

**PERFORMANCE APPRAISAL IN THE MINISTRY OF PRIMARY AND SECONDARY  
EDUCATION: A CASE STUDY OF VAINONA HIGH SCHOOL IN HARARE, 2009-2016**

**BY**

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## **DEDICATION**

This study is dedicated to my beloved mother who is a pillar of my success in life as well as my three sisters, Avoid, Rukudzo, Tanaka and also my friends Partson and Zanele.

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## ABSTRACT

This research focused on performance appraisal in the Ministry of Primary and Secondary Education, with particular reference on Vainona High School. The study was promoted by the fact that teachers in Zimbabwe had problems with the system of performance appraisal being implemented, which was user-centred and top-down resulting in ineffective implementation. The inadequacies in the performance appraisal system were negatively affecting the morale of teachers thereby compromising teaching and learning. There were three specific research objectives. The first objective was to analyse the purpose and benefits of performance appraisal in the Ministry of Primary and Secondary Education. The second objective was to examine the factors that influence the effectiveness of performance appraisal at Vainona High School. The third objective was to interrogate the problems associated with performance appraisal at Vainona High School. This research applied the qualitative research approach because the issue of performance appraisal is subjective. The study was a case study of Vainona High School. The population was made up of the school head, deputy head, six heads of departments and 32 teachers at Vainona High School. The researcher used non-probability sampling techniques because of the time limitations for the study and that this type has lower costs compared to probability sampling. Data for this research was collected using in-depth interviews, focus group discussions, and documentary review. Data was analysed using thematic analysis and the findings of similar nature were then grouped together. The research found out that the performance appraisal system in the Ministry of Primary and Secondary Education was introduced in 2010 and the Public Service Commission (PSC), which is the government's employer, manages performance appraisal. There was lack of thorough understanding on the motive and benefits of performance appraisal because some participants at Vainona High School argued that the process is necessary, fair, and benefits the teachers and learners while others had contrasting views. The study showed that a number of factors influenced the success of performance appraisal and they include availability of resources, linkage between performance and rewards, provision of training to both the evaluators and the subordinates, and employee participation in the process. The respondents at Vainona High School opined that between the years 2009 and 2016, the performance appraisal system was bedevilled by a syndrome of problems, including lack of clarity of the appraisal document, absence of teacher consultation, absence of feedback, no relationship between performance appraisal, rewards, and promotions, high teacher-student ratio, and student factors like absenteeism. The study came up with a number of recommendations that could enhance the effectiveness of performance appraisal in the Ministry of Primary and Secondary Education. The first recommendation was the need for the Ministry of Primary and Secondary Education and the PSC to clarify the purpose of appraisal to the teachers. The second recommendation was that the PSC and the Ministry of Education should provide adequate training to the evaluators and the teachers. Another suggestion was that the Ministry of Primary and Secondary Education, which has expertise about educational issues, should be in charge of performance appraisal, not the Public Service Commission. The study also recommended that it was essential to link the results of appraisal with rewards and promotions. Outstanding performers should be rewarded for their efforts and there was need for performance related bonuses.

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## **LIST OF ACRONYMS**

<b>BARS:</b>	Behavioural Anchored Rating Scales
<b>BES:</b>	Behavioural Evaluation Scales
<b>BOS:</b>	Behaviour Observation Scales
<b>NC:</b>	New Curriculum
<b>OECD:</b>	Organisation for Economic Cooperation and Development
<b>PLD:</b>	Professional Learning and Development
<b>PSC:</b>	Public Service Commission
<b>RBM:</b>	Results Based Management

## **CHAPTER ONE**

### **INTRODUCTION**

#### **1.1 Background to the Study**

According to Toppo and Prusty (2012:1), in a casual sense, performance appraisal is as old as humankind itself. Despite the fact that it was not called performance examination, the Bible has numerous illustrations where the assessment of individual performance was an essential issue. “The Lord has filled him (Bezalel) with the soul of God, in insight and comprehension, in information and all way of workmanship to plan imaginative works, to work in gold and silver and bronze, in cutting wood, and to work in all way of masterful workmanship” (Exodus, 35:31-3). In this occasion, Moses chose men who were known to be most talented experts from the tribes of Israel to manufacture and outfit the sanctuary (tabernacle) of the Lord in around 1350 BC (Wiese and Buckley 1998:233).

In a formal sense, performance appraisal of an individual started in the Wei Dynasty (A.D. 261-265) in China, where an Imperial Rater examination of the execution of individuals from the ruling family (Monappa and Mirza, 1997:131). In addition, in 1648 it was accounted for that the Dublin (Ireland) Evening Post assessed officials by utilising a rating scale in light of individual qualities (Toppo and Prusty, 2012:1). In 1800s, the New York City Civil Service in USA presented a formal examination program shortly before First World War. In any case, formal examination and performance appraisal of employees is accepted to have been begun during the First World War, when at the occasion of Walter Dill Scatt, the US Army: embraced the ‘man-to-man’ rating framework for assessing military personnel (Ibid: 1). This early worker’s examination framework was called ‘merit rating’. From the armed force, this idea entered the business field and was limited to hourly-paid workers and specialists. Amid the 1920s, social wage structures for hourly-paid labourers were received in modern units and every specialist was evaluated in comparison with the others for deciding pay rates.

In the 1940s, behavioural strategies were produced utilising a motivational approach. These included behavioural anchored rating scales (BARS), behavioural observation (perception) scales (BOS), behavioural evaluation (assessment) scales (BES), critical incident or basic occurrence, and employment simulation and reproduction. The Post-1945 era crystallized into the outcomes situated methodologies (results oriented approaches) and prompted the improvement of management by objectives concept (Prowse and Prowse, 2009:69). In the 1960s the development of self-examination by discussion prompted particular time and open door for the appraisee to assess their performance and execution during the meetings with their superiors. In the 1990s the 360-degree evaluation was established, where appraisal data was collected from a more extensive scope of sources and the feedback was no longer reliant on the superior-subordinate power relationship but included groups assessing the performance of line managers and peers (Toppo and Prusty, 2012:1).

Performance appraisal has undergone tremendous changes (Toppo and Prusty, 2012:1). According to Andringa (2009:11), since the 1980s there has been an unprecedented era of educational reform across the globe. In the education sector, schools, and other educational institutions around the world, have experienced a time of unprecedented “government intervention in terms of the curriculum that is taught and the ways in which educational establishments are monitored” (Brundett and Rhodes, 2011:1). The notions of quality and accountability in schools have been at the forefront of this educational reform. Mausethagen (2013:16), in a study related to this increased focus on accountability within the educational context and the associated impact on teacher relationships, found that there were two key factors that led to these significant changes in educational policy relating to teacher accountability around the world.

Since the 1990s, the OECD has produced many documents and reports relating to the educational policy reforms around the world. Mausethagen (2013:18) recognises the significance of these reports and explains that “the OECD plays an important role in legitimising new initiatives in national policy development”. In the context of performance appraisal, the policy changes now focus on the performance of the learners (ibid, 2013:18). Schraeder, Bectom, and Portis, 2007:21) concur stating that schools were becoming market driven environments where there was a changing ideology and discourse of schooling (where students=customers; teachers=producers;

and learning=outcomes). There is a move towards centralisation of authority while giving the impressions of decentralisation and handing control down locally. The perception of teachers' work is also changing and being promoted as deliverers of knowledge, testers of learning and pedagogical technicians.

## **1.2 Statement of the Problem**

Teachers in Zimbabwe have problems with the system of performance appraisal being implemented. It is argued that the performance appraisal system is user-centred and top-down that results in ineffective implementation. The inadequacies in the performance appraisal system are negatively affecting the morale of teachers thereby compromising teaching and learning. The performance appraisal system comprises the work of the teachers because they will be following what the headmasters want.

## **1.3 Objectives of the Study**

This study seeks to examine the significance of performance appraisal in the Ministry of Primary and Secondary Education. Specific objectives are as follows:

- To analyse the purpose and benefits of performance appraisal in the Ministry of Primary and Secondary Education;
- To examine the factors that influence the effectiveness of performance appraisal at Vainona High School; and
- To interrogate the problems associated with performance appraisal at Vainona High School.

## **1.4 Research Questions**

The major research question in this study is; 'What is the significance of performance appraisal in the Ministry of Primary and Secondary Education. The sub-questions are as follows:

- What are the purposes and benefits of performance appraisal in the Ministry of Primary and Secondary Education?
- What factors influence the effectiveness of performance appraisal at Vainona High School?
- What problems are associated with performance appraisal at Vainona High School?

## **1.5 Hypothesis**

Performance appraisal is essential for facilitating effective teaching and learning in high schools.

## **1.6 Justification of the Study**

This study contributes to literature. Although there has been a myriad of studies undertaken on performance appraisal in education (Andringa, 2009, Brundett and Rhodes, 2011, Forrester, 2011, and Mausethagen, 2013), its application in a high schools in Zimbabwe has rarely been undertaken. In addition, there are a myriad of challenges associated with the process of performance appraisal, which are well documented (Codd, 2005:194; Andringa, 2009:11; Cardno, 2012:73; and Longenecker and Fink, 2007:45). In addition, authorities like Horne and Pierre (2013:34) also criticised performance appraisal systems in education as being user centered as it was a reflection of the different and authoritarian approaches used. These studies were done outside Zimbabwe and this research focuses on the Zimbabwean situation. It seeks to contribute to policy by highlighting the weaknesses and strategies that can be used by the Ministry of Primary and Secondary Education to enhance the system of performance appraisal. The study aimed to propose a new performance appraisal system that is user-friendly to the teachers and that can improve performance. Thus, the study contributes to theory and practice in the field of public administration. In addition, in the end, the study could be used as an eye opener or a stepping stone by future researchers on the issue of performance appraisal since it is an explanatory study.

## **1.7 Delimitation of the Study**

This study is confined to the examination of the benefits of conducting performance appraisal in the Ministry of Primary and Secondary Education, with particular reference to Vainona High School in Harare. The study also examines the factors that influence the effectiveness of performance appraisal in schools, interrogates the problems associated with performance appraisal in high schools and proposes the options for enhancing performance appraisal at Vainona High School. Data shall be collected from the headmasters, heads of department, and teachers at Vainona High School. The study period is from 2009 to 2016.

## **1.8 Limitations of the Study**

The first limitation could be that of sensitivity of the issue of performance appraisal and participants, especially teachers, heads of department and the headmaster, may be unwilling to share 'confidential' information. The researcher shall make use of 'informal' channels

(educational administrators and teachers she know) in order to obtain authority to do the research. Another limitation could be that some respondents may not be readily available for interviews and completion of questionnaires due to work commitments. To overcome the limitation appointments are going to be made with the participants. The third limitation is that this research is a case study of Vainona High School and it may not be generally applicable to other high schools in Zimbabwe. To overcome the limitation, the researcher shall make use of secondary data when discussing the findings and making recommendations.

## **CHAPTER TWO**

### **LITERATURE REVIEW**

#### **2.1 Introduction**

This chapter presents theoretical and empirical literature review. There are two theories in the study, which are the path-goal theory and Maslow's hierarchy of needs. In conceptual literature review, focus is on the definition of performance appraisal, the purpose of performance appraisal, and challenges associated with performance appraisal. There is also review of literature on the factors that influence the success of performance appraisal, and the options for enhancing effectiveness of the process. The chapter winds up by reviewing studies that were conducted on performance appraisal in five countries.

#### **2.2 Theoretical Framework**

This study applies the Path-Goal Theory of leadership and Maslow's Hierarchy of Needs in order to examine performance appraisal at Vainona High School. There is also a discussion of Vroom's Expectancy Theory.

##### **2.2.1 Path-Goal Theory**

The theory was developed by Evans (1970) and further advanced by House (1971). According to Knight, Shteynberg, and Hanges (2011:1164), Path-Goal Theory of leadership begun during the 1960s, when the leadership researchers basically centered around distinguishing the practices of powerful and effective leaders. Albeit numerous particular practices were distinguished by specialists and researchers at the University of Michigan and the Ohio State University, they freely characterised these practices into two general classifications, starting (initiating) structure and thought. Starting structure, including production-focused leader practices, alludes to leadership behaviours that clarify and clear up performance expectations for subordinates. Cases of initiating structure would be the leader executing a formal performance appraisal framework or the leader defining particular performance and execution objectives (ibid: 1164).

The path-goal theory is because a leader exhibits behaviour that best fits the employee and the work environment in order to achieve organisational goals (Northouse, 2013:2). In similar vein, Lord, Hanges, and Godfrey (2003:21) argue that it is essential for leaders to ensure that the work

environment and appraisal systems are conducive for employees to be productive. This is because subordinates are assumed to behave in a rational, self-serving manner. Sometimes, people are uncomfortable, experience stress in ambiguous situations and the devise ways of reducing the confusion. According to House (1996:324), the performance, satisfaction, and motivation of a group can be affected by the leader in a number of ways. Offering rewards for the achievement of performance goals, clarifying paths towards these goals, and removing performance obstacles (House, 1996:324).

There are three major steps in the Path-Goal theory (Greenberg and Baron, 2003:185). Firstly, there is the determination of the employee and the environmental characteristics. Secondly, there is the selection of the leadership style. Finally, there is focus on the motivational factors that will help the employee to succeed. The Path-Goal theory is applicable in this research because it is based on Vroom's (1964) expectancy theory in which an individual will act in a certain way based on the expectation that that act will be followed by a given outcome. Therefore, the performance of teachers at Vainona High School could be influenced by the performance appraisal. If performance appraisal systems have implications on remuneration, promotion, and personal advancement both the superiors and the teachers would take the process seriously.

### **2.2.2 Maslow's Hierarchy of Needs**

According to Kaur (2013:1061), the '*Motivation to Work*', text that was published by Maslow likely gave the field of organisational behaviour and administration with another method for taking a new way of looking employees' jobs and practices. Most likely, the best known conceptualisation of human needs in organisation was proposed by Maslow. Abraham Maslow was a clinical analyst who presented his theory in light of individual judgment, which was for the most part known as the need hierarchy theory. As per the argument by Maslow, if individuals are developed in a domain in which their requirements are not met, they will be probably not going to work as solid people or composed people (Kaur, 2013:1061).

Particularly Maslow theorised that individuals have five types needs and that these are activated in a hierarchical way. This implies these needs and necessities are excited in a particular request from least to most noteworthy, with the end goal that the least need must be satisfied before the following need is activated and the procedure continues (Jerome, 2013:40). Also, according to

Maslow, once a need have been satisfied, it ceases to become a motivator; hence managers should be aware of the needs of a particular class employees. Maslow’s hierarchy of needs is illustrated in Table 2.1.

**Table 2.1: Maslow’s Hierarchy of Needs**

			<b>Esteem Needs</b>	<b>Self -Actualisation Needs</b>
		<b>Social Needs</b>	Need for recognition, praise and achievement	Need for power and be on top of the situation. The desire for self-fulfilment
	<b>Safety and Security Needs</b>	Need for belonging and for social interactivity		
<b>Physiological Needs</b>	Need for food, shelter and clothing	Need for employment security and safe working environment		

**Source: Kasambira (1998:21)**

Maslow’s Hierarchy of needs is applicable to this study because the educational leaders need to be aware of the needs of teachers when they are designing and implementing performance appraisal systems. Teachers may have different needs, which affect their performance and these differences in needs should be considered during performance appraisal. The hierarchy of needs theory is also relevant to this study because the theory is applicable to organisational performance and employee motivation (Greenberg and Baron, 2003:193). The theory is able to suggest how managers can lead their employees or subordinates to become self-actualised. The idea implies the dual role of the theory first to organisations and second to employees. Both the organisation and the employees must decide on the performance of their organisation, and that when employees put in their best in the service of the organisation, the culture and human resource practice should also ensure that the employees’ level of needs are reflected in the values the organisation holds with high esteem (Greenberg and Baron, 2003:193).

### **2.2.3 Vroom’s Expectancy Theory**

The theoretical understanding of the employee appraisal process digs deeper than record auditing (Armstrong, 2008: 86). Performance evaluations serve as a vital component, one that is of interest

to both the organization and the employee (Namuddu, 2010:5). From the organisational perspective, sound performance appraisals can ensure that the correct work is being done and assists in meeting departmental goals. In a simplistic rendition, each employees work should support the activities on his or her boss' performance objectives. Ultimately, Vroom's (1964) expectancy theory of motivation proposes that behaviour results from conscious choices among alternatives whose purpose is to maximize pleasure and minimise pain. Vroom's theory suggests that the individual (employee) will consider outcomes associated with various levels of performance and choose to pursue the level that generates the greatest reward for him or her.

Under the expectancy component of the theory, a person's belief about whether or not a particular job performance is attainable depends highly on the ability of the organisation to develop an appraisal mechanism based on merit and transparent enough to be trusted by the employees. An employee will be motivated to try a task if s/he believes that it can be done. Following the instrumentality component, an employee who believes that a high level of performance will be instrumental for the acquisition of outcomes which may be gratifying will place a high value on performing well. According to Prowse and Prowse (2009:70), the valence component refers to the emotional orientations employees hold with respect to outcomes (rewards) and development (promotions).

Performance is therefore a vital component of the expectancy theory as it is concerned with the linkage between effort, performance, and rewards. In essence of this study, Vroom's (1964) expectancy theory underscores the importance of (in terms of appraisal) not focusing on only one element of evaluation but rather a combination of elements that best evaluate an individual. Indeed the expectancy theory propounds the focus on valance, expectation and instrumentality where all those elements may be captured in designing an effective evaluation rather than assuming that the 'money' element is the intended expectation (in terms of the teacher/employee) and reward (in terms of the Administration) as an end for the appraisal process.

## **2.2 Conceptual Framework**

### **2.2.1 Definition of Performance Appraisal**

Performance appraisal is about examining the work of employees for a given period of time (Fletcher, 2001:476). From the organisation's viewpoint, an important reason for performance

appraisal is the principle of accountability of its employees. Responsibility and accountability must be aligned at every level of the organisation, and performance appraisal encourages this behaviour. Non-alignment happens when employees are assigned tasks, but are not held accountable for the fulfilment of these tasks. From a different perspective, Bolam (2002:104) suggest that performance evaluation “ensures a responsible, serious, and well-managed image. Its widespread use persists largely for symbolic reasons.” It suggests that an institution takes goals seriously, and is concerned about its performance and the performance of its employees.

## **2.2.2 Purpose of Performance Appraisal**

Performance appraisal is an unavoidable element of organisational life and there are many decisions in modern institutions that depend on performance appraisals (Andrigan, 2009:10; Youngs and Grootenboer, 2003:77). Similarly, Sinnema and Robinson (2007:319) argue that performance appraisals are widely used in most organisations and are an important piece of the process by which organisations attempt to direct themselves and they have been considered a key component in the success of institutions (Grote, 2002:20; Rasch, 2004:408).

### ***2.2.2.1 Organisational Performance and Personal Development***

According to Forrester (2011:5), performance appraisal for individuals/enterprises is a management function, which gauge performance climate using a compensation system providing fair and reasonable compensation for this performance. The two (performance appraisal and compensation) have a bearing on employee motivation to achieve company long-term goals. Performance appraisal responsibility rests with management, with the final method for performance appraisal being vested in by top management. Grote (2002:34) identified a number of purposes of performance appraisal, which include providing feedback to the subordinates pertaining to their performance, making decisions about remuneration, and to make promotion decisions. Furthermore, the purpose of performance appraisal in schools can be explained through two models. The first model is the accountability model, which focuses on accountability and summative function (Grote, 2002:30). Table 2.2 shows the stages in appraisal with reference to the accountability model.

**Table 2.2: The Stages in Appraisal Process: Accountability Model**

<b>Beginning of year: Pre-appraisal Interview</b>	<b>Collection of Data on Performance through</b>	<b>Appraisal Interview</b>	<b>End of School year Review/Complaints</b>
There is a meeting between a superior and a subordinate. The purpose is to set the performance targets.	During the year, there is observation of the teaching and learning processes. The superiors do checks on the tests that are given to the students.	There is a meeting to between the superior and teacher to discuss the successes and challenges during the year. Options for improvement are provided.	The is review of appraisal results by the School and Ministry officials. Any complaints are addressed.

**Source: Grote (2002:30)**

The second model is the professional development model. The characteristics of the professional development model are that the appraisal focuses on professional development/improvement, the appraiser does not need to be of a higher rank, and the areas of appraisal can be agreed between the appraiser and the appraisee (Grote, 2002:31). Table 2.3 shows the stages in the appraisal process concerning the professional development model.

**Table 2.3: Stages in Appraisal: Professional Development Model**

<b>Beginning of year: Pre-appraisal Interview</b>	<b>Collection of Data on Performance through</b>	<b>Appraisal Interview</b>	<b>End of School year Review/Complaints</b>
There is meeting between a superior and subordinate to discuss the targets to be met.	A number of appraisal are done. There is self, peer, and superior appraisal. The teaching materials like students' work are also used.	There is discussion of the results. The teacher is assisted to address his/her mistakes.	The school head reviews the appraisal report. The school should establish a complaint mechanism so that the appraisee can air his/her grievances to the school head/SMC through proper channels.

**Source: Grote (2002:31)**

### ***2.2.2.2 Employee Motivation and Improvement of Working Conditions***

According to Armstrong (2008:66), performance appraisal helps to identify the outstanding performers and to give them remuneration in line with their efforts. If performance is linked with performance, there is motivation of the employees (Brundett and Rhodes, 2011:4). Another important purpose of performance appraisal included within the integrated appraisal model is 'teacher development' (Boswell and Boudreau, 2000:285). Teacher development "is widely

accepted as fundamental to the improvement of organisational performance and, therefore, is a core task of management and leadership” (Bolam, 2002:103). From a leadership point of view, teacher development is about providing staff with the opportunity to reflect, grow and learn so they have the greatest impact on student achievement as possible. This is a challenge in an “ever-changing world but educators themselves have to continue learning in order to fulfil their tasks with a sense of efficacy” (Codd, 2005:197). Therefore, it is essential that teachers participate in professional development.

In education, the term ‘professional development’ has been used as a “catch-all phrase for the various training courses and initiatives used to extend teachers’ knowledge and practice. While this term is still prevalent, it is often used in conjunction with the term ‘professional learning.’ Professional learning is a broader concept that refers to what teachers have gained from their formal professional development, while acknowledging that teachers also acquire knowledge and understanding in informal ways. Teachers get better at teaching through various formal and informal forms of feedback, professional dialogue, reflection and action. The phrase ‘Professional learning and development’ (PLD), captures this complexity and reflects the diverse ways in which teachers develop their skills, abilities, and approaches for the benefit of students. The key words associated with teacher development are learning, growth, reflection, and improvement.

In reality, teachers are working in cultures more focussed around performativity and managerialism. This means that teachers are being subjected to tighter control by outsiders, more efficient forms of accountability, more sophisticated surveillance of outcomes, and greater reliance on measures of competence and performance (Codd, 2005:193; Forrester, 2011:6). This is closely linked to the perceived notion of substandard teaching and the resulting public perception that the imposition of benchmarks, objectives and accountability as the solution, is a threat to the teaching profession (Fitzgerald, 2008:113; Forrester, 2011:8). Fitzgerald (2008:113) refers to this as the “erosion of trust in teachers and their professional knowledge, autonomy and expertise”. This type of control over teachers can have a negative effect on performance appraisal.

Robinson, Hohepa, and Lloyd (2009:15) identify the preceding factors effects as defensive routines such as resistance, non-compliance and avoidance. Coupled with these are the concepts of cynicism and controlling relationships between staff. Perillo (2006:369) suggests that these controlling relationships are in direct conflict with the notion of collaboration and internal commitment, which are essential elements of effective performance appraisal. The global discourse around education, with particular focus on the concepts of performance appraisal and teacher accountability, has impacted heavily on schools through the major changes in policy and practice (Murphy and Cleveland, 2009:4). One such impact is the notion of teacher professionalism and how teachers are perceived in the education setting. Teacher professionalism and the challenges of maintaining this in the current political environment of accountability is summarised by O'Neill and Scrivens (2005:1996:191) who state that the teachers' efforts needs to be acknowledged and this will make them strive to do better in the future.

Teacher professionalism is an important concept that must be addressed in schools. A culture of professionalism emphasises practice more than outcomes and has a more open-ended method to curriculum design, allowing unexpected results to surface and the growth of diverse human aptitudes such as creativity, imagination and critical thinking (Codd, 2005:195). This professional approach is based around cooperation, reciprocity, trust and shared respect between colleagues (Youngs and Grootenboer, 2003:78). If this approach is developed and fostered within a school culture, the quality of the education can be enhanced, as teachers are empowered and become deliberate and proficient learners. Therefore, educational leaders need to foster teacher autonomy and encourage the development of a more self-reflective culture within a framework of teacher collaboration. This relates directly to the notion of reflective practice and self-development.

Moreover, with the implementation of performance appraisal in educational institutions there has been an increase in professional accountability and a greater emphasis on control mechanisms. However, one question remains unanswered: "Will teachers see this as a regime of managerial control or as occupational empowerment?" (O'Neill and Scrivens, 2005:191). In summary, education has changed dramatically in the last 30 years throughout the world. Education has undergone major policy change since the 1980s and, as stated earlier, there have been challenges to successfully implementing these changes, especially in the implementation of performance appraisal.

### **2.2.3 The Advantages of Performance Appraisal**

Teacher appraisal is a mechanism for improving teaching and learning (Toppo and Prusty, 2012:6). In addition, Samuel (2013:1) points out that performance appraisal is a tool used by organisations to assess an employee's performance against standards or objectives set by the organisation. It helps to improve the performance of individual and organisation by increasing productivity, quality of performance and encouraging positive work attitudes from workers to be in line with organisation's objectives, plans, and method of working. Organisations benefit from appraisal in a number of ways. These include facilitating recognition, and stimulation of hidden talents, enabling the management to know the employee within the organisation, and enabling the management to become aware of the strength, and weakness of its staffs (ibid: 2). More so, performance appraisal provides accumulated records from which personnel decision may be base, helps to improve relation between management, and staff. Finally, Andringa (2009:21) states that appraisal helps to evaluate training needs, and determine the equitability of compensation package.

### **2.2.4 Challenges Associated with Performance Appraisal**

There are a myriad of challenges associated with the process of performance appraisal. The challenges associated with the design, implementation, and functional use of appraisal systems are well documented, and they continue to be frustrating to both academics and practitioners (Codd, 2005:194). In one review of appraisal literature, the authors found that regardless of an appraisal program's stated purpose, there were few studies that showed positive effects (Andringa, 2009:11; Cardno, 2012:73). Moreover, in a study of 243 managers from 25 Fortune 1000 service and manufacturing companies, 76% of the managers said they were less than satisfied with the performance appraisal process (Longenecker and Fink, 2007:45).

Authorities like Horne and Pierre (2013:34) and Mwangu (2013:34) also criticised performance appraisal systems in education as being user centered as it was a reflection of the different and authoritarian approaches used. In some cases, the ratings are never shown to the teachers while on other instances the rating scales are not acceptable. The actual scores recorded are seldom revealed concerning the validation of the evaluation report as a result the teachers felt that their integrity was attacked and they were dehumanised which led to the eroding of their status as professionals. They are prescribed top down approaches, which constrained self-development collaborative discourse and self-reflection (Horne and Pierre, 2013:34).

Moreover, it is in the administration of appraisals that problems emerge that might be detrimental to the performance of the workers. While organizations may seek to make performance evaluation process free from personal biases, prejudices, and idiosyncrasies, a number of potential problems creep into the process. Performance management could emanate from the evaluator namely; the halo effect, central tendency and strictness or leniency, irregular or unscheduled performance appraisal sessions and personal bias. One employee might be rated in a contrasting manner by two different evaluators due this type of error. The correct rate of the employee might not be established if two evaluators are used. This might lead to disputes between evaluators and employees (Armstrong, 2008:82).

Evaluators might also be influenced by their personality. They might highly regard the trait they possess. If someone regards himself/ herself as a hard-worker he/she might rate all hard-workers as good performers. Any employee who does not possess such trait might be negatively rated. There might be halo effect especially when an employee is rated based on traits. The halo error occurs when an evaluator regards certain traits as very important for employee performance. If an employee is a good team player, reliable and loyal might be regarded as a good performer. However, scoring high on these traits might not mean that an individual is a good performer. It is also not widely agreed what 'loyalty' and 'good team player' means. It depends on the evaluator. This might create a problem where employee feel that there are being underrated and are not fully recognized. This negatively affects the performance of the employee (Greenburg and Baron, 2003:192).

In addition, Armstrong (2008:99) points out that there are other evaluators who do not use the whole scale, 'low differentiation' and some who use all or most of the scale 'high differentiators'. The two types might give different ratings on the same person. This might also lead to conflict between evaluators and employee. The integrity of the evaluation process might be questioned because of these two conflicting results. Low differentiators usually give lower ratings than higher differentiators. Evaluation process might be done to match a management decision already made, for instance where high performance is ascribed to senior employees. This give rise to biased ratings. In this instance, information is forced to match non-performance criteria. Organisations might use multiple evaluators to counter some of these errors and send evaluators

to short refresher courses. However, some organizations might lack financial resources and time to effectively deal with problem so they might live with it (Greenburg and Baron, 2003:198).

Finally, there has been considerable research concerning the use of performance appraisal for multiple uses (evaluative and developmental). The question being asked is whether or not performance appraisal can be used simultaneously for both evaluative purposes and for developmental purposes. The results have often yielded conflicting findings and conclusions (Boswell and Boudreau, 2002:292). Some research has indicated that the developmental and evaluative uses of performance appraisal are incompatible and should not be used together, while other research has indicated there is either no correlation, or a slight positive correlation, when they are used together. The above studies suggest that although performance appraisal may have widespread usage, there is much dissatisfaction and frustration by current users of these systems. There is ongoing debate among practitioners, academicians, and scholars concerning the actual effectiveness of performance appraisal (Schraeder, Becton, and Portis, 2007:26). These studies serve to succinctly illustrate some of the controversies surrounding this topic.

### **2.2.5 Factors that Influence the Success of Performance Appraisal**

Several factors, including the nature of leadership influences the success of performance appraisal. The role of an educational leader is complex and fraught with both external and internal challenges on a daily basis. O'Neill and Scrivens (2005:189) state that school leaders increasingly work in a political context in which external 'restructuring' changes, initiated by national, state or local authorities to raise standards of achievements, exert priority over their own vision of desirable improvements. Bolam (2002:103) concurs, stating that a leader's dilemma "is how to balance and in fact manage the implementation of an often onerous external change agenda, while simultaneously trying to promote school-initiated improvement and the associated professional development". The key consideration for educational leaders when managing the process of performance appraisal is to ensure that organisational processes are "designed in ways that align with, and support, the goal of instructional improvement" (Sinnema and Robinson, 2007: 321). If this occurs, it would be expected that the external demands, such as raising student achievement against standards would be a by-product of improved teacher practice and on-going development.

A key role of the educational leader is to establish and sustain the professional learning culture in their school. Schools are learning communities and therefore need to have a learning culture so all stakeholders see the potential to grow. Robinson *et al.*, (2009:283) describe a learning culture as “an organisational climate that nurtures learning through putting in place the infrastructure and conditions that people need to continually enhance their capabilities”. Cardno (2012:79) explain that if well-established policy and procedures for performance appraisal are in place, the appraisal system can contribute to the learning culture of the school.

Another key consideration when establishing a learning culture is ‘professional dialogue’ (Bolam, 2002:103). Professional dialogue is discussion between staff, which is a daily occurrence within an educational setting. Whether it is setting goals, reviewing curriculum, discussing data, or sharing information about current teaching issues, there is professional dialogue between staff. Successful educational leaders provide opportunities to focus on professional dialogue between staff. Active participation in this dialogue by the educational leader may come in the form of a one-to-one meeting with a teacher about classroom observations or about educational topics in general. It may be in the small groups where a particular curriculum area is being discussed or even as a whole staff for such issues as policy changes from the government. This discussion needs to be a focus within a school and an effective leader will need to build a culture of high trust and collegiality (Armstrong, 2008:99).

In addition, teachers can often feel isolated within their own classroom and professional dialogue with peers, whether it be formal or informal can be extremely beneficial. Southworth (2004:184) states that “professional dialogue and discussions are important because they develop shared knowledge, common meanings and deeper understandings about classroom practice. Having opportunities to talk about learning is vital to professional growth”. Effective leaders have the ability to engage in dialogue with teachers that promotes reflection and leads to professional growth. This is a skill that must be practiced and used regularly. As with all facets of education, the goal must be improved outcomes for students, and providing opportunities for professional dialogue can be no different. This helps to develop a learning culture that will include such features as life-long learners and staff with positive attitudes towards personal growth (Bolam, 2002:103).

Educational leaders should also maintain a focus on improving teaching and learning (Cardno, 2012:79). This focus is on providing opportunities for the teachers to develop their personal teaching abilities (Sinnema and Robinson, 2007:388). Murphy and Cleveland (2009:9) agree suggesting that there is a need to provide opportunities for teachers to engage in professional dialogue, which is focused around improved student outcomes. This type of development can “link theory and practice that is content-based and student-centred, which engages teachers in the analysis of teaching” (ibid: 9). The dialogue can lead to a deeper understanding and appreciation of current classroom practice and teaching programmes. This focus on teaching and learning can also provide educational leaders with an opportunity to work with teachers both in and out of the classroom.

Robinson *et al.*, (2009:21) agree with the view of educational leaders understanding the importance of what is actually happening in the classroom (through observations), as well as focusing on developing teaching and learning by working with teachers and providing a variety of opportunities for reflection. Forester (2011:10) identify that teachers appreciate feedback provided by principals when they visit classrooms, noting that it was useful. Blase and Blase (2000:133-134) note that useful principal feedback “focused on observed classroom behaviour, was specific, expressed caring and interest, provided praise, established a problem-solving orientation, responded to concerns about students, and stressed the principal’s availability for follow-up talk”. Effective leaders must focus on continually developing the teaching ability of their staff. Maintaining the focus on improving learning for teachers is essential if the desired outcome of improved student outcomes is to be achieved (Sinnema and Robinson, 2007:325).

#### **2.2.6 Options for Enhancing Effectiveness of Performance Appraisal**

In order that performance appraisal system can achieve its intended purpose, steps must be taken to ensure that all the pre-requisites that make it effective are adhered to. These include ensuring clarity about the purpose of appraisal, having a clear performance criteria, and linking appraisal with organisational objectives. There is also a need for continuous appraisal and feedback, effective interaction during appraisal, reflection, and goal setting, and applying the management by objectives (MBO) principle.

#### ***2.2.6.1 Clarity about the purpose of appraisal***

According to Reardon (2013:34), clarity about the purpose and therefore implementation of performance appraisal is essential. All too often initiatives are adopted in good faith but come across as misguided and demeaning, constrained by political agendas and extant discourse. The development of systemic approaches is required; one that approximates best practice and seeks to develop a collaborative professional culture that facilitates the ongoing refinement of effective teaching is required (ibid: 34).

#### ***2.2.6.2 Clear performance criteria***

Clear performance criteria must be set. Longenecker, (1997:13) intimated that appraising employee performance is destined to fail without having clearly established performance criteria by which to judge their performance. If ambiguity surrounds the job description, goals, traits or behaviours that will be the basis for the evaluation, the process is bound to fail. Communication is an important part of the process. An effective two-way communication, which outlines the desired behaviour or the expected results, should be communicated to the employees as well as the evaluators.

#### ***2.2.6.3 Linking performance appraisal with organisational objectives***

Performance appraisal should be related to the strategic objectives of the organisation. The standard should include the whole range of the employee's responsibilities. The process of performance appraisal must also meet certain requirements such as reliability, fairness, and validity since they constitute one basis for human resource management actions (Apekey, 2006:78).

#### ***2.2.6.4 Continuous appraisal and feedback***

Continuously noting and documenting the performance of an employee is also important for effective performance appraisal. Managers are expected to monitor employee's performance on an ongoing basis in order to be in a position to know what the subordinates are actually doing. Longenecker, (1997:13) points out that, to increase the effectiveness of the evaluation process, regular performance feedback is needed. In addition, according to Armstrong (2008:55), feedback should be based on factual evidence and should be presented in a manner that enables individuals to recognise and accept its factual nature. The purpose of the feedback should be

developmental rather than judgmental. Longenecker, (1997:13) notes that employees want ongoing performance feedback to reinforce appropriate actions and to be in a position to make adjustments when their performance needs improvement. People are more likely to work to improve their performance and develop their skills if they feel empowered by the process, (Armstrong, 2008:55).

Moreover, performance management must ensure that there is effective communication between the superior and the subordinate. Effective communication skills are a prerequisite and requirements should be clearly and directly communicated. There should be regular feedback should happen and the employee should not be shocked when it is time to issue an annual performance rating. Modern business tactics recommend that the manager must understand the work of their subordinates. Perceptions in organizations reflect that many employees think their manager does not know what they do. So managers should make sure that is not the case with their employees/subordinates. It not necessary to be completely knowledgeable about the employee's job but you should be very familiar with the company's mission and goals and how each employee fits into the corporate strategy.

#### ***2.2.6.5 Interactions during appraisal***

According to Piggot-Irvine (2003:121), there is a need for interactions during appraisal, which should be non-controlling, non-defensive, supportive, educative and yet confidential. Effectiveness is also linked to appraisal processes and information that have clarity, objectivity, high integrity, and where deep development is a goal. It is imperative therefore for every organisation to ensure that appraisers and appraisees agree on realistic targets. Besides, the criteria for review performance must be based on employees' actual performance and must be devoid of non-performance related characteristics. This, to a large extent will help employees perceive the performance appraisal process as a fair one and invariably be satisfied with.

#### ***2.3.6.6 Reflection and goal setting***

Reflection and goal setting are key drivers for improvement within the performance appraisal framework. During this phase, teachers were asked to reflect on their teaching practice, informed by evidence and feedback, and set measurable goals related to their performance and development. Bandura (1997:13) acknowledges an important source of motivation comes through

goal setting and self-efficacy, with efficacy determining the type of goals people choose and their ability to persist on tasks. Goal setting and reflection have been found to have a powerful impact on action (Locke and Latham, 2002:32). The setting of goals is central to the development of a self-regulated learning capacity and assists teachers to identify what they need to do to improve their practice (Timperley, 2011:9).

### ***2.3.6.7 Applying the principle of MBO***

MBO was designed to overcome certain of the inherent problems of traditional appraisal systems. It constitutes a new way of managing, and its major goal is to enhance the superior, subordinate relationship, strengthen the motivational climate and improve performance. It has become one of the most popular rating systems used since the 1950s (Perillo, 2006:371). It is results oriented and is based on organizational goals. It attempts to achieve substantial organisational and individual goal congruence, where managers and subordinates meet to set goals and targets for a given performance period. Realistic objectives are mutually agreed upon and progress reviews and comparisons between actual and expected are made regularly. The major disadvantages are that it is time consuming and can result in conflicting views if not properly managed. Most subordinates will prefer less challenging targets that are easily achievable. This system also tends to emphasis on the short term and the system does not assist the subordinates to improve on individual weaknesses.

## **2.3 Empirical Literature Review**

A number of contemporary and empirical researches were conducted on the issue of performance appraisal in educational institutions. This study reviews five studies that were conducted pertaining to other countries' appraisal systems in education. The researcher can draw lesson for Zimbabwe from the findings and recommendations from these country studies.

The first research to be reviewed was conducted by Namuddu (2010), whose title was; ' *Staff Appraisal Systems and Teacher Performance at Aga Khan Schools in Kampala District, Uganda*'. The study was concerned with staff appraisal systems and their effect on teacher performance. The research was guided by two objectives, which aimed at establishing the relationship between teacher-based evaluation on teacher performance and establishing the relationship between the school evaluation criteria on teacher performance. By use of the cross-

sectional approach, 78 teachers were used as the sample size that was important in investigating the topic at hand. Namuddu's (2010) research showed that emphasis was lacking on teacher-based evaluations, the schools' evaluation criteria lacked more detail, organisation and emphasis on individual activities. The study recommended that there was a need for appraisal process in which the teacher evaluations would be given priority so that teachers feel empowered yet the general school's evaluation need to be detailed enough in order to measure practical and specific items of performance and also collective action was needed to improve transparency of the system. These were thought to be important in improving the appraisal system to a level where teacher performance would improve.

In addition, in 2011, Rasheed, Aslam, Yousaf, and Noor conducted a basic investigation of performance appraisal framework for educators in the public sector in Pakistan. Their exploration demonstrated that performance appraisal frameworks are dependably of basic worry of any association/establishment while dealing with its HR. Albeit, higher education institutions foundations relies on both teaching and non-teaching staff working in it, yet significant duty happens upon the lecturers and educators who are the wellspring of student's information, learning and improvement. Thusly, this need of teacher performance appraisal propels these entities to have precise performance examination frameworks, keeping in mind the end goal to oversee, assess and upgrade educators' performance.

Seidu (2012) conducted another study and it focused on employees' perception of performance appraisal system in Ghana. The research found out that performance appraisals were essential in most organisations. However, errors during the evaluations compromised the utility of the systems. In addition, in 2012, Adaeze, a Nigerian, conducted a research titled; '*The Effect of Performance Appraisal in an Organisation*'. The main objectives of the study were to investigate the performance appraisal techniques adopted in an organization, to examine the usefulness of performance appraisal programme in an organisation, to find out the various environmental variables affecting performance appraisal programs, to identify the pitfall associated with performance appraisal exercise and provide solutions to them. It was discovered that participation of employees in appraisal exercise and the use of performance appraisal resulted to an increase in output to the organization and higher standard of living to the employee because of promotion given and other necessary reward that motivated the employee to work hard. The research also

found out that the problems with the appraisal systems lie with implementation rather than methods. It was concluded that better implementation of appraisal methods was needed so as to be able to match practice with purpose. There was also a need for organisations to provide an intensive training programme for appraisal.

The last research to be reviewed was conducted in New Zealand by Whitford (2013), whose title was; *'Performance Appraisal in Primary Schools: Managing the Integration of Accountability and Development'*. The findings of the study indicated that there were a variety of approaches to performance appraisal, although the dual purposes of accountability and development were both evident in the schools studied. It was pointed out that successful appraisals can be achieved if certain conditions exist, which are effective leadership; trusting relationships; clear systems; and staff ownership of the appraisal process. Conversely, there were several challenges identified: the lack of clarity of appraisal terminology, closely linked with the confusion associated with the two sets of governing teacher standards; the lack of time for effective appraisal; having trust in the system and the people; and, finally, having clearly defined roles. These findings suggest that school leaders need to ensure that the performance appraisal systems that are created and implemented, meet the dual purposes of accountability and development. The recommendations arising from this study have implications for schools that include the need to develop a clearly defined appraisal process, maintaining a school culture which fosters collaboration, trust, and learning; allocating sufficient time and resources for performance appraisal, and having clearly delineated roles for all stakeholders.

## **2.4 Lessons from Literature Review**

This chapter presented a review of literature related to performance appraisal in schools. Two theories, the path-goal theory and Maslow's hierarchy of needs were applied in the research. The path-goal theory, which was developed by Evans (1970) states that the behaviour of leaders need to fits the employee and the work environment in order to achieve organisational goals. Maslow's hierarchy of needs shows that employees differ in terms of their level of needs and the educational leaders need to be aware of the needs of teachers when they are designing and implementing performance appraisal systems.

Conceptual literature review presented the definition of performance appraisal, which is a process of periodically assessing the performance of employees. It was pointed out that performance appraisal in education largely serve two purposes, which are to ensure teacher accountability and the professional development of the employees. Literature reviewed also showed that there are a myriad of challenges associated with the process of performance appraisal, which are associated with the design, implementation, and functional use of appraisal systems. It was also pointed out that several factors, including the nature of leadership influence the success of performance appraisal. Finally, there was a review of literature on the options for enhancing effectiveness of performance appraisal. These include setting clear performance criteria, effective communication, ensuring that performance appraisal is related to the strategic objectives of the organisation, and continuously noting and documenting the performance of an employee.

The chapter also presented a review of contemporary and empirical researches were conducted on the issue of performance appraisal in educational institutions. This study reviewed five studies that were conducted pertaining to other countries' appraisal systems in education. The researcher can draw lesson for Zimbabwe from the findings and recommendations from these country studies.

The next chapter presents the research methodology. It focuses on, among other issues, research philosophy, research design, population, sampling techniques, data collection instruments, and data analysis and presentation procedures.

## **CHAPTER THREE**

### **RESEARCH METHODOLOGY**

#### **3.1 Introduction**

This chapter focuses on research methodology. Focus is on research philosophy, research design, population, sampling technique, and data collection instruments. The chapter also presents ethical considerations, and data analysis and presentation procedures.

#### **3.2 Research Philosophy**

Two approaches to research that dominate literature, which are quantitative and qualitative. Quantitative research is scientific in approach and follows the positivist philosophy. It aims to be objective, collects, and uses numerical data. Saunders, Lewis, and Thornhill (2012:45) observe that a quantitative researcher assumes the role of an objective analyst. On the other hand, qualitative research assumes that researchers are rarely objective given that they are part of the society that they investigate. In fact, social science research is too complex to lend itself to theorising by definite laws in the same way as physical sciences (Simon, 2011:32). Therefore, this research applied the qualitative approach. The issue of performance appraisal is subjective and it depends on the relationship between the evaluators and the subordinates, and a qualitative researcher that provides detailed explanations was desirable.

#### **3.3 Research Design**

This research used the case study approach. According to Simon (2011:32), a case study as a comprehensive research strategy that ties together several data gathering measures. It may concentrate on individuals, group or a community and at the same time employing other data collection methods such as in-depth interviews and focus group discussion. A case study also aims to understand social phenomena within a single or small number of naturally occurring settings. The purpose may be to provide description through a detailed example or to generate or test particular theories. This study was a case study of Vainona High School.

### **3.4 Study Population**

According to Saunders et al., (2012:71) the population includes all individuals that are part of the community that the researcher is studying. A population is the exhaustive list of all the elements or items or objects under study or investigation. Yin (2003:13) defines a population as “the entire group of people, events, or things of interest that the researcher wishes to investigate”. The population for this study was made up of the school head, deputy head, six heads of departments and 32 teachers at Vainona High School.

### **3.5 Sampling Technique**

Sampling refers to a set of techniques for achieving representation (Saunders *et al.*, 2012:45). The primary purpose of sampling is to economise on the resources that are ‘needed’ to collect and analyse statistical data. Instead of using information from all members of the population, the researcher collects it from only a part of the population. This part taken, which is ‘known’ as a sample, should be representative of the whole population. According to Yin (2003:45) the use of sampling can also improve the quality of data because of improved management of surveys made possible by using limited number of participants.

In this study, the researcher used non-probability sampling techniques. Non probability sampling technique was chosen due to time limitations for the study and that this type has lower costs compared to probability sampling. Thus, purposive sampling was used because it is based on who the researcher thought would be appropriate for the study. The researcher selected participants believed to be good prospects for required information. The sample was made up of the school head, deputy head, six heads of departments, and 32 teachers.

### **3.6 Data Collection Techniques**

There are several instruments that could be used to collect data and they include questionnaires, interviews, focus group discussions, observations, and documentary review. Data for this research shall be collected using in-depth interviews, focus group discussions, and documentary review.

### **3.6.1 In-Depth Interviews**

According to Simon (2011:45), the in-depth interview technique is an ethnographic research method in which the key informants because of their personal skills and positions are able to provide information and a deeper insight into what is going on around them. The interviews also allowed the researcher to collect quality data in a short period of time. The researcher interviewed the school head, deputy head, and six heads of departments at Vainona High School. The participants were identified as the key informants because they are at the top in terms of the school management hierarchy. The population size of these senior educators at Vainona High School was eight elements and the researcher targeted all of them. The reason to select all the participants (conduct a census) is based on the view by Kothari (2004:76) that small population sizes may require that the researcher collects data from all of the members.

### **3.6.2 Focus Group Discussions**

Focus group discussions are a small, temporary community formed for the purpose of collaborative enterprise of discovery (Kato, 2002:62). For the purposes of this study, considering the focus on one school, about three focus group discussions, with between six to 12 participants, were held with teachers. All the 32 teachers were required to participate in the focus group discussions. The researcher scheduled three focus group discussions and a memorandum was circulated to the teachers inviting them to attend any of the three discussions. The first discussion was targeted to have 11 people, the second 11 people while the third discussion was to be attended by 10 participants. The use of focus group discussions allowed the researcher to obtain information quickly from the respondents.

### **3.6.3 Documentary Review**

There were previous studies and documents that have been prepared prior to this study pertaining to the issue of performance appraisal in the Ministry of Primary and Secondary Education. Accordingly, the researcher used these documents in order to complement the findings from interviews and focus group discussions. These documents included circulars, policy pronouncements, memoranda, and journal articles.

## **3.7 Ethical Considerations**

Ethics define the right and wrong conduct in research. According to Saunders *et al.*, (2012:82), ethics of research include informed consent, confidentiality, protection of privacy, protection

against harm, and protection against identity. Ethical considerations were observed when participants were informed about the study and verbal consent was given.

Participation in this study was also voluntary and participants were free to withdraw any time should they feel uncomfortable. Participants were also told not to divulge their names during key informant interviews and focus group discussions and this ensured anonymity. In addition, participants were informed that the data collected is to be used for academic purposes only and that information collected would be treated as confidential.

### **3.8 Data Analysis and Presentation Procedures**

According to Saunders *et al.*, (2012:87) data analysis entails deriving meaning from the findings of research. The research was more qualitative in nature and, therefore, data was analysed using thematic analysis. The open-ended questions that were used in interviews and focus group discussions produced a multi varied and multi diverse responses and thematic data analysis procedure was suitable. This involved an analysis of words, concepts, literary devices and or non verbal cues. Findings from the research of similar nature were then grouped together.

### **3.9 Chapter Summary**

This chapter focused on research methodology and provided details on the research philosophy and research design, which was a case study. The population and sample techniques were also provided. The data collection techniques (in-depth interviews, focus group discussions, and document analysis) were presented. The chapter also presented research ethics and data analysis and presentation procedures. The next chapter looks at data presentation and analysis and findings are presented thematically, in line with the research objectives.

## **CHAPTER FOUR**

### **DATA PRESENTATION AND ANALYSIS**

#### **4.1 Introduction**

This chapter presents, and analyses the findings of the study. The findings are presented thematically, in line with the research objectives. The overall objective was to examine the significance of performance appraisal in the Ministry of Primary and Secondary Education. There were four specific objectives, the first one was to analyse the purpose and benefits of performance appraisal in the Ministry of Primary and Secondary Education. The second objective was to examine the factors that influence the effectiveness of performance appraisal at Vainona High School. The third objective was to interrogate the problems associated with performance appraisal at Vainona High School.

The study targeted to interview the school head, deputy head, and six heads of departments. There were six interviews, which were conducted with the school head, deputy, and four heads of departments, implying that the interview response rate was 75%. In addition, three focus group discussions were conducted. The first focus group had 10 participants comprising four male teachers and six females. Nine teachers (five males and four females) attended the second focus group discussion. The third focus group discussion had 10 participants, with five male teachers and five female teachers.

#### **4.2 The Purpose and Benefits of Performance Appraisal in the Ministry of Education**

##### **4.2.1 The Way Performance Appraisal is conducted**

The participants were asked to comment on how performance appraisal is conducted in the Ministry of Primary and Secondary Education. The purpose of the question was to establish the form of performance appraisal system that was in use. The researcher interviewed the school head, deputy, and four heads of departments who unanimously argued that the current performance appraisal system, which was introduced in 2010, was largely a top-down approach. The same sentiments were echoed during the three focus group discussions, the participants pointed out that the Public Service Commission (PSC) and not the Ministry of Primary, and

Secondary Education, was responsible for making sure that the appraisals were conducted. An in-depth interview with one head of department revealed that:

“the PSC is responsible for making sure that we do appraisals. However, it is better if they ask the people in the education sector to design in a way that can suit the work. Because the officers in the PSC are not educators, the teachers can forge the results and the assessors do not understand the process.”

An in-depth interview with the headmaster showed that everyone is appraised and the aim was to achieve the national objective of maintaining high standards of teaching and learning in schools. The superiors were responsible for making sure that the junior teachers fill the appraisal forms. For instance, the deputy head is appraised by the headmaster, who also appraise the heads of department and senior staff. Even the government bursar is also reviewed using the results based management (RBM) tool, which aims at ensuring that every employee is contributing towards attainment of national goals. One focus group participant said,

“We are given dates and the forms and the supporting information by the deputy. There is two appraisals First from the deputy and the last by headmaster. Each member sets his/her own target and usually they are similar.”

In-depth interviews with the heads of departments showed that the various departments were given the forms and the teachers need to fill the personal details and set key result areas. The teachers were given performance targets and the Head of Departments assesses them to see if they are feasible. In addition, when asked to comment about the fairness of the process of performance appraisal, most of the teachers said that the process was fair but changes always come up. One head of department who was interviewed argued, “It is fair because those who did it do not understand it”. However, another focus group participant argued, “It is not necessary because they deal with several human beings”.

The preceding findings showed that there were mixed results pertaining to the way performance appraisal was being conducted in the Ministry of Primary and Secondary Education. Some of the teachers were saying there was fairness in the process while others said the process was not fair and not necessary. The differences in responses could have been due to the lack of thorough

understanding on how performance appraisal was to be conducted and its purpose. In addition, differences in perceptions also led to the variations in the responses of the participants.

#### **4.2.2 The Purpose of Performance Appraisal**

When asked to comment on the purpose of performance appraisal, the participants were in agreement that the purpose was to contribute highly on achievement of goals at national level. An in-depth interview with the headmaster revealed that performance appraisal was mainly aimed at ensuring that there was quality teaching and learning and high pass rates were attained. The appraisals were also a way of improving the supervision of the staff. In addition, when responding to a question on the purpose of performance appraisal, one head of department said;

“The process of performance appraisal seeks to remind why people are at work for evaluation purposes as an individual, department, school. It makes people to be self-driven and to gather and explain to the members and give them correct information.”

Focus group discussion with teachers showed that, just like any organisation, the headmasters and teachers are appraised in order for assessments of their work to be conducted. The findings are in line with the arguments by Toppo and Prusty (2012:1) that organisations are run and steered by people. It is through people that goals are set and objectives are realised. Analysis of secondary data showed that the performance of an organisation is thus dependent upon the sum total of performance of its members. The success of an organisation will therefore depend on its ability to measure accurately the performance of its members and use it objectively to optimise them as a vital resource. Performance appraisal is thus an unavoidable element of organisational life and there are many decisions in modern institutions that depend on performance appraisals (Andriga, 2009:10; Youngs and Grootenboer, 2003:77). Similarly, Sinnema and Robinson (2007:319) argue that performance appraisals are widely used in most organisations and are an important piece of the process by which organisations attempt to direct themselves and they have been considered a key component in the success of institutions (Grote, 2002:20; Rasch, 2004:408).

Moreover, the in-depth interviews with the heads of departments revealed that performance appraisal is necessary in schools if it is done in a proper way and if the teachers set feedback on their performance. However, one teacher, during a focus group discussion, had this to say about the current appraisal system;

“It serves no purpose since there is no follow-up. They make us fill the forms every year but nothing happens with the results. Maybe performance appraisal works at the industries and they do not understand it but do it for the sake of paperwork. Performance appraisal is not necessary because it gives them a lot of work. We cannot use it for the tool of measuring people”.

In addition, the teachers, during focus group discussions, pointed out that, given that there was no follow-ups to the appraisal, the process was a mere waste of time. One teacher said, “performance appraisal is time consuming and disturbs the learning process which is the core business. Appraisal is not necessary because it ruins the core business of the school”. Another teacher shared similar sentiments and argued that, “performance appraisal was not necessary because teachers were not given enough information on the process. What is important is to teach the students”. The study showed that the teachers were not told reasons for doing the performance appraisal and they were doing it as a formality. The participants said that the performance appraisal process should be reconstructed as a bottom-up approach. The teaching process is personally and should be flexible and hence the teacher should follow the demands of the learners rather than the paper work. The teachers, during focus group discussions, agitated that lack of clarity was affecting performance appraisal and this argument is in line with literature. For instance, the path-goal theory states that a leader exhibits behaviour that best fits the employee and the work environment in order to achieve organisational goals (Northouse, 2013:2). In similar vein, Lord, Hanges, and Godfrey (2003:21) argue that it is essential for leaders to ensure that the work environment and appraisal systems are conducive for employees to be productive. This is because subordinates are assumed to behave in a rational, self-serving manner (Northouse, 2013:2).

#### **4.2.3 The Benefits of Performance Appraisal**

The participants were asked to comment about the benefits of performance appraisal. In a focus group discussion, one teacher said;

“Performance appraisal is a way of improving yourself as a teacher. Some of the results are not tangible. Sometimes you just estimate the number of ‘As’ but sometimes since you are the teacher, it improves the way in which you discharge your duties and improves pass rates in departments.”

The preceding quotation showed that one of the benefits of performance appraisal was to improve teachers in their teaching and administrative duties. This finding is in line with literature and Bolam (2002:103) argues that an important purpose of performance appraisal included within the integrated appraisal model is ‘teacher development’. Teacher development “is widely accepted as fundamental to the improvement of organisational performance and, therefore, is a core task of management and leadership” (Bolam, 2002:103). From a leadership point of view, teacher development is about providing staff with the opportunity to reflect, grow, and learn so they have the greatest impact on student achievement as possible. This is a challenge in an “ever-changing world but educators themselves have to continue learning in order to fulfil their tasks with a sense of efficacy” (Codd, 2005:197). Therefore, it is essential that teachers participate in professional development. The in-depth interviews with the headmaster and heads of departments showed that performance appraisal also helps in enhancing the performance of teachers. One head of department said; “At least you try to achieve the target. It guides the teachers and improves the quality of results”. The findings were collaborated by another head of department, who argued; “personally, performance appraisal helps me if I achieve the results, am I meeting the competence as a teacher. Due to the trainings it can help to develop an individual.” However, some teachers had divergent views on performance appraisal, they did not see the benefits and argued that they can work without the performance appraisal. There said there were tangible benefits of the process.

### **4.3 Factors that Influence the Effectiveness of Performance Appraisal**

The study asked the question, ‘what factors influence the effectiveness or ineffectiveness of performance appraisal at Vainona High School? The responses from the participants indicated that there were several factors that influence the process of performance appraisal in schools. The factors are discussed in the succeeding paragraphs.

#### **4.3.1 Availability of Resources**

The headmaster, heads of departments and teachers argued that they need adequate resources in order to discharge their duties. In an in-depth interview, one head of department said;

“The resources should be available so that teachers are able to performance duties to their highest abilities. We are struggling to provide adequate resources and to market our school, and we are not able to produce very good result. The lack of adequate

resources like textbooks and classroom technologies negatively affect teaching and learning”.

#### **4.3.2 Linking Performance and Rewards**

The in-depth interviews with the headmaster and the heads of departments showed that there should be recognition of good performers. In addition, the teachers, during focus group discussions, argued that there should be motivation and rewards for outstanding performers. The focus group discussions showed that most of the teachers said that they were not given fair remuneration. Remuneration is a major motivator because people work in order to earn money. Therefore, absence of fair remuneration could have been resulting in low performance. During the in-depth interview, the headmaster agitated that, “performance appraisal was being used as a tool for enhancing the performance of the teachers but there were no rewards for outstanding performance”. This state of affairs was against literature and theory. For instance, the aim of the path-goal theory is to enhance employee performance and employee satisfaction by focusing on employee motivation. According to House (1996:324), the performance, satisfaction, and motivation of a group can be affected by the leader in a number of ways. Offering rewards for the achievement of performance goals, clarifying paths towards these goals, and removing performance obstacles. In this theory, the challenge for the leader is to adapt his or her leadership style to the characteristics of the subordinates and the work setting.

#### **4.3.3 Provision of Training to Both the Evaluators and the Subordinates**

The participants (headmasters, heads of departments, and teachers) were asked about the form of training that is provided to the leaders (headmasters and heads of departments) in order for them to be able to effectively conduct performance appraisals. The headmasters and heads of departments agitated that, apart from guiding the teachers in their duties and correcting mistakes, there was no form of training they provide. There was also unanimous agreement by the teachers that there was no specific training that was provided to both the superiors and the teachers on the performance appraisal process. The situation was not healthy as the headmasters were not fully equipped to manage the process and were in a dilemma and this finding is supported Bolam (2002:103) who argued that a leader’s dilemma “is how to balance and in fact manage the implementation of an often onerous external change agenda, while simultaneously trying to promote school-initiated improvement and the associated professional development”. The key consideration for educational leaders when managing the process of performance appraisal is to

ensure that organisational processes lead towards goal attainment (Sinnema and Robinson, 2007: 321). If this occurs, it would be expected that the external demands, such as raising student achievement against standards would be a by-product of improved teacher practice and on-going development.

#### **4.3.4 Participation of Subordinates in Setting of Performance Objectives**

The study sought to assess the extent of teacher participation in the appraisal process. The respondents were asked to the question, ‘Who sets the objectives of performance appraisal and is there consultation of the teachers’? It was stated that the targets were determined by the teachers and there was a need for confirmation by the heads of departments and the headmaster. However, the teachers’ input in how the process of performance appraisal should be conducted was limited. They were required to just follow the guidelines and complete the rigid forms. During a focus group discussion, one teacher argued; “performance appraisal should consider what happens on the ground. It must relate to what is happening in the education sector”.

#### **4.3.5 Fairness of Performance Appraisal Process**

The headmaster, heads of departments and teachers were asked to comment about the fairness of the process of performance appraisal. There were mixed responses. Some of the teachers argued that the process was fair since those who appraise the teachers are also teachers hence are aware of the duties of teachers. One teacher said performance appraisal process was fair since the teachers set their own targets. However, the other teachers said that it was not fair because there was no training. It is like an order that they have to follow but it was not applicable on the ground. One head of department said;

“On the ratings, there is need to interpret the document. Teachers should go for training. The teachers set their own targets and can just write false results. We as the heads of departments have our own load so it is difficult to concentrate on supervising other teachers”.

#### **4.4 The Problems Associated with Performance Appraisal**

The headmaster, heads of departments and teachers were asked to provide the problems associated with performance appraisal. Several problems were mentioned and include lack of

clarity on the appraisal document, absence of teacher consultation, absence of feedback, no relationship between performance appraisal and rewards, and high teacher-student ratio.

#### **4.4.1 Lack of Clarity of the Appraisal Document**

The teachers said that the performance appraisal form was complex. The performance appraisal form was very a confusing document, people end up copying each other. The appraisal document was not user-friendly. In addition, one teacher said; “performance appraisal in the Ministry of Primary and Secondary Education was top-down and no clarification can be obtained from the heads of the departments. Another teacher said; “the Ministry and PSC senior officials should make it simpler and user-friendly. When doing their workshops they should clarify exactly what the teacher has to fill.”

The teachers, during focus group discussions, also said that the way in which performance appraisal was designed was problematic. This finding is supported by literature and Codd (2005:194) stated that there were challenges associated with the design, implementation, and functional use of appraisal systems and they continue to be frustrating to both academics and practitioners. In the other reviews of appraisal literature, the authors found that regardless of an appraisal program’s stated purpose, there were few studies that showed positive effects (Andringa, 2009:11; Cardno, 2012:73). Moreover, the headmaster, heads of departments and the teachers said that performance appraisal was much concerned with record keeping. One teacher said; “the process of appraisal tend to look at quantity not quality. The process is time consuming”. Another teacher said; “We are not sure on how exactly should we fill the paper. They should remove it”.

#### **4.4.2 Absence of Teacher Consultation**

The in-depth interviews with the headmaster and the heads of departments showed that there were inadequate consultations during the design of the appraisal forms. The only form of participation was when the teachers set the targets. One heads of department said;

“There was no consultation done on the structuring of the form. We are just told to give our targets but we feel we are not doing it to the expected standard, need more resources. It should be a down to top approach”

The heads of departments said that there was a need to adequately consult the teachers during the design of the appraisal forms. Participation was vital in ensuring success of the performance appraisal process. The headmaster said that while employee participation in decision-making is very important, there was no effective teacher involvement in decision-making. Lack of participation leads to low motivation and there could be limited innovation. Lack of consultation when managing change also results in resistance and there could be no cooperation of employees. In addition, the heads of departments acknowledged the importance of employee involvement in decision making but said implementation was not effective. During the focus group discussions, one teacher said; “the Ministry of Primary and Secondary Education, like any other ministry or government department, had a lot of bureaucracy”.

The teachers also said that, at the lower levels, there was teamwork. The views of every staff members are considered when decisions are made. Weekly meetings help to share ideas. The study however, revealed that staff members were always required to abide to the guidelines spelt out in working procedures manuals and circulars from head office, provincial office, and district offices. Accordingly, there was little or no room for employees to exercise their own discretion. All employees in the study also pointed that regular reports to superiors were provided. Monthly meetings and workshops are some of the ways being done to ensure empowerment of employees. Meetings allow for sharing of ideas and for providing important information.

#### **4.4.3 Absence of Feedback**

The teachers said that they did not receive comments or feedback on the appraisals. They argue that the appraisal was largely aimed to satisfying the requirements of the PSC. This view is supported by literature and authorities like Horne and Pierre (2013:34) and Mwangi (2013:34), criticised performance appraisal systems in education as being user centered as it was a reflection of the different and authoritarian approaches used. In some cases, the ratings are never shown to the teachers while on other instances the rating scales are not acceptable. The actual scores recorded are seldom revealed concerning the validation of the evaluation report as a result the teachers felt that their integrity was attacked and they were dehumanised which led to the eroding of their status as professionals. They are prescribed top down approaches, which constrained self development collaborative discourse and self reflection (Horne and Pierre, 2013:34). Feedback as an essential element of communication and the teachers need to know how well they are

performing. The teachers said that they were just used to taking orders from the Ministry. There was no effective communication, no wonder why there was disgruntlement and confusion some issues. The importance of communication in organisations can never be overemphasised. According to Forman and Argenti (2005), effective communication is a barometer of organisational health and an integral part of participative processes.

#### **4.4.4 No Relationship between Performance Appraisal, Rewards and Promotions**

The headmaster, heads of departments and the teachers were in agreement that there was no relationship between performance appraisal and salaries. One teacher said; “It is necessary if we have to be given money or awards. They should give those who are excelling an extra reward”. In addition, the teachers said that the PSC used other factors to promote which have nothing to do with performance appraisal.

#### **4.4.5 Challenges Associated with New Curriculum**

The headmaster and heads of departments said that there challenges associated with the implementation of the new curriculum (NC) and their performance was negatively affected. One head of department said;

“The new curriculum is giving us a challenge. The teachers are not fully vested with the new syllabus. If it was not yet trained about the NC and those who benefited are very few. NC was drastic but with the limited funds. NC is wide and allows some students who are not academic benefited. Unfortunately, NC was just mysterious because of economic downfall and the staff on the ground is not motivated and knowledgeable”.

#### **4.4.6 High Teacher-Student Ratio**

The headmaster said that the high teacher-student ratios were compromising results. Teachers were failing to meet the pass rate targets due to overload in terms of the number of students being taught. In addition, one head of department said; “Our class teachers ratio is unbearable. For Forms 1-4, the average is 50 but the classes were sized to be 35. The teacher and student ratio should be balanced”. During focus group discussions, one teacher argued, “it is not fair for the PSC and the Ministry of Primary and Secondary education to expect high pass rates when our classes have more than 50 pupils. The recommended teacher-student ratio is 25 and our classes are more than double that size”.

#### **4.4.7 Student Factors that Compromise Results**

The in-depth interviews with the headmaster and heads of departments showed that there were so many activities outside the class that can affect teaching and learning. These include the living conditions of the students at their homes. Sometimes the students do not come to school and this affects the results. However, the teachers are assessed without consideration of the fact that there are other factors, beyond their control, which influence teaching and learning and the pass rate. One head of department said, “the Ministry of Education mainly use the pass rate to judge the performance of teachers and our school. The pass rate is also affected by the social conditions of students but there is consideration of them during assessment of performance.”

#### **4.5 Chapter Summary**

This chapter presented, analysed, and discussed the findings of the research. It was pointed out that the current performance appraisal system in the Ministry of Primary and secondary education was introduced in 2010. The Public Service Commission, which is the government’s employer, manages performance appraisal. Teachers are appraised by the Deputy Head and then by the Headmaster. There were mixed results on the fairness of the appraisal process, other arguing that it is necessary and fair while some were saying it is a waste of time and not fair. This showed lack of understanding on the motive and benefits of performance appraisal. The teachers were not told the reasons for doing performance appraisal. However, other respondents said that performance appraisal is a way of improving teachers, guides the teachers, and improves the quality of results. The research showed that a number of factors influence the success of performance appraisal and they include availability of resources, linkage between performance and rewards, provision of training to both the evaluators and the subordinates, and employee participation in the process. A number of problems were negatively affecting performance appraisal and they include lack of clarity of the appraisal document, absence of teacher consultation, absence of feedback, and no relationship between performance appraisal, rewards, and promotions. The other challenges pertain to the new curriculum, high teacher-student ratio, and student factors that compromise results. The overall result of the study is that, if done properly, performance appraisal is essential for facilitating effective teaching and learning in high schools. The next chapter presents the conclusions, and recommendations.

## **CHAPTER FIVE**

### **CONCLUSIONS AND RECOMMENDATIONS**

#### **5.1 Introduction**

This chapter presents concludes the dissertation and presents the conclusions, and recommendations. The conclusions present the major findings, in line with each research objectives. The recommendations provide possible options for enhancing the process of performance appraisal in schools. Lastly, the chapter presents the suggestions for further research.

#### **5.2 Conclusions**

The study came up with conclusions in line with each research objective. The conclusions are presented in the succeeding paragraphs.

##### **5.2.1 The Purpose and Benefits of Performance Appraisal in the Ministry of Education**

It was concluded that performance appraisal sought to ensure accountability and development of the teachers. Nevertheless, the manner in which the appraisal process was being implemented had weaknesses. The Public Service Commission was responsible for appraisals and not the Ministry of Primary and Secondary Education. It was also concluded that performance appraisal is necessary if it is done in a proper way and if the teachers set feedback on their performance.

##### **5.2.2 Factors that Influence the Effectiveness of Performance Appraisal**

A number of factors were influencing the process of performance appraisal. These included the availability of resources, the lack of recognition of good performers, absence of adequate training on the part of the evaluators and subordinates, and lack of teacher participation.

##### **5.2.3 The Problems Associated with Performance Appraisal**

The study showed that a syndrome of problems were associated with the process of performance appraisal. There appraisal document was not clear, there was no teacher consultation, no feedback, no relationship between performance appraisal, rewards and promotions, and high teacher-student rations.

### **5.3 Recommendations**

The study showed that, if done properly, performance appraisal is essential for facilitating effective teaching and learning in high schools. Therefore, the research came up with a number of recommendations that could enhance the effectiveness of performance appraisal in the Ministry of Primary and Secondary Education.

#### **5.3.1 Clarification on the Purpose of Performance Appraisal to the Teachers**

The Ministry of Primary and Secondary Education and the Public Service Commission (PSC) need to clarify the purpose of appraisal to the teachers. In order that performance appraisal system can achieve its intended purpose, the PSC and the Ministry should take steps to ensure that all the pre-requisites that make it effective are adhered to. The Ministry of Primary and Secondary Education, in consultation with the PSC, need to set a clear performance criteria. Appraising employee performance is destined to fail without having clearly established performance criteria by which to judge their performance. If ambiguity surrounds the job description, goals, traits, or behaviours that will be the basis for the evaluation, the process is bound to fail. Therefore, performance appraisal process should be clear.

#### **5.3.2 Training of the Evaluators and the Teachers**

The PSC and the Ministry of Primary and Secondary Education should provide adequate training to the evaluators and the teachers. The evaluators (Headmasters and Heads of Departments) require training on how to manage the processes and to be taught about the common errors in evaluation that they should avoid. The teachers also need to be trained so that they fully understand what performance appraisal is about because some view the process with negative perceptions.

#### **5.3.3 Ministry of Primary, Not PSC to be in Charge of Performance Appraisal**

The Ministry of Primary and Secondary Education, which has expertise about educational issues, should be in charge of performance appraisal, not the Public Service Commission. The people in the education sector should design in a way that can suit the work. Linking appraisal with organisational objectives is paramount. Performance appraisal should enhance teaching and learning and not be just a mere formality.

#### **5.3.4 Effective Communication**

Communication is an important part of the process of performance appraisal. The PSC and the Ministry of Primary and Secondary Education should ensure that there is an effective two-way interaction, which outlines the desired behaviour or the expected results. To increase the effectiveness of the evaluation process, regular performance feedback to the teachers is needed. Feedback should be based on factual evidence and should be presented in a manner that enables individuals to recognise and accept its factual nature.

#### **5.3.5 Employee Empowerment**

The PSC and the Ministry of Primary and Secondary Education need to understand and embrace the idea that employee empowerment is vital. The most important concept that guides participatory management is the idea that employee skills should be utilised at different levels, in a variety of unique ways. When employees are included in the process of brainstorming, skill sharing, and active leadership, chances are much greater that they will also be willing to share power and stay in the organization for a long period. Participatory management harnesses people's creative capacity and further equips them to steer their own development.

#### **5.3.6 Appraisal Being a Continuous Process**

The PSC and Ministry of Primary and Secondary Education should make sure that performance appraisal becomes a continuous not a 'one day event'. There is a need for the Ministry, PSC, headmasters, and heads of departments to continuously note and document the performance of teachers, which is paramount in performance appraisal. The educational leaders are expected to monitor employee's performance on an ongoing basis in order to be in a position to know what the subordinates are actually doing.

#### **5.3.7 Use of Management by Objectives Concept**

It is necessary for the PSC and the Ministry of Primary and Secondary Education to use the Management by Objectives (MBO) concept. MBO was designed to overcome certain of the inherent problems of traditional appraisal systems. It constitutes a new way of managing, and its major goal is to enhance the superior, subordinate relationship, strengthen the motivational climate and improve performance. In MBO, realistic objectives are mutually agreed upon and progress reviews and comparisons between actual and expected are made regularly.

### **5.3.8 Linking Results of Appraisal with Remuneration**

The PSC and the Ministry of Primary and Secondary Education should Link the results of appraisal with rewards and promotions. Outstanding performers should be rewarded for their efforts and there is need for performance related bonuses.

### **5.5 Suggestions for Further Study**

This research was a case study of Vainona High School. There was a limitation of coverage given the time frame that was available to conduct the study. Accordingly, a nationwide survey on performance appraisal in schools could yield better results.

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## APPENDIX I: RESEARCH INSTRUMENTS

### INTERVIEW GUIDE

#### Target Respondents: Headmaster, Heads of Departments

My name is Surprise Dhliwayo, a student studying towards the attainment of the Master of Public Administration (MPA) at the University of Zimbabwe. As a partial fulfilment of the requirements of the MPA programme, I am conducting a study on *'performance appraisal in the Ministry of Primary and Secondary Education: a case study of Vainona High School in Harare, 2009-2016'*. The main objective of the study is to examine the significance of performance appraisal in the Ministry of Primary and Secondary Education. There are three specific objectives, which are:

- to analyse the benefits and purpose of performance appraisal in the Ministry of Primary and Secondary Education;
- to examine the factors that influence the effectiveness of performance appraisal at Vainona High School; and
- to interrogate the problems associated with performance appraisal at Vainona High School.

My request to you is to provide me with answers to the questions that I have. The study is an academic exercise and the data I am going to collect shall be treated as confidential. Your participation in this research is voluntary and you are free to withdraw any time from the research should you feel uncomfortable. You are free to ask me any questions related to this research. You can contact me on 0775 716 378, [tanakdhliwayo@gmail.com](mailto:tanakdhliwayo@gmail.com).

1. Can you comment on how performance appraisal is conducted in the Ministry of Primary and Secondary Education?
2. What do you think is the purpose of performance appraisal in the Ministry of Primary and Secondary Education?
3. Which performance appraisal system do you use?
4. What are the benefits of performance appraisal in the Ministry of Primary and Secondary Education?
5. What are the disadvantages of performance appraisal?
6. What does the Ministry of Primary and Secondary Education do to reward outstanding performers?

7. What form of training is provided to the leaders (headmasters and heads of departments) in order for them to be able to effectively conduct performance appraisals?
8. Who sets the objectives of performance appraisal and is there consultation of the teachers?
9. What factors influence the effectiveness or ineffectiveness of performance appraisal at Vainona High School?
10. What challenges are associated with the process of performance appraisal at Vainona High School?
11. In the implementation of the new curriculum, what is new regarding the performance appraisal systems?
12. Do you have any information to share pertaining performance appraisal at Vainona High School?

Thank you for your time and effort

## **FOCUS GROUP DISCUSSION GUIDE**

### **Target Respondents: Teachers**

My name is Surprise Dhliwayo, a student studying towards the attainment of the Master of Public Administration (MPA) at the University of Zimbabwe. As a partial fulfilment of the requirements of the MPA programme, I am conducting a study on *'performance appraisal in the Ministry of Primary and Secondary Education: a case study of Vainona High School in Harare, 2009-2016'*. The main objective of the study is to examine the significance of performance appraisal in the Ministry of Primary and Secondary Education. There are three specific objectives, which are:

- to analyse the benefits and purpose of performance appraisal in the Ministry of Primary and Secondary Education;
- to examine the factors that influence the effectiveness of performance appraisal at Vainona High School; and
- to interrogate the problems associated with performance appraisal at Vainona High School.

My request to you is to provide me with answers to the questions that I have. The study is an academic exercise and the data I am going to collect shall be treated as confidential. Your participation in this research is voluntary and you are free to withdraw any time from the research should you feel uncomfortable. You are free to ask me any questions related to this research. You can contact me on 0775 716 378, [tanakdhliwayo@gmail.com](mailto:tanakdhliwayo@gmail.com).

### **Ground Rules**

- Let us value everyone's contribution.
  - We must give one another enough time to give their opinions and not interject.
  - One person must speak at a time.
  - We must speak through the moderators; raise your hand if you want to say something.
1. Which performance appraisal system is used in the Ministry of Primary and Secondary Education?
  2. Can you comment on the fairness of performance appraisal process in the Ministry of Primary and Secondary Education?
  3. What is the purpose of performance appraisal in schools?
  4. What do you think are the benefits of performance appraisal?
  5. What is the relationship between performance appraisal and remuneration?

6. How does the Ministry of primary and secondary education reward outstanding performers?
7. What are the negative effects conducting performance appraisals?
8. Comment on the extent of teacher participation in the setting of the goals and objectives of performance appraisal
9. What factors influence the effectiveness or ineffectiveness of performance appraisal?
10. What challenges are associated with the process of performance appraisal?
11. In the implementation of the new curriculum, what is new regarding the performance appraisal systems?
12. Do you have any information to share pertaining performance appraisal?

Thank you for your time and effort

## **APPENDIX II: LETTERS OF AUTHORITY TO CONDUCT RESEARCH**

University of Zimbabwe  
P.O. Box MP167  
Mt Pleasant  
Harare

15 February 2017

The Permanent Secretary  
Ministry of Primary and Secondary Education

CC: District Education Officer  
The Headmaster, Vainona High School

Dear Sir/Madam

### **SUBJECT: AUTHORITY TO CONDUCT RESEARCH**

I am a student studying towards the attainment of the Master of Public Administration (MPA) at the University of Zimbabwe. As a partial fulfilment of the requirements of the MPA programme, I am conducting a study on *'performance appraisal in the Ministry of Primary and Secondary Education: a case study of Vainona High School in Harare, 2009-2016'*. The main objective of the study is to examine the significance of performance appraisal in the Ministry of Primary and Secondary Education. There are three specific objectives, which are:

- to analyse the benefits and purpose of performance appraisal in the Ministry of Primary and Secondary Education;
- to examine the factors that influence the effectiveness of performance appraisal at Vainona High School; and
- to interrogate the problems associated with performance appraisal at Vainona High School.

My request to you is to give me authority to interview the headmaster and heads of departments as well as conducting focus group discussions with teachers at Vainona High School would can provide me answers to questions that I have. The questions are contained in the attached interview and focus group discussion guides. The study is an academic exercise and the data I am going to collect shall be treated as confidential. You are free to ask me any questions related to this research. Please find, attached, a letter from the University of Zimbabwe, confirming my enrollment.

Yours faithfully

Surprise Dhliwayo  
0775 716 378

[tanakdhliwayo@gmail.com](mailto:tanakdhliwayo@gmail.com)