSS (U.O.N. Calendar 2007). The University of Nairobi plays a very important role in the economy of Kenya and the East African Region. The

region draws a good ratio of its trained manpower from among the University's graduates. The productivity of the University in turn depends on how best it managed its Human Resources.

University of Nairobi's Human Resource Management Information System (HRMIS 2007) still being used to date shows that the University has a total of 4,744 employees. The workforce was structured into three categories; lower, middle and upper grades. The lower category consisted of Grades I – IV which comprised of drivers, clerks, cleaners, messengers, Junior Clerks, Library Assistants, among others. The middle category comprised of staff serving on grades A – F. Staff in this category included Technologists, Secretaries, Administrative Assistants and Supplies Assistants. The upper category was referred to as Academic grades. It comprised of the University Management Staff such as the Vice-Chancellor, deputy vice-chancellors, principals of colleges, deans of faculties, directors of schools and institutes, registrars, finance officers, the teaching staff and librarians, to mention some. All these categories of workers were appraised annually.

Currently employees of the University of Nairobi are appraised annually. Employees are called upon to complete annual appraisal forms at the end of each calendar year. The employees do self-appraisal, and are also appraised by peers before evaluation by supervisors who counter sign the forms. A departmental committee on appraisal moderates all appraisals; self, peer, by supervisors and come up with final score or recommendations. The results of staff performance appraisals are forwarded to the Deputy Vice-Chancellor (Administration & Finance), who gives feedback to all appraisees pointing out their strengths and weaknesses. The University of Nairobi has developed three performance instruments, one for each of the three categories of employees: Lower (Grades I – V), Middle (Grades A – F) and Upper (Academic Grades).

2.1 OBJECTIVES OF APPRAISAL

According to Okumbe (1998), the objectives of an appraisal scheme should be determined before the system is designed in detail. The objectives should, to a large, extent dictate the methods and performance criteria for the appraisal. This means they should be discussed with employees, managers and trade unions to obtain their views and commitment. The main objectives of an appraisal system are usually to

review employee performance, their potential and identify training and career planning needs. In addition, the appraisal system may be used to determine whether employees should receive an element of financial reward for their performance.

Graham (1998) argues that performance reviews give managers and employees opportunities to discuss how employees are progressing and to see what sort of improvements can be made or help given to build on their strengths and enable them to perform more effectively. Review of potential and development needs helps in predicting the level and type of work that employees will be capable of doing in the future and how they can be best developed for the sake of their own career and to maximize their contribution to the organisation. Reward reviews, on their part, determine the 'rewards' that employees will get for their past work. The reward review is usually a separate process from the appraisal system but the review is often assisted by information provided by the performance appraisal.

2.2 BENEFITS OF STAFF APPRAISALS

Different scholars including Cole (1993) and Cuning (1980) show that staff appraisals can help to improve employees' job performance by identifying strengths and weaknesses and determining how their strengths can be best utilized within the organization and weaknesses overcome. Staff appraisals can help to reveal problems which may be restricting employees' progress and causing inefficient work practices. Some employers may talk to their employees regularly about their problems and performance at work and may not therefore see the need for a formal appraisal system.

Regular dialogue between managers and their staff about work performance should, of course, be encouraged. However, in the absence of a formal appraisal scheme, much will depend on the attitude of individual managers. Some will give regular feedback on their employees' performance and potential while others will neglect this responsibility. An appraisal system can develop a greater degree of consistency by ensuring that managers and employees meet formally and regularly to discuss their performance and potential (Bandaranayake, 2001).

According to Graham (1998), experience shows that such forum and regular discussions can encourage better performance from employees. Appraisals can also provide information for human resource planning to assist succession planning and to determine the suitability of employees for promotion, for particular types of employment and training. In addition, they can improve communications by giving employees an opportunity to talk about their ideas and expectations and to be told how they are progressing. This process can also improve the quality of working life by increasing mutual understanding between managers and employees.

2.3 THE APPRAISAL PROCESS

The process of performance appraisal, according to De Cenzo and Robins (1988), includes the following five steps:

- i) Establishment of standards that should evolve out of the job descriptions of the employees are measured and have clear objectives.
- ii) Communication of expectations where once the standards are set the employees need to be informed of these standards so as to serve as a basis of performance.
- iii) Information flow: there needs to be enquiry about the actual performance on the ground through written reports, oral presentations and statistical reports
- iv) Comparison state: This is the comparison of the actual performance against the expected performance levels.
- v) Correction Action: Upon the employee performance appraisal, the necessary adjustments shall be put in motion so as to maximize performance.

2.4 APPRAISAL STYLES

Maier (1958) identifies three basic approaches to the appraisal interview. These are:

- i. Tell and Sell Approach: This is where the manager tells the employee how he is performing and aims to persuade him to accept what has been decided for his improvement.

- ii. Tell and Listen Approach: Here, the manager tells or informs the employees how he is doing but then sits back and listens to the individual employee's point of view of both the appraisal system and any follow-up action required.
- iii. Problem Solving Approach: This is when the manager endeavours to join the employee on mutual reflection on progress by mutual discussion on the action required to improve performance.

However, these approaches have yielded different results as telling an employee how he is performing can be counter-productive in that the criticism will have negative effects on the appraisal, especially if it touches on their personal egos.

Lee and Shin (1999) point out that the telling/selling approach will only be positive if the manager is persuasive, but the employee acceptance of this version is still not guaranteed. Telling /listening has the merit of feedback and gives a better solution to the next course of action. Sharing approach will put the appraiser and the appraisee on equal footing and having a joint problem solving approach. This is known as the coaching approach and is bound to produce higher results. Maier's model will help managers to choose the right appraisal method or style to use.

2.5 REQUIREMENTS OF AN EFFECTIVE PERFORMANCE APPRAISAL

According to Rudman (1991), performance appraisal is concerned with setting of organizational, departmental and individual objectives. These objectives must be:

Specific – This is the absence of uniqueness and ambiguity. For instance, “insurance of contributing members by 10%” is specific as opposed to “trying to improve remittance.” The objective should describe the desired outcome rather than the effort expected of the employee.

Measurable – This is involving standards through quantitative and qualitative measurements. For example, “improve customer satisfaction to reduce complaints to only one customer per week.”

Achievable – The goals should be challenging but not beyond the reach of each employee.

Realistic – All performance appraisal goals should be consistent with organizational goals and thereby enable these achievements.

Time-Framed – The goals should be set to be achieved within a given time like one week, one month or in a year. This will enable the appraisal system to be reliable, relevant, sensitive, acceptable and practical to the organizational needs (Lee & Shin, 1999).

2.6 PERFORMANCE APPRAISAL METHODS

According to Okumbe (1998), performance appraisal can be grouped in the Linear Graphic Scale Method or Personality Trait-based, which is the simplest and most commonly used method of performance appraisal. The method lists personality traits and a range of performance values (on a scale of unsatisfactory to outstanding) for each trait. The supervisor rates each employee by checking or circling each score which best describes the employee's trait. The graphic rating scale may be done on either a numerical scale of 1, 2,3,4,5 –where 1 is strongest and 5 weakest – or alphabetical scale of A, B, C, D, E – where A is strongest and E is weakest.

2.7 ALTERNATION RANKING METHOD

According to Lee and Shin (1999), this method involves ranking employees from best to worst on a trait or traits. An alternation is commonly used because it is usually easier to distinguish between the worst and best employees, than just ranking them. Procedure of ranking methods entails listing all employees to be rated. The second stage involves crossing out the names of any employee not known well enough to be ranked and, thirdly, on a specially designed form indicate the employee who is the highest on the characteristics being measured. At the same time, show the lowest employee and showing the next highest and next lowest, alternating between highest and lowest until all employees are ranked.

2.8 PAIRED COMPARISON METHOD

According to Okumbe (1998), paired comparison is a modified version of ranking. It involves comparing two employees at a time, on each trait. For each trait, an employee will have a plus (+) or a minus (-), depending whether he ranks better than the other on the trait. The number of time an employee is ranked better is counted and added up.

Trait: Leadership

As compared to	Kamau	Rotich	Onyango	Kongo	Chipata	Alima	Jolendo
Kamau		+	+	-	-	-	+
Rotich			+		+	-	-
Onyango					-	-	-
Kongo			+		+		-
Chipata			+				-
Alima			+		-		-
Jonendo			+		+		

Figure 2.4: Paired comparison methods



Onyango ranks highest in leadership trait.

2.9 FORCED DISTRIBUTION METHOD

According to Graham (1998), forced distribution method is similar to grading on a curve. The method involves predetermined percentages of rates which are placed in performance categories. For instance, the rating distribution can be done as follows:-

- A: 15% High performers
- B: 20% High average
- C: 30% Average
- D: 20% Low average
- E: 15% Low performers

Forced distribution means not everyone can have same percentage, even if all employees performed the same. The employee is rated relative to his peers. The method involves writing each employee's name on a separate card for each category of traits being appraised (leadership, judgment or initiative). The employee's card is then placed in one of the appropriate performance categories.

2.10 Critical Incident Method

This method requires the supervisor to regularly write down desirable or undesirable incidents in each employee's work-related behaviour. The supervisor and the employee then meet at regular intervals to discuss the incidents (Johnson 1995).

2.10.1 Narrative (Free Writing report)

The appraiser writes an essay type answer to a number of statements or questions set on the appraisal document. The statement or questions are based on performance factors or traits on which the employee is being appraised (Okumbe 1998).

2.10.2 Behaviour Expectation Scales

This approach, sometimes referred to as the Behaviourally Anchored Rating Scale (BARS) technique, requires the assessor to select some aspect of subordinate's behaviour considered by the appraiser to be typical of the appraisal's performance in a certain aspect of a job. The focus of administrative reforms in organizations such as banks is placed on how citizens can benefit from their services and activities (Scholtes, 1998).

Employees may not necessarily be compensated for their more intensive work rhythm with higher pay, but instead with improved working conditions. Such may include more responsibility and less hierarchical interventions, which result in greater job satisfaction, more autonomy and flexibility in work organization and in time budgets. These may in turn help to reconcile the demands of working and private life. Sabbatical years, which give the labour force time for recreation and revitalization, are a source of renewed creativity and individual accomplishment. Clear standards for performance evaluation, such as client appreciation increase employees' self-esteem and sense of purpose, enhancing opportunities for training

and improvement of individual knowledge and skills. In turn, all these provide an element of satisfaction and opportunities to participate in reforming administrative processes, which increase identification with individual work (Lee & Shin 1999).

2.10.3 Management by Objective (MBO)

The best known application of goal setting very popular and universally used management by objectives (MBO). MBO was first coined by Peter Drucker in his classic book, *The Practice of Management*. Drucker aimed at harmonising individual managers' goals with those of the organization. Drucker felt that MBO would lead to improved organizational performance and performance and employee satisfaction. The first MBO step involves identification of key results areas in the organization and the determination of measures of performance. The objectives are stated and agreed upon at this stage. In the second stage the workers and the organization are developed for effective application of MBO. In the third stage individual objectives are set and action plans determined. The individual objectives are determined by both the supervisor and his/her subordinates. Periodical appraisal is the fourth stage. This appraisal is diagnostic and takes place roughly every three months. The final appraisal is done once every year in the fifth stage and provides an overall diagnosis and evaluation. The MBO cycle starts again at the beginning of the following year (Okumbe 2001).

MBO is a philosophy which emphasizes goal setting and planning for individual managers and their work groups. MBO recognizes and encourages participatory approach to goal setting, in which both the manager and staff are involved. The purpose of MBO is to give subordinates a voice in the goal-setting and planning process and to clarify for them exactly what they are expected to accomplish within a given time span. In performance management system through MBO, the manager is required to set measurable goals with each employee. The manager then periodically discusses with employee his employee progress towards the goals and a feedback is provided in the regular review of the progress (Armstrong 2001), MBO involves a comprehensive organizational goal setting and appraisal programme that consists the following six steps which are setting the organizational goal:

Establish organizational plan for the next year and set goals, setting departmental goals

- i. Heads of departments (HODs) and their superiors set goals for their departments, discussing department goals.
- ii. HODs discuss the departmental goals with their staff (through departmental meetings).
- iii. HOD asks staff to develop their own goals, defining expected results (set individual goals):
- iv. HODs and individuals set short term performance targets, performance reviews: Measure the results
- v. HODs compare actual results (performance) against expected results of employees and providing feedback.
- vi. HODs holds periodic performance review meetings with subordinates to discuss and evaluate the subordinates progress in achieving expected results (Scholtes,1998).

2.10.4 Performance Rating Methods

According to Cole (1993), it is almost mandatory that an overall rating of an employee's performance is reflected on the appraisal form. The purpose of overall rating is to sum up employee's performance level. In many cases, organizations have included in a section of performance appraisal ratings such as:

- A. Outstanding performance in all aspects.
- B. Superior performance, significantly above normal requirements of the job
- C. Good – all round performance, which meets the normal requirements of the job.
- D. Performance not fully up to the requirement of the job. Clear weaknesses which require improvement have been identified.
- E. Unacceptable performance of many aspects of the job is well below an acceptable standard.

The purpose of this rating is to sum up the job holder's performance level. The problem with the above rating is that the manager may be forced to make arbitrary and often indefensible judgement. This approach, where such words as 'unacceptable' are used in the rating, may draw a negative reaction from the appraisee. Subsequently there may no be constructive discussion – which is the very heart of a performance review. It is important to use a rating scale which provides positive reinforcement.

2.10.5 Positive Reinforcement Rating

Some of the expressions used to capture positive reinforcement include the following:

Highly Effective which frequently exceeds agreed targets and standards. Consistently performs in a thoroughly proficient manner beyond normal expectations
Effective: Achieves agreed targets and standards, and meets the normal expectations of the role.

Developing has a contribution which is stronger in some aspects of the role than others. It also means that most objectives are met but further development is required in some areas to become fully effective in meeting performance expectations.

Positive reinforcement generally meets or almost meets the standards expected, has clear room for improvement in a number of definable areas. This approach requires raters to compare the actual performance against the performance expectations. The approach also avoids ratings that compare employees, such as 'average' or 'below average' (Armstrong 2001).

2.10.6 Common Appraisal Problems

According to Lee and Shin (1999), the following are the common appraisal problems.

Errors in Rating Personal Bias: These entail addressing issues not related to the job, bias arising from personal characteristics like age, sex or race, bias arising from organizational characteristics like seniority, membership to company's choir, team or friendship with the boss. Others may relate to the hallow effect of social influence arising from rapport between supervisor and staff.

Halo effect: Sometimes appraisal performance of an employee may be made on the basis of just a single trait, which may be quite outstanding, or a single act of performance. By making judgement on the basis of a single trait or act of performance in which appraise may not do well. In order to avoid halo effect, the appraiser should differentiate between relatively discrete characteristics.

Central tendency: This occurs when the appraisers rate employees within very narrow ranges like "average", "fair" or "moderate". The central tendency fails to recognise salient differences among employees.

Personal bias: This is experienced when an appraiser allows his or her personal biases to influence personal likes or dislikes, race, gender or ethnicity

Strictness or lenience error: This error occurs when the appraiser is either overly strict or overly lenient. The impact of this is that an employee may be rated quite differently by two appraisers at the same time or different times. This brings about failure to recognise either very good or very poor performers and so the objectivity of the appraisal process suffers.

Recency (spill over) effect: occurs when appraisers places more emphasis on an employee's recent behaviour. This may affect the judgement of the appraisers in the sense that the relevant recent and vital data are ignored and this leaves out the useful evidence on current performance level. The employees may also use this to do poorly during most of the time on their jobs only to resurrect just before the appraisal takes place.

Insufficient evidence: This is when an appraiser makes a complete evaluation of an employee on the basis of an analysis of a few aspects of performance, leaving out very important area.

Interview problems: These are problems arising from the behaviour of either party. They include: Supervisor playing God. Difficulties to accept constructive criticism by either party. Boring and crude behaviour (less interactive) or the appraisee being hostile and non co-operative (Armstrong, 2001).

Lack of reliability in measurement of performance. This may arise from use of different measuring methods. Lack of training in appraisal techniques and frequent change in appraisal methods. There may also be incompetence among raters who may fail to evaluate accurately due to lack of experience and knowledge. Negative approach also affects the appraisal, where the rates focus more on punishment rather than on development of employee. Multiple objectives where the rater may get confused due to two or more objectives or due to unclear objectives of performance appraisal. Beyond the employee may be other forms of resistance where for instance the trade union may resist performance appraisal on grounds that it involves discrimination among its members (Armstrong, 2001).

2.10.7 Choice of appraisers or Raters

Okumbe (2001) states careful thought should go into the question of who should appraise an employee. The general trend is that the immediate supervisor is assigned the responsibility of appraising the employees who are directly answerable to him or her. The main problem with this procedure however, is that the immediate supervisor has a close daily contact with the employee and this tend to lead to a positive or negative biases against the employee. It is recommended that the ideal appraisal should be done by a third person who knows the details of the job to be performed by the employee to be appraised. This helps to remove the risk of personal biases. A disadvantage of this method is that the third person lacks the knowledge of the details of performance as well as personal characteristics of the employee. In some cases peer appraisal is applied. In this case the peer judgement is applied to provide useful performance- related information. Other appraisers include subordinates, self appraisal, clients and computers.

2.10.8 Benefits of Staff Appraisal

Appraisal review benefits, according to Cole (1993) and Cuning (1980), can be classified into three main categories:

First, benefits to the organization:, Improved performance (organizational and individual), ensures that the individual's goals and priorities corresponds to those of the organization. Staff appraisal provides information of underperforming employees for help, it helps in the identification of training and development needs and it is used as a linkage between performance and reward.

Second, benefits to the manager where appraisal is a tool to motivate staff. It enables expression of important issues arising during the discussion and it gives an opportunity for constructive feedback. It is a basis for agreeing on performance objectives and standards and it strengthens personal relationships between the boss and staff. Benefits to the appraisee in identification and knowledge of the key areas the employee is expected to contribute, helps staff know how he is performing, helps staff know the consequences of poor/good performance, and motivates staff. By the interest shown in their performance, staff has a chance to raise any important issues and it gives staff the impression of being valued (Johnson, 1995).

2.11 Theoretical Framework

2.11.1 The human Relations School

Armstrong (2006) states that Douglas McGregor is the other theorist associated with the Human Relations School of management. He is the creator of Theory X and Y. In 1960, he wrote his famous book, *The Human Side of Enterprise*, in which he worked out Theory X and Y. He formulated two contrasting views about human nature. Both views have some linking extrinsic and intrinsic motivation Theories on motivation to job satisfaction and to motivational theories' critical assumptions concerning employees at work. According to Theory X, employees dislike work and will avoid it whenever they can, employees must be threatened with punishment to make them work, they need and want direction when they are working, employees have little or no ambition, and they are only interested in security. These assumptions are, as can be seen above, rather pessimistic in how managers and supervisors saw their employees. McGregor's concern was the development of the individual employee in the work environment. Assumptions in Theory Y, who provided intellectual

foundations that were different from the limited views on human behaviour underlying Theory X, and the principles of classical economic/organization theory.

Theory Y holds that work is a natural activity, that employees are capable of self-direction and self-control when they are committed to organizational goals, that employees become committed if they are appropriately rewarded, that employees can learn to seek responsibility and that an employee can be something missing?. One can see that McGregor is influenced by the work of Abraham Maslow with his hierarchy of needs theory. Regarding the Pyramid of Maslow, Theory X assumes that lower-order needs dominate individuals while Theory Y can be traced back to the higher-order needs. However, there is a significant difference regarding the end result between the two. As an individual moves through Maslow's pyramid when he satisfies each layer of needs (physiological, safety, social, esteem and at the top self-actualization) the satisfying conclusion is self-actualisation or personal growth.

McGregor, this satisfaction merely serves the cause of commitment to organizational objectives. Moreover, for McGregor, this satisfaction is a means of acquiring control instead of the traditional punishments associated with hierarchical control (Meeker, 1982). Theories X and Y are included in the study for the interesting viewpoints that managers and supervisors might have about their employees. It would be fascinating to see how employees think that they are being looked at by their managers. A Theory X manager would see the employees from a negative angle. Employees would be lazy, they dislike work and will avoid it, not creative, will avoid responsibilities and so will seek to be led, have little ambition and the only way to make them work is to threaten them and most employees are self centred in that they place security above all factors linking extrinsic and intrinsic motivation. So the only way that management can make employees to achieve high performance is to coerce , control and even threaten them.Theory X emphasises strict employee control and the application of extrinsic rewards.

In contrast with Theory X, Theory Y assumes that individuals are not inherently lazy, view work as being as natural as rest or play, will exercise self direction and self control if they are committed to the objectives, can on average learn to accept even

seek responsibility, will exercise self-direction and self-control if they are committed to organizational goals, and that the satisfaction of doing well at work is a powerful motivation on itself. Another reason why Theory X and Y are included in the study is the link to intrinsic and extrinsic motivation. Theory X is related more to extrinsic motivation because of the involvement of punishments while Theory Y relates to intrinsic motivation since employees will become satisfied when they perform well at work.

Hence, Theory Y holds that work is as natural as play and therefore people desire to work. Employees are responsible for accomplishing their own work objectives. Comparable personal rewards are important for employee commitment to achieving work goals. Under favourable conditions, the average employee will seek and accept responsibility. Employees can be innovative in solving organizational problems. Most organizations utilize only a small proportion of their employees' abilities (Scholtes 1998).

Johnson (1995), McGregor's Theory X and Y is appealing to managers and dramatically demonstrate the divergence in management viewpoints toward employees. As such, Theory X and Y have been extremely helpful in promoting management understanding of supervisory styles and employee motivational assumptions.

Just as McGregor's Theory X and Y shows some employees like work while others hate it, this study had similar findings. Some employees were self motivated, creative, loved responsibilities and had ambitions to achieve, while others were the opposite.

2.11.2 The Systems School

According to Robertson *et al.*, (1983), 'Systems theory is basically concerned with problems of relationship, structure and interdependence.' As a result, there is a considerable emphasis on the concept of transactions across boundaries – between the system and its environment and between the different parts of the system. This open and dynamic approach avoided the error of the classical, bureaucratic and

human relations theorists, who thought of organizations as closed systems and analysed their problems with reference to their internal structures and processes of interaction, without taking into account either of external influences and the changes they impose or of the technology in the organisation.

2.12 Organisational Change

Conceptually, the change process starts with an awareness of the need for change. An analysis of this situation and the factors that have created it leads to a diagnosis of their distinctive characteristics and an indication of the direction in which action needs to be taken. Possible courses of action can then be identified and evaluated and a choice made of the preferred action. It is then necessary to decide how to get from here to there. Managing change during this transition state is a critical phase in the change process. It is here that the problems of introducing change emerge and have to be managed. These problems can include resistance to change, low stability, high levels of stress, misdirected energy, conflict and loss of momentum. Hence the need to do everything possible to anticipate reactions and likely impediments to the introduction of change (Armstrong 2009).

Nzuve (1996) in cultural systems, organizations do not only provide opportunities but also impose constraints. The environment provides the resources and opportunities for the organization's existence and also determines what organizations can do and not do. If organizations want to remain prosperous, they must adapt to the demands of the environment and since these demands are constantly changing, organizations must also change. Organizations usually introduce changes through people. Hence, unless the people are willing to accept change the need and the responsibility for the organizational change, the intended change (s) cannot occur. Individuals have to learn to change their attitudes and behavioural patterns to match the constantly changing environments by adopting new patterns and behaviour. A flexible organizational structure will encourage adaptation. On the other hand rigidly controlled organizational relationships between and within work groups can impede the information processing activities needed to make timely decisions. Technological changes usually make organizational task more complex and interdependent. Task

complexity requires that people be trained in their jobs for the future as well as for the present. Task interdependent demands that people work together in groups rather as individuals. Therefore, in order to perform complex and interdependent tasks effectively, organization members should be technically as well as psychologically prepared to adapt, failure to which may lead to major problems.

Armstrong (2006) the installation stage can also be painful. When planning change there is a tendency for people to think that it will be an entirely logical and linear process of going from A to B. It is not like that at all. To manage change, it is first necessary to understand the types of change and why people resist change. It is important to bear in mind that while those wanting change need to be constant about ends, they have to be flexible about means. This requires them to come to an understanding of the various models of change that have been developed. In the light of an understanding of these models they will be better equipped to make use of the guidelines for change set out at the end of this section.

2.13 Types of change

Armstrong (2009) argues that there are two main types of change: strategic and operational.

2.13.1 Strategic Change

Strategic change involves not only deciding what to change but how and when to change specific elements of one's strategic orientation. This change may be driven by dramatic changes within the environment, declining organizational performance, or perhaps even both. Within the realm of higher education, strategic planning can be considered as steering the University's teaching activities such that they are in alignment with its mission and vision. As the list of online educational providers grows, those organizations which have not considered offering this type of education already may be forced into a position which causes them to think about the adoption of educational technologies as a path to survival in the future.

The strategic change process encompasses four basic steps.

Step one Strategic analysis in which analysis of an organization's external environment, its current strategic orientation, and the degree of its effectiveness at meeting its objectives and mission.

Step two Strategy making – this begins with the decision to change its vision and orientation in the future and includes defining the products and services to be offered, specifying the markets to be served, developing a position to be competitive in those markets, and assessing the underlying organizational processes and culture that will either enable or inhibit the change.

In Step three Strategic plan design defines how the change process will be logistically accomplished through sequencing and pacing in light of the prevailing culture as well as anticipated resistance.

Step four, involves implementation of the plan transition to the new orientation which includes developing budgets and timetables, assigning roles and tasks that will guide the process, garnering commitment to ensure that there is a high level of ownership in the process, communicating to ease uncertainty, and allocating resources for support (Journal of Educators Online, Volume 5, Number 1, January 2008).

The capacity of the firm to identify and understand the competitive forces in play and how they change over time, linked to the competence of a business to mobilize and manage the resources necessary for the chosen competitive response through time. 'Strategic change, however, should not be treated simplistically as a linear process of getting from A to B, which can be planned and executed as a logical sequence of events (Armstrong 2009).

2.13.2 Operational Change

Operational change relates to new systems, procedures, structures or technology which will have an immediate effect on working arrangements within a part of the organisation. But their impact on people can be more significant than broader strategic change and they have to be handled just as carefully. In general, operational changes are smaller in scope than organizational development.

Operational changes can affect most or all levels of the organization or they can be specific to certain divisions or departments within the organization. Regardless, operational-change management is typically led internally by executives or department leaders. Operational changes are often proactive measures to adapt to industry changes or to improve processes for competitive advantage (Armstrong 2009).

2.13.3 Resistance to Change

People resist change because it is seen as a threat to familiar patterns of behaviour as well as to status and financial rewards. Joan Woodward (1968) made this point clearly. Resistance to change implies that management is always rational in changing its direction, and that employees are stupid, emotional or irrational in not responding in the way they should. But if an individual is going to be worse off, explicitly or implicitly, when the proposed changes have been made, any resistance is entirely rational in terms of his own best interest. The interests of the organization and the individual do not always coincide (Cole , 2001).

Resistance to change is a natural reaction when employees are asked, well, to change. Change is uncomfortable and requires new ways of thinking and doing. People have trouble developing a vision of what life will look like on the other side of a change. So, they tend to cling to the known rather than embrace the unknown. Change produces anxiety and uncertainty. Employees may lose their sense of security. They may prefer the status quo. The range of reactions, when change is introduced, is immense and unpredictable. No employee is left unaffected in most changes. As a result, resistance to change often occurs when change is introduced. Resistance to change is best viewed as a normal reaction. Even the most cooperative, supportive employees may experience resistance (Journal of Educators Online, Volume 5, Number 1, January 2008).

Specifically, the main reasons for resisting change are the shock of the new where people are suspicious of anything which they perceive will upset their established routines, methods of working or conditions of employment. They do not want to lose the security of what is familiar to them. They may not believe statements by

management that the change is for their benefit as well as that of the organization; sometimes with good reason. They may feel that management has ulterior motives and, sometimes, the louder the protestations of managements; the less they will be believed (Cole, 2001).

Scholars have identified some of the fears associated with change. McGregor (1957), for instance, identifies economic fears – loss of money, threats to job security; inconvenience – the change will make life more difficult; uncertainty – change can be worrying because of uncertainty about its likely impact; symbolic fears – a small change that may affect some treasured symbol, such as a separate office or a reserved parking space, may symbolize big ones, especially when employees are uncertain about how extensive the programme of change will be. Another form of change is threat to interpersonal relationships – anything that disrupts the customary social relationships and standards of the group will be resisted, threat to status or skill – the change is perceived as reducing the status of individuals or as de-skilling them and, lastly, competence fears – concern about the ability to cope with new demands or to acquire new skills.

2.13.4 Overcoming Resistance to Change

Armstrong (2001) suggests that resistance to change can be difficult to overcome even when it is not detrimental to those concerned. But the attempt must be made. The first step is to analyse the potential impact of change by considering how it will affect people in their jobs. The analysis should indicate which aspects of the proposed change may be supported generally or by specified individuals and which aspects may be resisted. So far as possible, the potentially hostile or negative reactions of people should be identified, taking into account all the possible reasons for resisting change listed above.

It is necessary to try to understand the likely feelings and fears of those affected so that unnecessary worries can be relieved and, as far as possible, ambiguities can be resolved. In making this analysis, the individual introducing the change, who is sometimes called the 'change agent', should recognize that new ideas are likely to

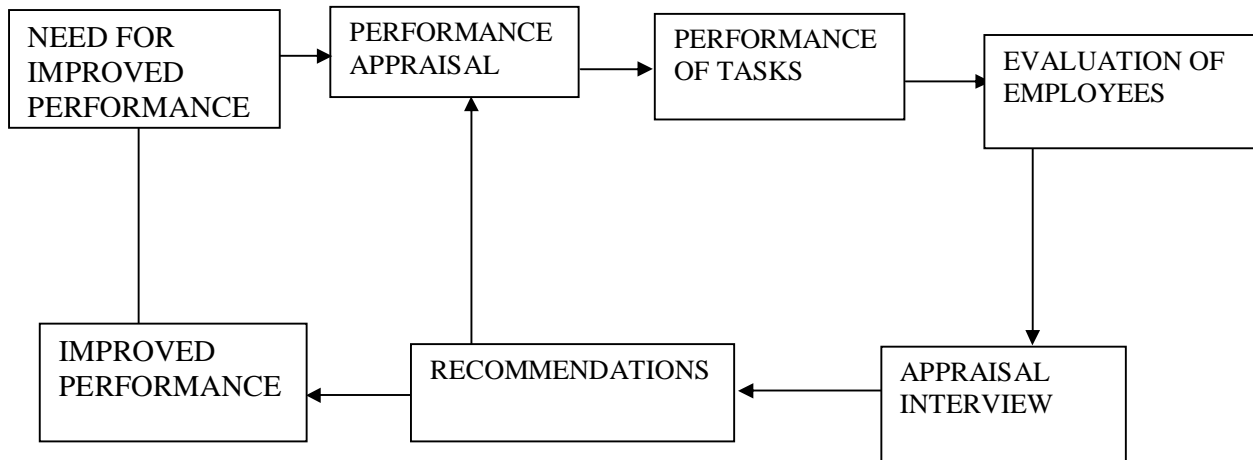
be suspect and should make ample provision for the discussion of reactions to proposals to ensure they are completely understood (Cole 2001).

Armstrong (2006) further notes that involvement in the change process gives people the chance to raise and resolve their concerns and make suggestions about the form of the change and how it should be introduced. The aim is to get 'ownership' – a feeling amongst people that the change is something that they are happy to live with because they have been involved in its planning and introduction – it has become their change. Communication about the proposed change should be carefully prepared and worded so that unnecessary fears are allayed. All the available channels but face-to-face communication direct from managers to individuals or through a team briefing system are best.

The communication process should entail explaining the new plan in terms that help each group understand how the new strategy will make their own jobs better or easier. According to Cole (2001), everyone in the organization must understand the goal of the new business strategy. To achieve this, at least a member be invited from each functional group to participate in meetings or provide seminars for each group to market the strategy. Select a group of change agents from key positions to help manage planning and implementation and find one person from each group who is vocal. Try to select those in non management positions as well. Key deliverables be developed for each department, organization and person involved in the new business strategy. A deliverable is a final report or the output from implementing the new business strategy. Each group head must tailor the deliverable to the goals of the group. For example, one deliverable can be to increase sales by 5%. Another can be lower costs by 5%. The successful implementation to compensation. Create at least four key milestones and goals to measure success throughout the year. Report on performance regularly and publicly reward those people or groups that meet goals.

12.14 CONCEPTUAL FRAMEWORK

The performance appraisal's conceptual framework is shown below:



The University has to do staff appraisal yearly as a performance contracting requirement with the government to gauge performance by staff and need for improvement where necessary. Employees are called upon to complete annual appraisal forms at the end of each calendar year. This is where they set performance tasks with their supervisors. This document is retrieved during evaluation of employees. First the employees do self-appraisal, and are also appraised by peers before evaluation by supervisors who counter sign the forms in the presence of the appraisee. A departmental committee on appraisal moderates all appraisals; self, peer, by supervisors and comes up with final score or recommendations. The results of staff performance appraisals are forwarded to the Deputy Vice-Chancellor (Administration & Finance), who gives feedback to all appraisees pointing out their strengths and weaknesses. Feedback leads to improved performance as weaknesses are handled and strengths reinforced.

CHAPTER THREE

RESEARCH METHODOLOGY

3.0 Introduction

This chapter describes the research design, the target population, sampling technique and sampling size, research instrument and data analysis techniques.

3.1 Research Design

A descriptive survey design was used to carry out the study. This design was considered appropriate because it allowed for across analysis of opinion of categories of employees namely middle and senior administrators to provide insight into the extent of perception of performance appraisal and the factors that influence their perception.

3.2 Target Population

Under the University of Nairobi 1985 Act of Parliament, six Colleges were established. These are College of Education and External Studies (CEES), the College of Architecture and Engineering (CAE), the College of Biological and Physical Studies (CBPS), the College of Health Sciences (CHS), the College of Agriculture and Veterinary Sciences (CAVS) and College of Humanities and Social Sciences (CHSS).

The Main Campus is situated near the City Centre and bounded by Harry Thuku Road on the East, University Way and Nyerere Road to the South, Mamlaka Road to the West and Msonga Wai / Nairobi Rivers to the North. The Chiromo Campus is located across the Msonga Wai River, some two kilometres from Main Campus off Riverside Drive. The Upper Kabete Campus is situated close to the North –Western City boundary off Kapenguria Road and some thirteen kilometres from Main Campus. The College of Agriculture and Veterinary Sciences is located here. The Lower Kabete Campus (Faculty of Commerce) is located about ten kilometres from the Main Campus along Lower Kabete Road. Lastly the Kikuyu Campus, where College of Education and External Studies is located, is approximately 24 kilometres from the Main Campus.

The target population constituted administrative members of staff numbering 1,434 (University of Nairobi Human Resource Management Information System – HRMIS 2007 Still being used to date). The population of interest was broken down as follows:

Table 3.2.1: Population of Non-Academic staff in the University of Nairobi by grades

Category	Population
E/F	81
D/E/F	270
Assistant/Deputy Registrars	170
D	42
CD	55
C	61
A/B/C	336
B	88
A/B	140
A	186
TOTAL	1,434

Source: HRMIS 2007 (Still being used to date)

3.3 Sampling Design

Proportionate stratified sampling was used because it was easy to classify the population in three strata: upper grades, middle grades, and lower grades. The sample size consisted of 10% of the target population drawn from all the Colleges and Central Administration of the University of Nairobi. This approach was considered appropriate since it ensured a survey of a representative sample of the University of Nairobi staff. Further considering the time and budget constraints, it was considered an appropriate sampling strategy that yielded representative results. According to Sekeran (2003), sample sizes larger than 30 and less than 500 are considered appropriate.

3.3.1 Multi-Stage Sampling

Multi-stage sampling was used because it was easy to classify the population in three strata: upper grades, middle grades, and lower grades. The sample size consisted of 10% of the target population drawn from all the six Colleges and Central Administration of the University of Nairobi. This approach was considered appropriate since it ensures a survey of a representative sample of the University of Nairobi staff. Further considering the time and budget constraints, it was considered an appropriate sampling strategy that yields representative results.

The reasons for adopting this design were to reduce costs. In this case, the first step was to select, at random, a sample of Colleges and collective departments. Then, for each selected departments, a comprehensive enumeration of all units of lower rank was made, thus obtaining a local sample frame among which a sample of secondary units was selected.

3.3.2 Purposive Sampling

Sample elements were sometimes chosen because they filled certain criteria. This method is often used for community studies or case studies. One or a few identities are selected because they are considered either typical or outstanding examples of the variables with which the research is concerned. Case studies may be made of individuals who have had extraordinary experiences or who seem 'typical' of people with their background, or of neighbourhoods which have experienced very rapid or very slow growth. Another type of purposive sampling is matching. Two individuals are matched on a number of characteristics like age, gender or education. In an experimental study, members of the experimental and control groups are matched (Peil & Rimmer1995).Therefore purposive sampling was used down from multi stage sampling.

Table 3.2.2 Sample size

E/F	8
D/E/F	27
Assistant/Deputy Registrars	17
D	4
CD	4
C	5
A/B/C	33
B	8
A/B	14
A	18
TOTAL	138

3.4 Methods of Data Collection

3.4.1 Quantitative

The quantitative data collection method that relies on random sampling and structured data collection instruments that fit diverse experiences into predetermined response categories was used. This Produced results that were easy to summarize, compare, and generalize. Quantitative research was concerned with testing hypotheses derived from theory and/or being able to estimate the size of a phenomenon of interest (Chava & David, 1996). Since the collection of data took a great deal of time, recording was done thoroughly, accurately, and systematically.

3.4.2 Qualitative

According to Chava and David (1996), qualitative data collection method plays an important role in impact evaluation by providing information useful to understand the processes behind observed results and assess changes in people's perceptions of their well-being. Furthermore qualitative method can be used to improve the quality of survey-based quantitative evaluations by helping generate evaluation hypothesis; strengthening the design of survey questionnaires and expanding or clarifying

quantitative evaluation findings. Respondents were interviewed several times to follow up on a particular issue, clarify concepts or check the reliability of data.

3.4.3 Tools of Data Collection

(i) Questionnaire

The study used primary data collected by use of a self-administered questionnaire. Semi-structured questionnaire was used to collect data on the respondent's perception of performance appraisal. A questionnaire was a useful tool for collecting data from respondents because of the need to provide a means of expressing their views more openly and clearly. The structured questionnaire consisted of open ended questions designed to elicit specific responses for qualitative and quantitative analysis respectively.

(ii) Key Informant Guide

A list of discussion topics was generated and used to guide the discussions with Senior University Management. The key informants were: Registrar Administration, Registrar Academic, Registrar Planning and six College Registrars.

3.4.4 Ethical Issues

Organizational ethical rules and standards that guide workplace behaviour and moral principles were upheld. Ethical issues such as privacy, conflict of interest, discrimination and harassment were adhered to. Consent of respondents was sought whether or not they wished to participate in the research study. They were also informed the purpose of the study and their roles as respondents. Each respondent was informed that whatever information collected would remain confidential and was not to be linked to them.

3.4.5 Validity of Responses

To enhance the validity of the responses, a pilot study of 13 out of the 138 respondents was undertaken. The questionnaire was given to the respondents to fill in order to identify the ambiguous items so as to modify them or discard them. Each

questionnaire item was discussed by respondents to determine its suitability, clarity and relevance for the purpose of the study.

3.5 Data Analysis

The data was analysed using descriptive statistics such as tables, charts, bar graphs and percentages to represent the response rate and information on the variables under study. Mean scores, standard deviations, proportions and frequencies were used to write the report. Completed questionnaires was edited before processing. The data was then coded to facilitate analysis using SPSS Computer package.

CHAPTER FOUR

DATA PRESENTATION AND INTERPRETATION

4.0 INTRODUCTION

This chapter presents techniques used for data analysis and findings of the study. Data was analysed using descriptive statistics such as frequencies, percentages to determine factors affecting employee perception of performance appraisal. Data was presented in tables, bar-graphs and Pie-charts.

4.1 Description of Respondents

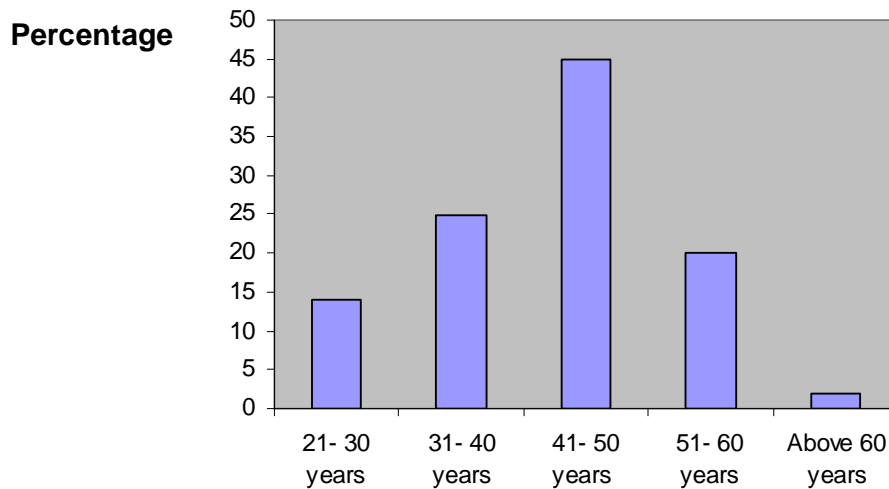
A total of 138 respondents in (Grade A - Academic) were interviewed in the University of Nairobi. They were distributed as follows (27.5%) were from Central Administration, (11.6 %) College of Biological and Physical Sciences, (19 %) College of Architecture and Engineering, (6%) College of Health Sciences, (5%) College of Agriculture and Veterinary Sciences and (5.9%) College of Education and External Sciences.

4.1.1 Gender Representation among the Respondents

The gender distribution of the respondents was (70%) female and (30%) male. This was mainly because there are more female in the lower cadres and more men in management.

4.1.2 Age Distribution

In the age distribution 13% of the respondents were between age 21 – 30 years old, 25% of the respondents were between age bracket of 31 - 40 years, 45% were between age bracket of 41 -50 years and least respondents were in the age bracket of 60 years and above mostly those who had retired and had been hired on contract.



4.1.3 Years of Service

Years of service	Number	Percentage (%)
0-5	14	10
6-10	18	12.9
11-20	83	60.1
21 and above	23	17
Total	138	100

In terms of years of service at the University 10 % of the respondents had served between 0-5 years, 12.9 % between 6 -10 years, 60.1 % between 11 -20 years while 17 % had served for over 21 years.

4.1.4 Education Levels

As regards education levels 9.4 % of respondents had attained O Level academic qualification, 28.3% had a Diploma, 58.7 % were university degree holders while 3.6% held masters degrees.

4.1.5 Marital Status

The respondents' marital status was that 20.3% were single, 76.1% were married while (3.6%) were widowed.

4.1.6 Promotional Development

Most of the respondents 59.6 % had been promoted at least once, 17.5% twice and 10.4 % thrice in their careers. Notably, 11.5% had not been promoted since they got employed as they had not furthered their studies, which was the main reason for stagnating in the same grade.

4.2 Views of Respondents about Performance Appraisal

This was a multi-response idea therefore one respondent could indicate more than one option. 43.8% of the respondents viewed performance appraisal as a benefit to the University to improve its performance (organizational and individual). The remaining respondents, 56.2%, viewed it as an activity that the University carries out yearly to fulfil its performance contract requirement that is signed with the Government. Other respondents, (19.3%) said that performance appraisal was what made an individual strive to achieve goals that were set at the beginning of the year are achieved, for instance academic or professional training., According to 17.5% of the respondents, performance appraisal provided information of underperforming employees for help , in the identification of training and development needs.

Another 14.4% of the respondents indicated that performance contracting was used as a linkage between performance and reward. 9.6% of respondents said that performance appraisal was a system designed by management to identify those whom they did not like, 39.2% of the respondents said performance appraisal was nothing but a witch hunt.

A total of 24.8% of the respondents viewed performance appraisal as regular record of assessment of an employee's performance, their potential and development needs. Those who were of this view felt that each year the forms were distributed to staff to fill in their targets for the year. Whether the targets were met or not the supervisors did not make a follow up. In some cases targets set by the staff remained the same each successive year and this was not pointed out by their supervisors a point which raises concern about the seriousness of the exercise. They filled the appraisal forms as a routine. This view was more pronounced among low level respondents.

Most 59.7% of the respondents perceived performance appraisal as an opportunity to take an overall view of work content, its load and volume, what has been achieved during the reporting period and a time to agree on objectives for the next appraisal period. This way if workload was heavy then a request for more staff was made and similarly if workload was less then transfers were initiated.

A total of 14.3% of the respondents viewed performance appraisal as a structured formal interaction between a subordinate and supervisor, done annually in which the work performance of the subordinate was examined and discussed, with a view to identifying weaknesses and strengths as well as opportunities for improvement and skills development. In an ideal situation this was where corrections were made and staff encouraged furthering their studies professionally in order to perform better. This had made many staff take up evening classes at the University benefiting from Staff Support Programme where the University paid a percentage of tuition fees which vary yearly depending on the number of applicants. For instance, during 2011/2012 Academic Year, 18% of fees support was awarded to staff who had enrolled for studies at the University and applied for the support.

Only 11.7% of the respondents viewed performance appraisal as useful to Section Heads. They used it as a tool to motivate staff, giving opportunity for constructive feedback, a basis for agreeing on performance objectives and standards and strengthening personal relationships between the supervisor and staff. Supervisors

advised management to invest in training staff in their areas of specialization in order to improve on performance. For instance Information and Communication Technology (ICT) Section of the University, staff were taken to Britain to train to improve their performance. This way they were able to handle problems that occur with Student Management Information System (SMIS). This is a programme that enables administrative staff handle day to day student issues like updating examination results, course registration and payment of fees.

To some 5.5% of the respondents, there was tendency to remember more about recent events than events that occurred earlier. This led to supervisors victimising staff especially if performance appraisal was taking place soon after a staff had been disciplined for misbehaviour then automatically they were to be graded low by the supervisor. Also if the supervisor did not relate well with the subordinate, then he was be biased when they were appraising them. Respondents also noted that there was difficulty in accepting constructive criticism by the appraisee and appraiser. This was where the appraisee did not accept to be criticised by the supervisor when wrong and the appraiser did not allow criticism from appraisee.

48.4% of the respondents were of the view that problem areas be pointed out to the appraisees, this would help ratees improve their performance. This was unlike the way the results were being communicated to the appraisee for instance:” the performance was good and /or there was room for improvement”. This recommendation is repeated each successive year until respondents felt it was only dates that were changed.

A total of 59.7% of the respondents felt that performance appraisal was addressing issues not related to their day today duties as there was generalisation. Staff was evaluated together ignoring the fact that some staff could be in the same grade bracket but performing completely different duties that were not comparable in any way. Other respondents, 48.3%, observed that there was bias arising from personal characteristics like age, sex or race, bias arising from organizational characteristics like seniority there was general tendency evaluating everybody as ‘average and need for improvement’ yearly until they did not see the need of having it if the results

did not bring a visible change at their work stations. To most respondents, (44.7%), the performance appraisal was too generalised therefore they were sceptical of its value. They felt their contribution was not valued by the University and hence had negative perception of the performance appraisal process.

Performance appraisal involved the use of an appropriate instrument tailored to specific job category. Appraisees were sensitised in preparation for the exercise in a conducive environment. This way they did not feel intimidated. Clearly predetermined standards, objectives, goals and prompt feedback to the appraisees was organised. Its purpose to identify training needs, fill gaps in the required skills and hence improvement in the effectiveness and efficiency in service delivery. Some respondents had incorrect views of performance appraisal because of misinformation or rumours about the use of the findings of the exercise. This group of respondents required sensitization on performance appraisal. Results of the performance appraisal should not be biased to make staff feel victimised by their supervisors as a result of misunderstanding between them. Also when selection of staff for training to improve performance be done without discrimination to benefit staff of all cadres.

In conclusion, there was a difference in respondents' views about performance appraisal. It was clear that lower level staff had a misunderstanding and misconception of performance appraisal for instance they tended to view it as a management tool to supervise them, to meet targets of performance contract with the government and to deny them promotion. However senior staff had a more appropriate view of performance contract. That is why most senior staff at the University had enrolled for further studies to meet targets that they had enlisted in the performance contract. Ignorance and lower level of education had made staff vulnerable to rumours about the performance appraisal.

4.3 Extent to which Employees and Managers Understand Performance Appraisal in the University of Nairobi.

Some 42.4% of the respondents indicated that they did not understand performance appraisal as for them reward system of the University of Nairobi was not linked to it but to other considerations such as favouritism, political patronage, ethnicity among others. They came to this conclusion as their colleagues who were known to be none performers were allegedly promoted as they were in good working relationships with their supervisors or they were from the same tribe. Hence performance appraisal process was to be perceived positively and be successful only when the results were used for the intended purpose of improving employee performance and service delivery.

A total of 56.8% of the respondents showed that performance appraisal process targets be jointly set by staff and the supervisors to capture the expectations of the organization and the capability of employees. Plans which were made jointly by employees and supervisors had better chances of succeeding as compared to those independently made by either side.

Respondents from the management level, who were key informants in this study, understood that performance appraisal provided appropriate information to management, which led to appropriate action for improvement of organizational standards. The process facilitated in evaluation of employees' past or current performance relative to set standards. Therefore key informants had a more clear articulation of performance appraisal, they demonstrated a clear understanding of its purpose and processes and why it was important for the University.

The main reason for poor understanding of performance appraisal by lower level staff was partly attributed to the fact that the University did not prepare them in advance before the process. Asked whether the University management had a formal meeting with them to explain what performance appraisal was, why it was done and how it was done, 69.3% of the respondents said no such meeting ever took place; 30.7% of the respondents showed that in their sections such a meeting

took place in 2006 when Performance Appraisal was introduced at The University of Nairobi. Again for those who said a meeting had been attended and therefore no other meeting was called to update staff. From then onwards all information about performance appraisal had been about filling forms. Most respondents, 74.6%, said that most of the information they received or knew about performance appraisal was from co-workers who were themselves inappropriately informed about it. From the foregoing, it was clearly observed that the misinformation that low level staff had on performance appraisal was from informal sources, including rumours. Hence management needed to have formal and deliberate meetings with staff to clearly explain the concept and practice of performance appraisal in order for them to appreciate it.

In conclusion, the extent of understanding performance appraisal by University of Nairobi staff depended on their cadres. Those in higher cadres understood it while those in the lower cadres misunderstood it. Lower cadres understood it to benefit management or was used to settle scores with supervisors. In particular lower level staff demonstrated lack of information, incomplete information or inappropriate information. Their information was more based on hear-say from colleagues who themselves did not understand the process.

4.4 To assess the tool used in Performance Appraisal of employees in the University of Nairobi

The Staff Appraisal tool was Staff Performance Appraisal Form for staff in Grades either A-F organized in seven different parts. Part One Employee personal details was captured. Here they were to fill in name, personal number, designation, terms of service, date of appointment to current grade, acting appointment/special duty, College, Faculty/School/Centre/ Department, Years of service at the University, Years of service in equivalent profession elsewhere, Supervisor's name and Designation of Supervisor. Most respondents (80.6%) found this part easy to fill as it was straight forward regardless of their cadres required to fill for instance employees name, personal number and designation.

Part Two was labelled General Guidelines. In its Section A, it had definition of terms relevant to the performance appraisal, like who was a customer, supervisor, peer or what was leadership, interpersonal skills, weight, special duty, integrity and professional. This section was easy for respondents, just like Part One. Section B had Evaluation Guidelines on how rating was done. Section C was for General Rating Guidelines. The Rating was relative because it was not easy either to gauge a staff as being Outstanding, Exceeding Expectations, Meets Expectations, Below Expectations or Far Below Expectations. This confused peers as it was not easy to know whether to award Indicator Score of five points or four points. Staff in similar grades who were peers and paired by supervisors to evaluate each other, awarded maximum marks for each other. This way Performance Appraisal was not achieving its goal objectively.

Part Three dealt with Objectives for the Department and it was completed by Supervisor to the appraisee. Most respondents (46.7%) indicated that it was not fair as their input was not sought. They felt that management was achieving its objectives without involving them therefore, attaining their Performance Contractual Targets unfairly. Ideally Part Four was supposed to be discussed between the appraiser and appraisee. Most (67.4%) of respondents complained that after being paired with a colleague in the same grade by the supervisor, the peer was to fill what they imagined to be a target to be achieved by the partner. The supervisor did not mind how this happened, only concerned with the need to complete the exercise and forward the Performance Appraisal forms to the next stage for appropriate action.

Part Five Actual Staff Performance Evaluation. Most respondents (75.3%) especially in lower cadres showed that they were not proficient in filling this part. This is where services of staff who knew how to fill the forms appropriately came in handy. For them they did not mind what the award was, so long as the form was filled. What made it difficult to fill was how to calculate Raw Weighted Score (RWS) to be equal to $(\text{Supervisor weighted score} + \text{Total peer weighted score})$ over five, Attribute Weight (AWT), Mean Score equals $(\text{Total Raw Score} \div \text{number of indicators for the attribute})$. Final Weighted Score (FWS) equal $(\text{RWA} \times \text{AWT})$, Weighted Score equals to $\text{Mean Raw Score} \times \text{Weight}$.

Part Six entailed career Development Plan for the staff. This was supposed to be filled with consultation between the supervisor and the appraisee. 64.8% of the respondents indicated that instead supervisors requested them to fill this section on their own. At the end the aim of performance appraisal was not achieved as staff set easily achievable targets for themselves and not those that were to improve their job performance. As it had become the norm there are no staff that were taken for training by the University as a result of Performance Appraisal. This had led to staff to assume it as a routine exercise being carried out yearly.

Part Seven, was on Recommendations by the Supervisor and Deputy Vice Chancellor Administration and Finance on the appraisee on how they had performed in the Performance Appraisal exercise. Nearly all lower cadre staff (82.7%) complained that the recommendations were always the same each year. Most staff were recommended to have performed well and there was room for improvement. The room for “improvement” was not specified, nor was “performing well” defined.

Respondents had different responses regarding the format used in performance appraisal. Some (31.9%) of them agreed that the format was too technical therefore making it hard for them to understand it when they were being appraised or when they were appraising their colleagues in the section of peers. Some (29.75%) respondents strongly disagreed that the format was too technical. This group of respondents understood the language used and when evaluating their peers it was not technical for them. This was witnessed among senior staff who were directly handling Staff Appraisal process in the University. The ease of understanding of the format by senior staff demonstrated more understanding of Performance Appraisal.

Given the performance appraisal tool's complexity in understanding, 46.3% of respondents found it hard to fill the forms and regularly sought assistance of their colleagues who understand it better to fill them in on their behalf. According to respondents who understood people were assisted to fill the forms at a fee of Ksh.500 - 1,000/= depending on the client and agreement between the two parties. Therefore, performance appraisal had become a source of income for some staff as

they became too busy looking for clients during this period. Those with the skills to fill the Appraisal Form informed their clients to tell others of the availability of this service at a nominal fee. The information was spread across campuses to fill and be paid on the spot. In one case it was reported that one staff with the knowledge of how to fill the form often took leave during this period in order to concentrate on this business. It was said by one respondent close to this staff that he made about Ksh.30,000/= from this service. This was mainly evidenced among the lower cadre staff. They did not care what information their colleagues filled in the form. For them it was an exercise to fill the form and then return it to their supervisors for further processing.

A total of 17.4% of respondents strongly disagreed that the format was technical. This was mainly with staff in the administrative cadres as they were more enlightened. This was because as supervisors they evaluate staff who were directly under their supervision. Lastly, 3.6% of the respondents neither disagreed nor agreed. This was evident among lower cadre staff. This group did not care as for them Performance Appraisal was a routine and they did not care whether the format was technical and hard for them to understand. The above is described in the chart below.

Figure 4a: Opinions of Respondents about Staff Appraisal Form

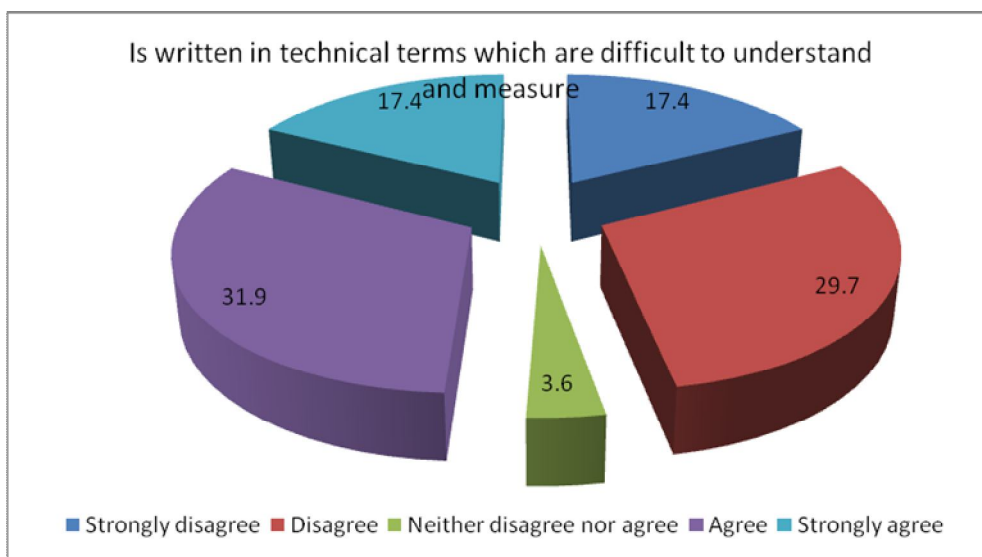
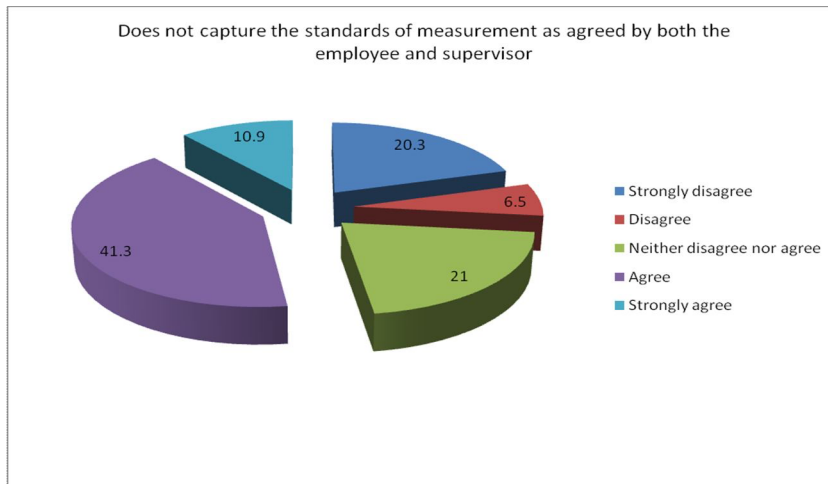


Figure 4b: Standards of Measurements by Performance Appraisal Form



The above chart shows respondents' opinions about capturing standards of measurements in an appraisal exercise. That performance appraisal format did not give room for disagreements. Some 10.9% of the respondents strongly agreed that the appraisal format did not capture what was initially agreed by the appraiser and the appraisee at the beginning of the appraisal period. This was due to failing to meet set targets which may not have been achieved due to unforeseen circumstances. The appraiser only marked either the targets set were met or not which but no explanation for either case. This was the opposite of 41.3% respondents who for them standards of measurements was good. These are respondents who did not set very high targets for the staff appraisal period which usually was at the beginning of the year. Therefore, by the time staff appraisal was done the respondents will have achieved those targets. Further all staff did not set similar targets therefore it was difficult to have uniform appraisal. To some staff their targets were clear for instance number of files processed but to others their targets were more qualitative, therefore more difficult to measure. For example it was easier to appraise a Filing Clerk based on number of files or admissions processed but it was difficult to assess a Security Officer since it is difficult to tell whether security improved or did not improve based on recorded incidents. Again it was difficult to

attribute such to a particular member of staff or collectively. Hence to most respondents lack standardization made Performance Appraisal tricky.

CHAPTER FIVE

SUMMARY, CONCLUSION AND RECOMMENDATIONS

5.0 Introduction

This section covers the summary, conclusion, recommendations of the study and suggestions for further research.

5.1 Summary

The researcher found out that the purpose of performance appraisal process at the University was not clearly articulated by the management and as a result the system was ineffective and negatively perceived by the employees.

The results of the study indicated that the various performance appraisal instruments from Part One to Part Four were easily understood by employees and they did not experience problems filling them. However Part Five was complicated for the respondents this was where some staff made an income by charging for filling in the forms for their colleagues. Performance standards were found not to be clear to most employees. Evidence indicate that in the absence of clearly predetermined standards, objectives and goals of the organization, performance results may not be used to identify training needs, skill gaps, improvement in work performance and service delivery.

It was clear from the study that performance appraisal instruments were not tailored to specific job categories. This led to the assessment of aspects of the job(s) which were not relevant to some individual employees. The performance appraisal instruments also did not give room to explanations about performance appraisal process. This was because after the performance appraisal exercise the information in the instrument was treated confidentially by the supervisors.

Also evident from the study was that feedback to appraises was not given promptly after Performance Appraisal exercise. This did not motivate employees to effectively perform their work. There were indications from the study that employees did not participate in designing and developing performance appraisal instruments. Though

the practice of evaluating staff performance had not been at the University for long, the continued exclusion of members of staff in designing and development of performance appraisal instruments could lead to apathy and hence lack of interest in the whole process.

5.2 Conclusion

The appraisal was an opportunity to take an overall view of work content, loads and volume, to look back on what had been achieved during the reporting period and agree objectives for the next. Performance appraisal regularly recorded an assessment of an employee's performance, potential and development needs.

At the University of Nairobi Performance Appraisal was started with the same objectives of evaluating staff performance, reviewing their achievement for the reporting period and agreeing on set targets. However, I conclude that it was yet to achieve the results for which it was started. Also it was yet to be embraced by most staff as they did not understand it clearly.

5.3 Recommendations

- (i) Many employees of the University of Nairobi did not have clear knowledge about the purpose of Performance Appraisal process. For it to be effective, employees should be appraised first on what the purpose of performance appraisal was, and use of the results obtained from the exercise. The training of both the appraisees and praisers on the importance of staff performance appraisal process was necessary so that both groups know what to expect of the performance appraisal process. The training of staff would also impact the right attitude towards the process.
- (ii) Performance appraisal standards were not clear to most employees. Performance Appraisal standards should be clearly set out so that the appraisees know the standards against which they were being rated, and equally the appraisers know the standards they were using to appraise staff. The management or, supervisors should set targets, and activities that need to be carried out so as to achieve the stated targets and the timeframe for accomplishing them (targets).

- (iii) The University of Nairobi operated in a changing environment which called for constant change in its mode of delivery of goods and services to its many stakeholders. The performance appraisal instruments used by the University should therefore to be revised with a view to tailoring each instrument to specific job categories.
- (iv) The appraisal performance process be linked to University reward system, and that areas where employees require improvement be pointed out by the management. This would lead to enhanced productivity and positive perception of performance appraisal process at the University. Feedback be given promptly to develop trust, positive perception and also reduce anxiety among employees during the exercise.
- (v) Feedback further be used to improve communication, identify problem areas, training needs and career development of the appraisees for effective performance and organizational development.

5.4 Suggestions for Further Research

The study dealt with the problem of employee perception of Performance Appraisal. This study being exploratory in nature has provided insights of factors influencing employee perception of Performance Appraisal.

The results of the study having been a case study cannot be fully conclusive to all other organizations operating in Kenyan economy, because of the different organizational culture that could be influencing employee perceptions of performance appraisal. Further study on organizations in different sectors of the economy would shade light as whether employees in other sectors have different perception of performance appraisal.

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APPENDIX 1

LETTER TO RESPONDENTS:

Dear Sir/Madam,

This questionnaire has been designed to gather information regarding employees opinion on Performance Appraisal. This information is to be used for my Research Project, a requirement for a Master of Arts in Sociology (Labour Relations Management), at The University of Nairobi.

You have been carefully selected to take part in this research Project. Please complete the questionnaire to the best of your knowledge. This information will be used for Academic purposes only. Any information given will be treated with strict confidence.

Thank you very much for the anticipated co-operation.

Yours Sincerely,
Lumiti Grace Mbunde

EMPLOYEE QUESTIONNAIRE

GENERAL INFORMATION

PART 1

1. Department

2. Gender
 - (a) Male ()
 - (b) Female ()

3. Age
 - (a) 21-30 ()
 - (b) 31-40 ()
 - (c) 41-50 ()
 - (d) 51 and above ()

4. How long have you worked at the University of Nairobi?
 - (a) Less than five years ()
 - (b) Between five and ten years ()
 - (c) Ten years and above ()

5. What is your highest academic attainment?
 - (a) Secondary ()
 - (b) College ()
 - (c) University ()
 - (d) Any other ()

6. Your marital status
 - (a) Married ()
 - (b) Single ()
 - (c) Widowed ()
 - (d) Divorced and separated ()
 - (e) Others specify ()

7. Have you been promoted since you joined University of Nairobi

- (a) Yes ()
(b) No ()

PART 2

For each of the following statements circle the number that best represents your feelings or opinion about performance appraisal.

Where 1 = Strongly disagree 2 = Disagree
3 = Neither disagree nor agree 4 = Agree 5 = Strongly agree

1. Performance appraisal form does not capture the actual performance.

(1) (2) (3) (4) (5)

2. Performance appraisal form measures items which are not related to performance.

(1) (2) (3) (4) (5)

3. Performance appraisal form is difficult to understand to fill.

(1) (2) (3) (4) (5)

4. Performance appraisal form does not capture the standards of measurement as agreed by both the employee and supervisor.

(1) (2) (3) (4) (5)

5. Performance appraisal form does not give room for disagreements

(1) (2) (3) (4) (5)

6. Performance appraisal form is written in technical terms which are difficult to understand and measure

(1) (2) (3) (4) (5)

PART 3

For each of the following statements cycle the number that best represents your feelings or opinion about performance appraisal interview.

Where 1 = Strongly disagree 2 = Disagree
3 = Neither disagree nor agree 4 = Agree 5 = Strongly agree

1. Performance appraisal interview is a waste of time.
(1) (2) (3) (4) (5)
2. Immediate supervisors carry out performance appraisal interview as a matter of routine.
(1) (2) (3) (4) (5)
3. Performance appraisal interview results are useless, they do not affect ones performance in any way.
(1) (2) (3) (4) (5)
4. Immediate supervisor award performance appraisal interview scores on basis of ethnicity and politics.
(1) (2) (3) (4) (5)
5. Individual personal relationship with immediate supervisor determines the score he/she gets in performance appraisal interview and not based on performance.
(1) (2) (3) (4) (5)
6. Performance appraisal interview scores are kept confidential from employees.
(1) (2) (3) (4) (5)

PART 4

For each of the following statements cycle the number that best represents your feelings or opinion about promotion and merit.

Where 1 = Strongly disagree 2 = Disagree
3 = Neither disagree nor agree 4 = Agree 5 = Strongly agree

1. Promotion is not based on performance.

(1) (2) (3) (4) (5)

2. In my opinion promotion are based on other considerations like ethnicity and politics.

(1) (2) (3) (4) (5)

3. Hard work does not assure one a promotion when an opportunity arises.

(1) (2) (3) (4) (5)

4. Promotions are based on academic, technical and professional qualifications and not on merit.

(1) (2) (3) (4) (5)

5. In my opinion promotion should be based on performance appraisal results promotion and not on interview.

(1) (2) (3) (4) (5)

PART 5

For each of the following questions please tick the box or fill the blank space as appropriate.

1. Are you satisfied with promotion on merit?

YES

NO

If NO, GO TO PART SIX

IF YES, PROCEED

If you are satisfied with promotion on merit which of the following reasons explain why (if some of the reasons, which explain why are not listed below, please write them in the space for "others".....)

Tick the bracket to indicate the reasons that explain your satisfaction

1. Promotion on merit encourages hard work ()

2. Promotion on merit is carried out in a fair and objective manner ()
3. Promotion on merit reduces time wasted on complaints about unfairness ()
4. Promotion on merit increases motivation and morale in organizations ()
5. Promotion on merit increases teamwork ()
6. Promotion on merit increases profitability through superior performance()
7. Others.....
.....

PART 6

If you are not satisfied with promotion on merit which of the following reasons explain why (if some of the reasons, which explain why are not listed below, please write them in the space for others).

1. Promotion on merit has demoralized employees ()
2. Promotion on merit is carried out in an unfair manner ()
3. Promotion on merit encourages individual loyalty instead of building teamwork ()
4. Promotion on merit favours those who are well connected politically to be disadvantage of hard working employees who are not politically connected ()

5. Promotion on merit encourages favouritism ()
6. Promotion on merit discourages hard work ()
7. Promotion on merit encourages tribalism and or “god fatherism” ()

PART 7

The following are recommendations suggested to make promotion on merit more efficient and acceptable to employees. Please tick the bracket to indicate the ones that you agree with (if some of the recommendations you wish to make are not included, please write them in space for others.....)

1. Employees should be trained on how to fill their performance appraisal form ()
2. Employees should be explained the use of performance appraisal results()
3. Performance appraisal form should be made as objective as possible ()
4. An independent forum to handle dispute arising from performance appraisal rating should be created ()
5. Employees should get immediate feedback about performance ()
6. The performance appraisal exercise should be open and carried out regularly ()
7. Others (please specify)

PART 8

1. What is your view on the current performance appraisal system at the University of Nairobi

a) I am strongly in favour of it ()

b) I am in favour of it ()

c) I am indifferent of it ()

d) I am against it ()

e) I am strongly against it ()

2. To what extent did the last performance appraisal exercise have any effect on your

a) Performance ()

b) Remarkable ()

c) Remarkable improvement ()

d) Slight improvement ()

e) Drastic change in performance ()

f) Made no difference ()

3. In your opinion who should set the performance target?

a) Appraiser ()

b) Appraisee ()

c) Both A and B ()

4. Who should evaluate performance?

a) Appraiser ()

b) Appraisee ()

c) Both A and B ()

KEY INFORMANT GUIDE

- When was the PA started
- How has it worked
- What challenges has it faced
- What preparedness did you make before you started
- What difficulties are being experienced
- How do you undertake the assessment
- How do you use the results of the assessment
- What are the noticeable benefits if any?