



University of Botswana

Faculty of Business

Graduate School of Business

**AN INVESTIGATION OF EMPLOYEE PERFORMANCE
APPRAISAL PROCESS: THE CASE OF SUPPORT STAFF AT THE
UNIVERSITY OF BOTSWANA**

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Dissertation submitted in partial fulfilment of the requirements for the
Degree of Master of Business Administration

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DECLARATION

This work is a presentation of my original research work. Where other sources of information have been used, they have been acknowledged.

It was done under the supervision of Mr A. Tlhomole, Lecturer at the University of Botswana, Department of Management.

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DEDICATION

This work is dedicated to Thabang Maatla, my son. To my family; thank you for tolerating my regular withdrawals from normal family life throughout my MBA studies. You have supported me through thick and thin and I am forever grateful for your love. This work is also dedicated to the person who inspired me to enrol for MBA though I lost him on the way: to Tshepo, in memoriam. To my larger family and friends; thank you for understanding my 'absence'.

ABSTRACT

The aim of this dissertation was to investigate the process of performance appraisal as a catalyst for value addition from support staff of UB. Empirical literature was accessed and synthesised in order to situate the current study in the global context. In terms of methodology, a mixed method approach was used. Qualitative and quantitative data was obtained from relevant sources. The instruments used to collect data from respondents were survey questionnaire and interview guide. Both quantitative and qualitative methods were employed by using concurrent transformative design to ensure easy description and reporting of data. Data analysis was by Statistical Package for the Social Science (SPSS) using the descriptive statistics and Chi Square statistical analysis and graphs cast using Microsoft Excel Spreadsheet. In addition, ethical principles and standards were observed. These included consent to conduct the research which was obtained from the Office of Research and Development and a green light from the supervisor.

The results of the study showed that respondents feel that management commitment in this regard is lacking. Among the reason to support this was that appraisals were done less frequently than it was necessary and desirable, and the supervisors with small number of supervisees seemed to be more committed to tracking performance via appraisals than those with a large number of subordinates. In addition, the study revealed that there was lack of performance improvement programmes for support staff of UB. In light of the above, this study submits that the results of this study can be used to improve the performance appraisal process and by so doing, improve on the employee performance.

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LIST OF ACRONYMS

BNPC	Botswana National Productivity Centre
HRM	Human Resource Management
KPAs	Key Performance Areas
KPIs	Key Performance Indicators
ORD	Office of Research and Development
PA	Performance Appraisal
PM	Performance Management
PMS	Performance Management Systems
SPSS	Statistical Package for Social Sciences
UB	University of Botswana

CHAPTER ONE

INTRODUCTION

This study was on the performance appraisal of support members in the University of Botswana (UB). Having set forth lofty goals of becoming a leading academic institution in Africa and the world, the University of Botswana has articulated its vision as one demanding to join the Ivy League universities of the world. It goes without saying that academic excellence cannot be achieved without top-notch resources, including non-academic human resources. The state-of-the-art campus, an international faculty, an impressive operational budget and a swelling enrolment will culminate in naught if the people who weave it all together into a seamless operation are not worth their weight in gold.

Performance Management System (PMS) is a human resources process primarily interested in getting the best performance out of both the individual employees, teams and the organization as a whole (Armstrong & Baron, 2000). More details on performance management system are presented in Chapter Two of this study. This chapter presents a detailed background of the study; statements of the problem that underpins the study; the theoretical framework that guides the study; the study objectives and research questions that are derived from the problem; and the significance of the study. Finally, the chapter presents detailed definitions of operational terms used in the study. Such terms include: Performance appraisal and support staff.

1.1. Background of the study

The formal inauguration of the University of Botswana was performed on October 23, 1982 by His Excellency Sir Ketumile Masire, then President of the Republic of Botswana. The University of Botswana was set up for the purpose of conducting research, examining and awarding degrees, diplomas and certificates.

The University is divided broadly into three types of specialised work: academic affairs, finance and administration, and student affairs. Each of the specialized work units is represented at the top management level. For instance, the Vice Chancellor, who oversees the day-to-day running of the university, is assisted by three Deputy Vice Chancellors. They include Deputy Vice Chancellor Academic Affairs; Deputy Vice Chancellor Finance and Administration, and Deputy Vice Chancellor Student Affairs. Support staff members are found in all the three divisions of the university. This shows the centrality of support staff members in the core business of the university. And performance appraisal is one of the strategies that could be adopted to ensure that support staff add value to the overall business of the university.

The University Botswana PMS Manual was introduced in 2007 to appraise the level of productivity of both the support and academic staff. The particular method of choice employed by UB to manage performance is the Performance Appraisal process. According to Hooper and Newlands, (2009), Performance Appraisal is a process within a PMS. PMS allows for a systematic Performance Appraisal of all personnel, which makes it easy to manage, measure and reward performance of the employees. The University PMS cycle involves some important features of planning and measuring performance, supporting, monitoring and evaluation, rating, reporting

and rewarding performance (University of Botswana, 2008). The performance appraisal process exercise normally runs from September to December where employees receive forms to fill in and self-rate their performance and submit them to supervisors.

This study concentrated on the support staff of the University of Botswana. Though the support staff cadres' functions differ from one unit to the other, University of Botswana has resorted to using a generic performance appraisal tool for all the support staff. This study investigated whether the adopted performance appraisal tool was suitable for a holistic approach to performance evaluation. The intention was to find out whether the then performance appraisal was benefiting the University employees and whether there was an increase in their performance as suggested by Sudin, (2011). This was done by determining how effective the University of Botswana performance appraisal was, as a tool that was supposed to enhance employee performance. The study also looked into how performance appraisal was done. Furthermore, the study was to analyse whether performance appraisal was well implemented, and whether it followed set procedures so as to benefit both the University and its support staff.

1.2. Statement of the Problem

Support staffs' level of performance is critical to the success of the University of Botswana. They are the category of staff members who help the academic staff members in driving the core mandate of the university. Support staff members play an important role in supporting teaching and learning in universities across the globe.

In the case of University of Botswana, support staff members form an integral part of the university's overall strategic intent of "becoming a leading centre of academic excellence in Africa and the world" (University of Botswana, 2008:1). Therefore, it was imperative to assess the performance of support staff members in a university context. Notably, lots of empirical studies have been conducted on performance appraisal staff members in numerous organizations. For example, Manasa and Reddy (2014) focused on how accounting professionals have benefitted from performance appraisal. In Abu-Doleh and Weir (2012), their target population was a selected group of health workers, whereas Broady-Preston and Steel (2012) focused on marketing agents and sales representatives. More specifically, Cederblom (2002) examined the performance appraisal interview process in an Indian-based college, highlighted implications, and made suggestions. In all the studies that the researcher of the current study accessed, none of them studied university support staff. That created a gap in knowledge which by extension brings about a dearth in literature.

Organizations of all sizes in Botswana, especially those in the public service, have always been hounded by allegations of poor service and low productivity (DeNisi and Pritchard 2006). Highlighting this scourge, for example, Tshukudu (2014) pointed out that the public service in Botswana has experienced problems such as; absenteeism and lateness at work, poor public relations and outright public criticism. University of Botswana is no exception to the above scenario. As a government funded institution, the University of Botswana has not escaped the lumping together of less than stellar performers of government agencies. There have even been allegations by some academic staff that support staff in University of Botswana get high ratings and rewards in PMS, regardless of some performing poorly. This allegation was hard to

denounce because as the preliminary study has found, the performance measurement tool used to appraise UB support staff is too generic, making it unfair and difficult to measure the actual performance. It would appear that performance ratings are awarded to support staff arbitrarily, with some getting high marks without any performance results to prove that they were deserved. The picture emerging from this, points to an embarrassing reality that an academic institution that seeks to attain a glowing reputation in the world does not have a legitimate and honourable performance appraisal for its staff. As highlighted earlier, despite the abundant literature on performance appraisal, there is a dearth of studies on the assessment of performance appraisal process among university support staff members in Botswana. Limited emphasis on this subject serves as a foundation for this study. Based on the foregoing, the researcher sought to investigate whether performance appraisal for University of Botswana support staff was inappropriate and whether it has any positive or negative impact on the institution's strategic goals.

1.3. Theoretical Framework

Performance appraisal is a critical part of PMS which is aimed at achieving a number of important objectives such as motivating performance, helping individuals to develop their skills, building a performance culture and determining who deserves to be promoted (Wilton, 2013). Some key features of PMS as mentioned by Armstrong and Murlis (1991) include performance review/appraisal, performance related-pay, performance agreements or contracts as well as performance improvement programmes.

Several other authors have highlighted how both organizations and employees can benefit from performance appraisal. Wilton (2013), for instance avers that performance appraisal allows a formal chance for both the appraiser and the appraisee to review and reflect on the progress of an employee in relation to performance objectives so that a plan to improve on performance is made. Performance appraisal gives an opportunity to make decisions on merit-based salary increase, training, promotions or necessary remedial action for poor performance among other things. Performance appraisal is a common practice across organizations. It is a concept that is not limited only to the private sector, but is also used in the public parastatals and non-government organizations. The performance appraisal tool used for gauging the performance of University of Botswana support staff is at the centre of this dissertation. The overall objective of this study was to determine the effect of the implementation process of performance appraisal process in University of Botswana.

For this study Vroom's Expectancy Theory was adopted to find out what motivated employees to perform and what could be done to improve on performance appraisal.

1.4.1 Vroom's Expectancy Theory

According to Victor Vroom of the Yale School of Management, an individual will behave or act in a certain way because he/she is motivated to select a specific behaviour over other behaviours due to what they expect the result of that selected behaviour will be. By advancing his Expectancy Theory of motivation, Vroom (1964) holds that employees put more effort when they expect their performance to increase the level of outcome. Further, he suggested that employees' level of performance is

also determined by the extent to which they value a particular reward, such as salary increment, promotion, and recognition.

Isaac, Zerbe and Pitt (2001); Liu, Liao and Zeng (2007) defined expectancy as a person's estimation of the probability that effort will lead to a successful performance. To them, Expectancy also means that a person's estimation of the probability that their effort will lead to a successful performance (Isaac et al., 2007). Another proponent of the Expectancy Theory, Lee (2007), stressed that when employees believe that some certain amount of input will bring a desired output, they would put more effort in performing their tasks. Lee (2007) further states that according to the expectancy theory, individuals must expect that certain behaviour will have certain outcome. Thus, components of the Expectancy theory include expectancy, instrumentality, and valence. Lunenburg (2011) defines instrumentality as an individual's estimate that achieving a certain level of task performance will lead to a certain work outcome. Instrumentality concerns a person's expectations that the rewards they receive are closely tied to their level of performance while valence is about the extent to which a person values a particular reward (Fudge et al., 1999). According to Fudge et al. (1999) an employee who expects to yield high performance by putting more effort in his/her work will be more motivated to perform than will an employee with low expectation. Figure 1 below is a Basic Expectancy Model (Lunenburg, 2011).

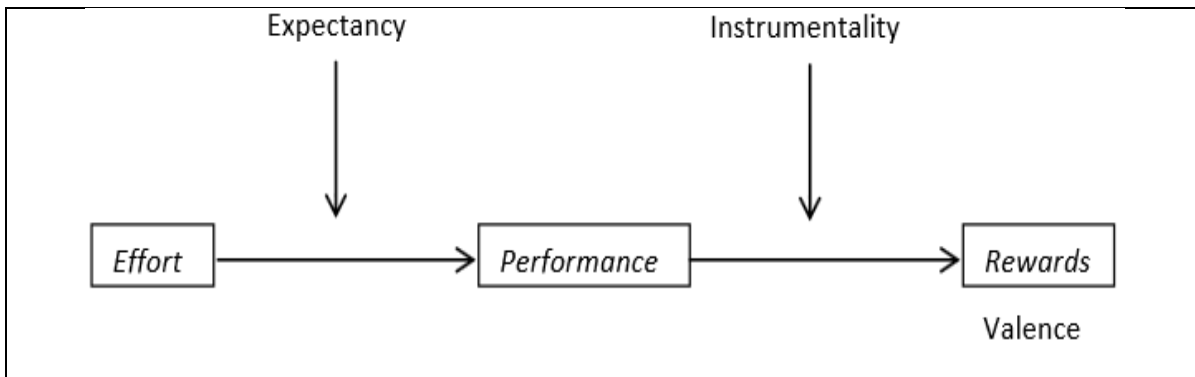


Figure 1: The Basic expectancy Model

(Source: Lunenburg, 2011)

In summary, Expectancy Theory implies that individuals will only put in an effort to achieve something for a reward. The theory's central argument is that individuals have different sets of goals and can be motivated if they believe that there is positive correlation between efforts and performance and that favourable performance will result in a desirable reward. The reward, by extension, will satisfy an important need.

On the basis of the foregoing, the choice of Vroom's Expectancy Theory positioned the current study within the context of quantitative methodology. Further details of the methods used in this study are provided in Chapter Three.

1.4. Research Questions

- i. What is the implementation process of the University of Botswana performance appraisal?
- ii. How does the appraisal process enhance employee effort and performance?
- iii. How does the work of support staff members add value to the core business of the University of Botswana?
- iv. What are the outcomes of support staff performance appraisal and how do they contribute to the core business of the University of Botswana?

- v. What strategies can be employed to improve performance appraisal process in the University of Botswana?

1.6 Objectives

The overall objective of this study was to investigate the employee performance appraisal process. The study focused on the implementation of appraisal process and how it contributed to the overall goals of UB. The specific objectives were:

- i. To determine the implementation process of the University of Botswana performance appraisal.
- ii. To examine the extent to which performance appraisal process enhances employee efforts and performance.
- iii. To assess the outcome of support staff performance appraisal and determine how they contribute to the core business of the University of Botswana.
- iv. To identify the strategies that can be employed to improve performance appraisal process in the University of Botswana.

1.6.1 Research Hypothesis

In order to answer the above research questions, the following hypotheses were suggested:

- i. There is a significant relationship between levels of employment and how serious supervisors take performance appraisal.
- ii. There is significant relationship between level of employment, length of service and supervisor ratings accuracy.
- iii. There is significant relationship between level of employment, length of service and performance appraisal factors.

- iv. There is significant relationship between level of employment, length of service and performance appraisal goals.
- v. There is significant relationship between level of employment, length of service and the impact of PA on employees' performance.

1.5. Significance of the Study

A system of effective performance appraisal is a critical component of the university's management and a foundation for the safe and sound operation of its core business. Additionally, a system of strong performance appraisal can help to ensure that the goals and objectives of an organisation will be met, and that the organization will maintain a reliable performance management system.

The current study was significant in diverse ways. It was intended that the results of this study would be used by managers and supervisors in evaluating the University of Botswana's performance appraisal system. The findings and results would provide more reliable scientific information on the challenges of the implementation of performance appraisal processes of the university. It would further provide empirical support for management's strategic decisions in several critical areas of its operations. Again, it would provide a justifiable and reliable guide to designing workable performance appraisal procedures and processes for creating and delivering employee value, and achieving sustainable business growth.

To policy makers, like the Directors in the University of Botswana, government agencies, financial institutions, and corporate organizations, the findings and results

of this study would provide invaluable insights on performance appraisal procedures and the challenges of operating them in organizations. Such information is relevant in formulating improved performance appraisal policies. Finally, the study would be a contribution to the existing literature on performance appraisal practices. Thus, the findings of the study would be relevant to future research.

1.6. Definition of Terms

Certain terms were used for the purpose of this project.

1.6.1. **Effectiveness** – Rink (2014) describes effectiveness as having outcomes and behaviours that are most related to producing desired outcomes. Quality Research International (2014) adds that the effectiveness of an activity is measured by the extent to which it fulfills its intended purpose or function. This study used the word effectiveness as defined by (Rink, 2014).

1.6.2. **Employee Performance** - refers to a record of outcomes produced on a specified job function or activity during a specified time period (Bernardin & Wiatrowski, 2013). Performance on the other hand is defined as a process of work that brings the desired output (Wilton, 2013). He further stated that, HR policies and practices can improve performance by addressing employee ability, motivation and opportunity but a deficit in any of these can lead to poor performance, even if the other two are fine (Wilton, 2013). This shows the importance of having managers that can address the said dimensions in order for the employees to perform. Sanderson, Harshak and

Blain (2009) explains two types of performance, by stating that, standard performance is when an individual delivers in a normal course of fulfilling a role, while elevated performance is when an individual goes an extra mile to produce even more. Employee performance was used in the context of having workers whose efforts are geared towards organizational goals with their results measured as per specified jobs within specific time period

1.6.3. Performance Appraisal – “the steps of observing and assessing employee performance, recording the assessment, and providing feedback to the employee” (Armstrong & Baron, 2004, p.81). Performance appraisal and performance management are often used interchangeably (Grote, 2000). Bacal (1999, p.93) state that “performance appraisal is the process by which an individual’s work performance is assessed and evaluated and it answers the question, How well has the employee performed during the period of time in question?” It is a process that involves, “creating work standards; evaluating employee’s actual performance relative to those of work standards; and giving feedback to the employee so as to motivate him/her to improve their job performance or eliminate performance deficiency?” (Yee & Chen, 2009, p.11).

The performance appraisal exercise has a number of benefits to organizations. It can be used to come up with effective ways of managing and developing human resources, develop employee competencies, enhance performance, pay increments, promotion, demotion, control employee

behaviour, inspire them to contribute to the company's growth and expansion and to determine individual merit (Modell & Gronlund, 2007; Sudin, 2011).

This study has used the performance appraisal as defined by (Yee et al., 2009). It was the most convincing because it was comprehensive and encompasses the key attributes of creating work standards, evaluating employee actual performance relative to work standards and giving feedback to the employee.

1.6.4. **Support Staff** - the non-teaching cadres of the University of Botswana such as managers, administrators, secretaries, and technicians (University of Botswana, 2015). They constituted 53 percent of the university workforce. Support staff is key in the way in which the university delivers its business and supports its students and customers (University of Botswana Strategic Plan, 2008). University of Botswana also had academic staff engaged in teaching, research and publication among others. University of Botswana has also industrial staff member who constituted a smaller portion of the workers (University of Botswana, 2015).

1.6.5. **University of Botswana** – is a government institution which was established in July 1982 by an Act of Parliament. It is governed by the University Council responsible for the work and progress of the University towards the achievement of its goals (University of Botswana, 2014). The University of Botswana vision is to be a leading academic centre of excellence in Africa and the world. Its mission is to improve economic and

social conditions for the Nation while advancing itself as a distinctively African university with a regional and international outlook (University of Botswana, 2014).

1.7. Scope of the Study

The study focused on the support staff. The research was limited to the University of Botswana support staff, which constitutes a larger percentage (53%) of the organization as at year 2013 (University of Botswana, 2014). It was cost effective for the researcher to access the selected areas of study because of time and resource constraints. The academic and industrial staff were not included in this study.

1.8. Structure of Dissertation

The first chapter begins with an introduction, the background of the study, problem statement, brief literature, theoretical framework, research questions and objectives. It also covers the significance and the scope of the study, definition of terms and the structure. The second chapter of the dissertation will present the review of related literature which includes some performance appraisal theories which will link the existing theories and the case study. The third chapter presents the methodologies used; research philosophy, design, sources of data, data collection methods and instruments, reliability and validity of the study and the statistical tools that were to be used to analyse data. Chapter four presents result presentation and analysis while chapter five covers the discussion, conclusions and recommendations. The last two sections are for references and appendices.

1.9. Conclusion

This chapter provides the basic rationale behind this research. It stipulates the objectives and the justification of this study. The main objective was to investigate the UB employee performance appraisal. That was to be done using the key objectives of investigating how performance appraisal process was implemented; the extent to which it enhanced performance; how support staff contributed towards the UB core business and coming up with ways to further improve on performance appraisal. The study was focused on the support staff of the University of Botswana. Vroom's Expectancy Theory was used as a theory that could find out what inspired employees to perform or not. The chapter that follows presents discussions on relevant literature.

CHAPTER TWO

LITERATURE REVIEW

2.1 Introduction

This chapter presents an overview of performance appraisal, from the definition, importance and to how it is related to other human resources principles such as performance management system and performance management. The chapter also looks at the important concepts of performance appraisal, including performance appraisal methods, responsibility for appraisal and how appraisal interviews are conducted. The chapter continues to discuss challenges associated with appraisal and what can be done to make performance appraisal an effective tool for performance improvement. The last part of this chapter focuses on performance appraisal in public owned institutions.

2.2 Performance Appraisal

Performance appraisal is defined as formal steps of observing and assessing employee performance and recording them after which some feedback is provided to the employee (Armstrong & Baron, 2004). Similarly, Bacal, (1999, p.93) explained that performance appraisal actually, answers the question, “How well has the employee performed during the period of time in question”? Performance appraisal can improve performance by incorporating employee objectives with the strategic plan of an organization (Rees & Porter 2001).

Performance appraisal is very important to organizations because:

“All organizations must face up to the challenges of how to evaluate, utilize and develop the skills and abilities of their employees to ensure that organizational goals are achieved, and also to ensure that individuals gain as much satisfaction as possible from their jobs while making effective contributions” (Anderson, 1993, p.3).

In the view of Anderson (1993), there are three objectives of performance appraisal being; administrative used purely for administrative decisions like promotions and salary increases; informative where performance appraisal is used to inform management on the performance of subordinates and give individuals data on their strengths and weaknesses; and last but not least, the objective of performance appraisal is to motivate staff to develop and improve their performance. Other objectives of performance appraisal are; “to judge the gap between the actual and the desired performance; to provide feedback to the employees regarding their past performance; to judge the effectiveness of the other human resource functions of the organization such as, training and development” as explained by (Kumari, 2014, p.38-39).

Furthermore, there are basically three parties to performance appraisal suggested by Anderson (1993), the appraisee - the person being appraised; the appraiser - the manager or supervisor conducting the appraisal; and the organization which is the employer. The appraiser’s role is generally to give clear results/standards expected of the appraisees, the accurate and constructive feedback on past performance; and to develop plans of how performance is going to be improved.

The appraisers, on the other hand, benefit:

“The opportunity to measure and identify trends in performance of staff; better understanding of staff, their fears, anxieties, hopes and aspirations; the opportunity of clarifying the appraiser’s own objectives and priorities, with a view of giving staff a better view of how their contribution fits in with the work of others; enhanced motivation of staff, by focusing attention on them as individuals; developing staff performance and identifying opportunities for rotating or changing the duties of staff” (Anderson 1993, p.18).

Fundamentally, organizations benefit from performance appraisal because it enhances motivation of staff and most importantly, improves corporate performance. The number of performance appraisal intervals differs from one organization to the other. Some conduct it annually while others do it regularly throughout the year (Armstrong & Baron 2000; Fletcher 2001; Smith & Hornsby, 1996; Yee et al., 2009). Regular appraisal are preferred because they create an opportunity for supervisors to continually review and examine the employee performance so as to identify their strengths, weaknesses and opportunities for development (Yee et al., 2009). Regular review can also be a sign of how serious organizations take the process of employees’ appraisal by not treating it as a mere event where managers rate their subordinates’ performance over the past twelve months (Grote, 2000). Likewise, Gregersen, Hite and Black, (1996) concur, stating that it is not enough to appraise performance once or twice only during the year, because it will be difficult at the final review, to recall the previous six months or twelve months. However it is said that supervisors that normally perform fewer appraisals or avoid them are those that are

not familiar with the jobs of their subordinates (Gregersen et al., 1996). Having examined the concept of performance appraisal and the parties and processes involved, the sub-section that follows presents discussions on the relationship between performance appraisal and performance management.

2.2.1 Performance Appraisal and Performance Management

Performance management (PM) is explained by Armstrong et al., (1991, p.195) as a process of getting “better results from the organization, teams and individual by understanding and managing performance within an agreed framework of planned goals objectives and standards”. They further pointed out that performance management is a broader concept, relative to performance appraisal and performance-related pay. It is a process where managers work with employees to set targets, measure review results and reward performance so that the employee and organizational performance is improved. “Identifying training needs and appropriate pay arrangements are also usually an integral part the performance management process”, (Rees & Porter, 2001, p.236). This definition links performance management to training needs and relevant pay arrangement. In addition to this, Armstrong (2000) described performance management as a process within the human resources management which is concerned with getting the best performance from individuals in an organization, from teams, and the organization as a whole. Performance management “involves multiple levels of analysis and is clearly linked to the topics studied in strategic human resources management as well as performance appraisal (Den Hartog, Boselie, & Paauwe, 2004, p.556). It should be noted that Armstrong (2000) sees performance management as a process or a systematic procedure of doing things. The study also puts performance management

in the context of human resource division of an organisation. This is the view maintained by Den Hartog et al (2004).

Den Hartog et al. (2004) have stressed that performance management is important as far as performance appraisal is concerned; it is a system that manages organizational performance and performance of employees. It is evident that performance management is a requirement for the success of performance appraisal; they both work towards the ultimate goal of enhancing employee performance and subsequently that of an organization. Parker (2000) has mentioned that the purpose of measuring performance should be to improve it by identifying what needs to be changed or done differently in order to improve performance. He explained that, measuring performance should be done in order to improve performance.

2.2.2 Performance Appraisal and Performance Management System (PMS)

Performance Management System is a human resources process primarily interested in getting the best performance out of both the individual employees, teams and the organization as a whole (Armstrong & Baron, 2000). Performance appraisal process is normally incorporated within Performance Management System which itself involves a number of activities that are performed in order to boost employee performance and ultimately that of the organization (DeNisi & Pritchard 2006). The foregoing view is consistent with Lawler (2003) who states that performance appraisal is a critical part of PMS which is aimed at achieving a number

of important objectives such as motivating performance, helping individuals to develop their skills, building a performance culture and determining who deserves to be promoted. Performance appraisal is one of the features of PMS articulated by Armstrong and Murlis (1991). Other PMS features according to them include performance agreements or contracts and performance improvement programmes. The section that follows presents a discussion on the uses of performances appraisal.

2.3 Uses of Performance Appraisal

Performance appraisal is very important because of a number of benefits it gives to organizations. Several authors who have advanced theories on how both organizations and employees benefit from performance appraisal maintain its importance in different ways. Wilton (2013), for instance stated that performance appraisal allows a formal chance for both the appraiser and the appraisee to review and reflect on the progress of an employee in relation to performance objectives so that a plan to improve on performance is made. Performance appraisal gives an opportunity to make decisions on merit –based salary increase, training, promotions or necessary remedial action for poor performance among other things.

Over and above these uses, Mondy et al. (2014) further articulated a number of uses of performance appraisal such as human resource planning, recruitment and selection, training and development, career planning and development. In addition, they highlighted that performance appraisal can be used as a tool for human resource planning. This is done by identifying employees who have potential for any

internal employee relation such as promotion. Performance appraisal can, for example, alert an organization on insufficient number of employees who are equipped for managerial positions. That would therefore help an organization to come up with management development and succession planning.

With regard to recruitment and selection, performance assessment ratings can be used to predict the performance of job applications, by looking for certain behaviour, which is associated with high performance to recruit and select employees. Performance appraisal can again help in identifying specific areas that need employee training and development. It can similarly be used for career planning and developments by using it to find the strengths and weaknesses of employees in order to identify their individual potentials.

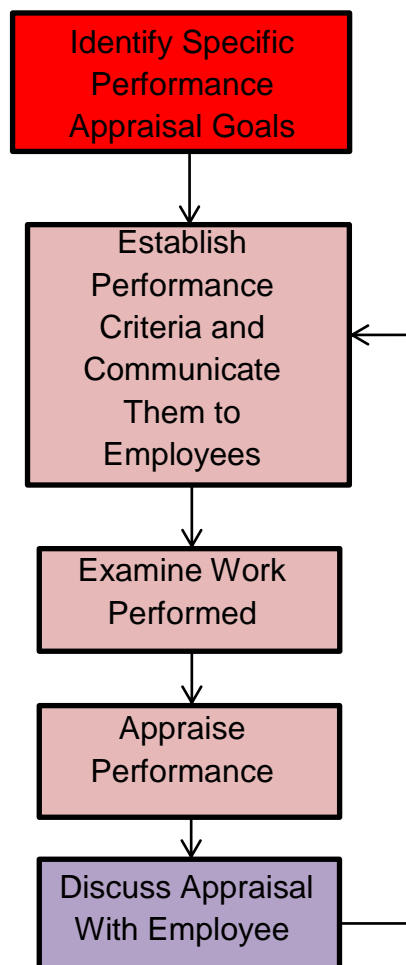
According to Grote (1996), performance appraisal meets three needs; one need for the organization and two needs are for individuals. Firstly, performance appraisal is used to systematically support promotions, salary increment, transfers, and demotions pertaining to individuals in an organization. Secondly performance appraisal is used by organizations to inform employees how they are doing and what needs to be done to change their behaviour, attitudes, skills and other areas for the betterment of their performance. Thirdly, performance appraisal meets is that of coaching and counselling of the employees by their supervisors (Grote, 1996). Rees et al. (2001) also mentioned other reasons for conducting appraisal; performance review, identification of training needs, pay review, determining upgrading, probationary review and review of duties.

In the final analysis, performance appraisal can provide feedback which can be used for, development of employee competencies; and enhance performance and rewards (Modell & Grönlund, 2007). It can also be used to reward employee performance so that they are inspired to contribute to the organizational growth (Sudin 2011). In the section that follows, performance appraisal processes are presented. Some of the sub-areas covered in this literature review include performance planning, performance execution, performance assessment, performance review performance renewal and re-contracting.

2.4 Performance Appraisal Process

Below is performance appraisal by (Mondy et al., 2014, p.224):

Figure 2: Performance Appraisal Process



According to Mondy et al. (2014,) performance appraisal starts with identification of performance appraisal goals followed by establishing performance standards and communicating them to the employees. The third stage is where now the work is done so that it is appraised at the end of performance period. Then the work is evaluated against the specific performance appraisal goals established at the beginning of the period. The evaluation helps to see how well an employee has performed and to identify any performance deficiencies so that a plan is made to correct them. Finally, the performance is discussed by the supervisor and the employee and goals for the next evaluation period are set as the cycle repeats.

Complementary to the above, Grote (2000) has come up with similar five phased performance appraisal process made up of; performance planning, performance execution, performance assessment, performance review and performance renewal and re-contracting.

2.4.1. Performance Planning

The initial stage is where planning of what has to be accomplished in the next performance period is made. The plan is mutually made up by the supervisors and their subordinates, agreeing expected targets, objectives to be achieved, and the standards that would be used to measure whether the objectives were achieved or not. At this stage, other important performance factors such as employee competence and development are considered.

2.4.2. Performance Execution

The next stage would be the actual execution of the plan. An individual employee at this stage implements what they previously planned for, getting feedback and coaching from the supervisor as they prepare for the review. The supervisor on the other hand would be responsible for motivating and observing performance, updating objectives accordingly, and help subordinates eliminate unnecessary behaviours and reinforce necessary ones.

2.4.3. Performance Assessment

At the third stage of the performance appraisal process, the actual assessment of employee performance takes place. The assessment results would then be reviewed and approved by senior management and human resources department. Afterwards, the results would be discussed with the subordinate. At this stage the subordinates can be asked to contribute by assessing themselves using feedback from other stakeholders such as customers and peers.

2.4.4. Performance Review

The next stage in the process is performance review. This is where the supervisor and the employee meet to review and discuss the appraisal and mark a way forward. The discussion includes; results achieved and, how they were achieved, overall performance assessment and development progress.

2.4.5. Performance Renewal and Re-Contracting

The process ends with performance renewal and re-contracting. At this stage, the supervisor and employee meet again to pre-plan for the next performance appraisal.

This is where the previous plan is reviewed, necessary adjustments made and - performance objectives reset. Meyer (1991) has pointed out that this stage is critical because with it, the organizations are moving away from the authoritarian process to a more involvement-oriented working environment. He believes organizations need to adopt an involving performance appraisal where both the supervisor and subordinate self-reviews are taken into consideration (Meyer, 1991).

Anderson (1993) on the other hand has come up with a shorter process, first stage is where the supervisor and the employee agree on what is expected in terms of the kind of and levels of performance. This agreement would curb the possible disagreements and hostility at feedback period. This stage is basically where performance objectives are set. Such objectives have to be clear to both the supervisor and the employee.

According to Anderson (1993) the next stage on performance cycle is measuring and evaluating performance. This can be done by direct observation by the appraiser, self-completion diaries, “undertaken by job holders may assist in providing information to appraisers about the mix of activities of employees, and their time prioritization” (Anderson, 1993, p.62). Measuring and evaluating performance also involves critical incident methods where a few incidents are selected, “in which the performance of individuals has been particularly effective and ineffective” (Anderson, 1993, p.62). These are selected to find both the strengths and the weaknesses of the employee. This leads to the final stage of the cycle where individuals are provided with feedback and an opportunity to discuss their performance. This is a stage where appraisal interviews are conducted, normally done on one-on-one basis. The

foregoing review on performance appraisal is fundamental to the current study. The reason is that the first objective of the study is to examine the implementation of performance appraisal process and determine how the process contributes to the overall goal of the organisation. A part of performance appraisal process is the systematic way in which appraisal is done. The next section focuses on performance appraisal methods.

2.5 Performance Appraisal Methods

A number of appraisal methods have been articulated in literature. For example, DeCenzo (2005) advocates for critical incident appraisal; DeCenzo et al. (2005) endorse the checklist appraisal approach; and the adjective rating scale. Other methods articulated in literature include Wilton's (2013) 360-degree feedback evaluation method; and Mondy's (2014) essay method.

2.5.1. Evaluating Absolute Standards

This is a technique that compares employees with set standards by evaluating employee's job traits and/or behaviours. Absolute standards are made up of three methods namely; critical incident appraisal, the checklist, the adjective rating scale, forced choice, and behaviourally anchored rating scales.

2.5.1.1. Critical incident appraisal

Grote (1996, p.132) states that critical incident appraisal is whereby an assessor collects information pertaining to the situations in which employee acted "in ways that were either especially effective or especially ineffective" in accomplishing parts of their jobs. DeCenzo (2005, p.251) alternatively defines critical incident as, "a

performance evaluation that focus on key behaviours that differentiate between doing a job effectively or ineffectively”. Hence the critical incident appraisal has an advantage of being behaviour based because with it the rater assesses the actual job as opposed to traits. However, this technique can be time consuming as appraisers have to write down incidents for all their supervisees.

2.5.1.2. Checklist appraisal

This is a type of absolute standard where a rater comes up with a list of behavioural descriptions. The descriptions are then used to rate the employee’s attributes against those that are applicable to them (DeCenzo et al., 2005). Upon completion of the ratings, the rater does not do the actual ratings themselves but they usually hand over the job to human resources staff for rating. In some cases however the rater does the ratings which make them responsible to give feedback to the employees. Just like critical incident technique, the checklist appraisal technique can also be tedious and time consuming.

2.5.1.3. Adjective Rating Scale

It is, “a performance appraisal method that lists traits and a range of performance for each, (DeCenzo et al., 2005, p.252). Furthermore, DeCenzo (2005, p252) continues to explain that in the adjective rating scale, ‘the assessor goes down the list of factors and notes the point along the scale that best describes the employee”. To avoid biasness using this method, it has to be designed in way that ensures the raters understand factors which are evaluated together with the scale points.

2.5.1.4. Forced Choice

Forced-choice appraisal is a special type of checklist which allows the rater to choose between two or more statements during the appraisal. The choice is determined by its relevance to the description of the assessed person. The advantage of using this method is that the rater is not the one who chooses the answer, it is rather chosen by the HRM guided by the answer key for the job under evaluation, hence less risk and biasness.

2.5.1.5. Behaviourally Anchored Rating Scales

This, according to DeCenzo (2005) is a combination of key concepts of critical incident and adjective rating scale approaches. “The appraiser rates the employees based on items along a continuum, but the points are examples of actual behaviour on the given job rather than general descriptions or traits”, (DeCenzo, 2005, p.253). Individuals are rated by asking them to demonstrate some effective and ineffective behaviour they have displayed in performance; these are then interpreted into relevant performance measurements.

2.5.1.6. 360- Degree Feedback Evaluation Method

360-degree feedback evaluation method is defined by Mondy et al. (2014, p.29) as a method that is made up of input from various levels in the organization as well as some external sources. Wilton (2013) similarly describes 360-degree appraisal as a multi-rater appraisal that aims at getting assessment data from a number of sources. He continues to say such method is essential especially where line managers are not close enough to their subordinates to solely appraise them. Mondy (2014) stated

that multiple sources of appraisal in this method include subordinates, supervisors, internal and external customers, peers, team members and senior managers. Deblieux (2003, p.29) stated that, “A 360-degree review is intended not as a popularity contest but as a way to get a complete picture of how the employee interacts with others while doing his job”.

Fletcher (2001) has highlighted the importance of 360-degree feedback because it helps the managers to be ‘self-aware’ by getting the difference between their self-appraisal results and those of others. Thus “producing greater congruence between their self-assessment of their performance and the way it is viewed by bosses, peers, customers and subordinates” (Fletcher, 2001, p.477). Having multiple raters has an advantage of making the process more legally defensible (Mondy et al., 2014). In addition, involving customers in appraisal process can improve customer focus; while involving peers can help in team building (Wilton, 2013).

2.5.1.7. Essay Method

In this approach, the manager describes the subordinate’s performance in a blank sheet of paper and later on discusses what they have written with the subordinates (Martin, 2010). Mondy (2014) agrees, saying that with this method, the appraiser writes a brief description of the employee’s performance (Mondy, 2014). He further explains that, the method tends to focus on extreme behaviour in the employee’s work rather than on routine day-to-day performance (Mondy, 2014). Moreover, with essay method the evaluation depends on the writing skills of the evaluator, for

example, a supervisor who has excellent writing skills can make an average worker sound like a top performer and vice versa.

2.5.1.8. Using Achieved Outcomes Methods

Using achieved outcome method is whereby the success is determined by how employees have accomplished their objectives. According to DeCenzo (2005), this approach can be referred to as goal setting or management by objectives (MBO). Management by objectives is defined as a system that assists organizational effectiveness by directing individual employees' behaviour toward the organizational mission (Kleiman 2000). MBO allows employees and supervisors to jointly set performance goals and steps to accomplish them, measure accomplishment and get feedback on progress towards goal accomplishment (Murphy and Cleveland, 1995). MBO is a technique that helps in coming up with clear and well defined objectives that would be used to properly assess performance because appraising with unclear or conflicting objectives "may not only be a waste of time but may actually be counter-productive", (Rees et al., 2001, p.224).

Additionally, MBO is an approach that involves finding out key tasks, projects and any other objectives that needs to be attained during the review period (Martin, 2010). In this approach, supervisors and employees mutually agree on the next appraisal period objectives using the result-based system (Mondy, 2014). He continues to write that, MBO evaluates performance guided by progress toward attaining of the objectives.

In MBO, it is the manager's responsibility to take some corrective actions when results are not as expected. Action taken may be in form of making some changes in personnel, organization or even change in objectives. MBO also advocates for training and development to both managers and employees in order to get the desired results.

2.6 Responsibility for Appraisal

Coordinating the design and implementation of performance appraisal programs is normally the responsibility of HR department (Mondy et al., 2014). They also said that the success of performance appraisal lies in the participation of line managers from inspection to the end, including its development. The responsibility however does not lay with the managers only, "there are a number of possible people who will have a view on the performance of any individual in a work context". These can be combined to produce a 360-degree appraisal which includes; self, supervisor, peers, suppliers, customers, subordinates and team members (Martin, 2010, p.215).

In agreement with the above, Martin (2010) has come up with some factors against which performance can be measured and these include; type of job, level of seniority, scheme design and industry. He revealed other possible factors such as; job knowledge and capabilities, productivity, performance against target, quality of work, attitude to work, management and originality of thinking and initiative in problem solving (Martin, 2010, p.215).

2.7 Performance Appraisal Interviews

Performance appraisal process reveals that at the end of the process there has to be an interview where feedback is given and way forward is marked in preparation for next performance period. Martin (2010) explains that performance interview's purpose is to ascertain the strengths and weaknesses in employee performance and coming up with ways of reinforcing the former and overcoming the latter.

However, it is stated that performance interviews are not always easy. "It is natural for individuals to feel apprehensive about being judged and evaluated by their boss, the reason being that the outcome could include the award or withholding of a pay rise, promotion, or even termination" (Martin, 2010, p158). In agreement with this, Mondy et al. (2014) mentioned that appraisal reviews meeting can do more harm than good to employee-manager relationship as they usually cause hostility. There is therefore a need to have face-to-face meetings and written reviews that focus on performance improvement as opposed to criticism. Mondy (2014) continues to emphasise that managers have to be strategic in discussing areas that employees need to improve on in their performance.

Moreover, Bacal (1999) warns that if it is not well prepared for, performance appraisal meeting can cause some tension between the managers and employees leading to managers wanting to delay or avoid appraisals (Bacal, 1999). This therefore, according to Bacal (1999) can cause the parties to performance appraisal to approach it with wrong mind-set leading to a non-conducive environment. He further stated that in-depth preparation which incorporates all the necessary procedures is crucial if appraisal is to succeed. Bacal (1999) continued to mention

some of the highlights of successful performance appraisal interviews such as: managers that take the role of helpers and problem solver instead of acting as primary assessors; active participation of employee, use of relevant managerial interpersonal skills and mutual understanding that performance appraisal is not about punishment for low performance but rather about performance improvement.

An ideal performance interview is made up of; the scheduling of the interview, coming up with interview structure, use of praise and criticism, employee's role and the conclusion of the interview (Mondy et al., 2014).

Scheduling the Interview – Before the interview period, supervisors should be clear to the employees on the purpose of the meeting. This will help the employees reduce performance interview anxiety. The meetings should not be delayed but be fixed at the expected times. However, it would be easier for supervisors to meet the high performers and difficult to meet face to face with the poor performers.

Interview Structure –An ideal interview structure has to be problem solving oriented as opposed to problem picking session. Sessions should focus on specific accomplishments and in helping employees set goals and come up with personal development plans for the next appraisal. The interview has to be in an environment that allows employees and managers to not only discuss current performance but other subjective topics such as career ambitions.

Use of Praise and Criticism – Praise is important in performance interviews because focusing only on the negative is a mistake that most managers make

although it has the potential to damage their relationships with subordinates. According to Mondy et al. (2014, p.239), "Praise is appropriate when warranted, but it can have limited value if not clearly deserved". They further stated that, if for example an employee is to be terminated due to poor performance, a manager's false praise might bring into question the "real" reason for being fired.

Employee's Role - Employees are expected to prepare for the interview weeks before the review takes place. They are to note all the projects they participated in regardless of whether they were successful or not, then list creative ways they have solved problems, and how they contributed to the organization, among other things. These should be given to the manager before the interview to help them not to overlook some important employee achievements.

Concluding Interview -The ideal interview is the one that leaves the employees with a positive attitude towards the management, company, job and themselves. If an employee comes out of performance interview with negativity, their future performance is likely to be impacted adversely. At the end of the interview, both parties are supposed to make an agreement on specific plans for employee development and if the management plays its part in implanting such plans, the employee would then be obliged to perform as expected.

2.8 Performance Improvement Programmes

According to Armstrong et al. (1991), performance improvement programmes are concerned with; improving of motivation and commitment by using financial rewards, training, career development, coaching, counselling among other things. Over and

above these, Wilton (2013) mentioned mentoring as another important aspect of performance improvement programmes.

2.8.1. Training

According to Hartle (1995) training is a crucial aspect of effective performance appraisal that has to be integrated into performance appraisal process. Where training is incorporated into performance appraisal, managers would not only identify employee incompetence but will be able to train them so in order to minimize incompetency. Therefore the need for training employees in order to improve their performance cannot be overemphasised.

Training is not only important to individual employees, supervisors too need to be trained on certain areas such as; how to appraise subordinates, supervision skills, coaching and counselling, conflict resolution and how to set performance goals and objectives (Appelbaum, Roy & Gilliland, 2011). Longenecker and Golf (1992) agreed with this stance, stating that for performance appraisal process to be effective. That is, it is imperative to have periodic re-training so that performance assessment skills are maintained (Appelbaum et al., 2011).

2.8.2. Coaching

Bacal (1999) defines coaching as a process in which more knowledgeable person helps the less knowledgeable one with necessary skills and knowledge so as to improve performance. In addition to this, Wilton (2013) described coaching as something that takes place between the employee and their immediate supervisor. He continued to highlight that, coaching is basically used for succession planning

and management development in order to prepare employees for senior management role.

Coaching is said to be a very important phenomenon in the effective management of employee performance. It is “the continuous process in which manager and employee engage in constructive dialogue about past and future performance, it helps to shape behaviours throughout the year and narrow the gaps between actual and expected performance” (Hurtle, 1995; p. 160-161). He further highlighted that for coaching to be successful, a coach should have some characteristics such as; genuineness, empowering, understanding and problem solving. Bacal (1999) share the same sentiments, stating that coaching does not only help individual employees to perform, it also boosts the performance of the entire organization.

2.8.3. Counselling

Effective counselling plays an important role as far as performance appraisal is concerned, especially where performance has not reached the expectations (Hartle, 1995). Coaching is described by Hartle (1995) as a formal and planned approach that managers engage so as to help the job holder to overcome some impediments.

Hartle (1995) continues to point out that, for counselling to accomplish its purpose, it should be done soon after the impediments occur, addressing them immediately. Counselling sessions should also be planned for well in time and be held in the environment that is conducive. Hartle (1995) continues to advise that counselling should be a dialogue between the supervisor and the employee, and should not focus on the negative only but be as positive as possible. Besides that, counselling

should end with agreement on actions to be taken to improve on performance, and both parties should be committed to such agreement.

2.8.4. Mentoring

Wilton (2013) defined mentoring as developmental, often long term, relationship between senior and junior employees, this relationship is meant to assist the junior employees learn how do perform a particular job in preparation for future advancement. Wilton (2013) further indicated that, mentoring is broadly used as part of succession planning and management development, especially when they are prepared for senior management positions.

2.9 Effectiveness of Performance Appraisal

Below are is a summary of some characteristics of an effective performance appraisal:

2.9.1 Clarity of Objectives

It is urged that performance appraisal objectives are to be clear in order for it to be effective. "Both the manager and subordinate have to have common perception of the purpose of performance appraisal, function and shared belief that it is useful to them as individuals", (Longenecker & Golf, 1992; p.17). Besides, Anderson (1993) stated that measureable, achievable, challenging and significant performance objectives are also the barometers of effective performance appraisal. He further elaborates that the ambiguous and unattainable performance objectives discourage performance and lower employee morale, hence a need to have objectives that are meaningful to both parties.

Mondy et al. (2014) has stressed the importance of having clear objectives saying that it would impossible for employees to function effectively if they are not sure of what their performance is measured against. They further pointed out that when objectives are clear, it would be easy for employees to evaluate their own performance and take necessary corrective measures without necessarily waiting for the appraisal period.

2.9.2 Job-related Criteria

Job-relatedness “is perhaps the most basic criterion needed in employee performance appraisal” (Mondy, 2014, p.235). The criteria should be determined by job analysis and have to be job related.

2.9.3 Feedback

According to Murphy et al. (1995), organizations can use performance appraisal as a channel for feedback, because if given appropriately, it can lead to substantial improvement in future performance. Rees et al. (2001) agrees that lack of ongoing dialogue is a potential problem to effective performance appraisal. Murphy et al. (1995) further highlight that feedback reduces the level of uncertainty among employees and helps them self-evaluate their performance and improve. Harris (1994) equally agrees, saying that lack of feedback is one of the elements that lead of the ineffectiveness of performance appraisal.

Rankin and Kleiner (1988) emphasise it is also important that feedback be given to the appraiser on how effective they are conducting performance appraisal. This type

of feedback helps managers to compare their ratings with those of their counterparts and see how lenient or strict they are. Thus, “Feedback system helps in ensuring comparability of ratings among managers, which in turn may increase employee satisfaction with the appraisal process” (Rankin & Kleiner, 1988, p.16).

2.9.4 Trained Appraisers

For performance appraisal to be effective, appraisers need to be trained on how to do it (Mondy, 2014). The appraiser should be trained on how to give and receive feedback in order to reduce uncertainty and conflict, and that has to be an ongoing process.

2.9.5 Conduct Performance Reviews

Regular performance reviews are necessary in the improvement of employee performance as stated by (Mondy, 2014). He admits regular reviews can be tedious and boring; however its advantages outweigh not conducting regular reviews.

2.9.6 Accuracy of Ratings

It is said that accurate ratings are those that reflect the employee’s job performance levels (Kleiman, 2000). They further revealed that the cause of inaccuracy in ratings is often due to the rater errors, such as leniency and severity, halo effect and central tendency errors.

2.9.7 Other Characteristics of Effective Performance Appraisal

For performance appraisal to be effective, managers have to guard against some potential problems such as **over-optimism**, **conflict**, and **confrontation** (Rees et

al., 2001). They explained that, organizations may be **over-optimistic** of the ability of their managers to handle formal appraisal schemes. Furthermore, they said “if the managerial structure and associated skills are undeveloped, appraisal may simply be too sophisticated to handle” (Rees et al., 2001, p.225).

Conflict - The other problem of ineffective performance appraisal is possible conflict. A subordinate for example, may not accept that the criteria used to appraise them were appropriate or doubt the accuracy of the level of performance given by the supervisor. Conflict can force people to do what they do not want to do during the appraisal interview which then means a manager need to have acquired some skill to handle the situation. **Confrontation** can also be a challenge in making performance appraisal effective. Rees et al. (2001, p.225) believe that even if managers are trained in appraisal interviewing, “the reality is that many managers, however good they may be in other aspects of their job, will never have the interpersonal skills to handle sensitive appraisal interviews effectively”.

2.10 Challenges of Performance Appraisal

210.1. Rater Errors

Leniency and halo effect are some of the common errors likely to occur in performance appraisal, making it less effective (Woehr & Huffcutt, 1994). Rater errors can however be determined by the distance between the employee and the supervisor (Woehr et al., 1994). They believe that it is easier to rate some jobs more accurately than others with supervisory ratings having a higher inter-rater reliability than peer ratings. In addition, some dimensions of job performance are easier to

observe and have clearer standards and hence are easier to evaluate than others (Viswesvaran, Ones & Schmidt, 1996).

According to Judge and Ferris (1993), when the subordinate and supervisor work together closely, the rating would be more accurate as opposed to those working apart. This is because, when the supervisor and employee are close, they get encouraged to open up and discuss the outcomes and can easily accept the results. They however revealed that the distance between the supervisor and the subordinate can pose a challenge to appraisal because some employees perform highly only when they are observed by their supervisors.

2.10.2. Leniency

Mondy et al. (2014, p.234) simply defines leniency as “giving undeserved high ratings to an employee”, usually due to a desire to avoid controversy over the appraisal. Bowman (1999) similarly says leniency error can be caused by managers who want to maintain good working relationships with their subordinates and show empathy. Leniency happens mostly in instances where highly subjective performance criteria are used and can have a negative impact on organizations by hindering managers to recognise correctable deficiencies (Bowman, 1999).

2.10.3. Biasness

Some errors may be caused by some factors like biasness by raters (Williams & Levy, 1992; Campbell & Lee, 1988). According to Arvey and Murphy (1998) biasness can be seen where the supervisor tends to like or to dislike the

subordinate; leading to employees receiving undeserved high ratings if liked and low ratings if not liked.

2.10.4. Halo effect

Halo effect can be described as a situation where an individual is over-generously assessed based only on certain strength or adversely assessed based on particular weakness (Rees et al., 2000). According to Rees, the halo effect can lead to unduly favourable assessment towards the fluent performer who has not performed to the standard. Halo effect is common where supervisors rate certain employees based on what is generally believed about them; thus if there is an impression that such employees are high or low performers, the supervisors' assessment will be informed by such (Kleiman, 2000).

In addition to leniency and halo, Grote (1996) has come up with some common appraisal errors such as: contrast effect; first impression error; similar-to-me effect; central tendency and stereotyping. The definitions are summarised below:

<i>Error</i>	<i>Definition</i>
“Contrast Effect	<i>tendency of a rater to evaluate people in comparison with other individuals rather than against the standards for the job.</i>
First Impression	<i>tendency of a manager to make an initial positive or negative judgment of an employee and allow that first impression to color or distort later information.</i>

Similar-to-me Effect *the tendency of individuals to rate people who resemble themselves more highly than they rate others.*

Central Tendency *the tendency or inclination to rate people in the middle of the scale even when their performance clearly warrants a substantially higher or lower rating.*

Stereotyping *the tendency to generalize across groups and ignore individual differences”*

(Source: Grote, 1996, p.138).

Murphy et al. (1995), have discussed the causes of some of these errors. For example, leniency can be due to the desire by the supervisor to be liked; and the unwillingness not to give negative feedback. Central tendency on the other hand can be attributed to, inadequate opportunities to observe and justify high or low organizational ratings. If these errors are not avoided, performance appraisal exercise would be ineffective, affecting the overall performance of an organization.

Grote (1996) argues that, when supervisors fail to honestly evaluate the negative aspects of employee's performance, thus becoming lenient, then the whole exercise would not only affect co-workers but the organizational performance at large. He continues to attest that, “the organization suffers even more if inadequate performers are not confronted... organizational deadwood will proliferate” (Grote, 1996, p.140).

2.11 Performance Rewards

According to Greenhill (1988, p.112), ‘achievements by the individual in the performance of his or her job are most typically rewarded by way of either a salary increment or lump sum bonus payment’. Rewards can either be intrinsic or extrinsic; intrinsic rewards being the satisfaction that comes from doing the job such as feelings of accomplishment while extrinsic rewards are given by the employer and are usually money, promotion or benefits (DeCenzo et al., 2005). Rewards can be in financial or nonfinancial terms. DeCenzo et al. (2005) explained that financial rewards are those that improve an employee’s financial well-being such as bonuses, wages, paid sick leaves and purchase discounts whereas non-financial rewards do not necessarily improve on the well-being of an employee rather they are things that make the job attractive such as business cards, impressive titles and preferred office furnishings.

Similarly, Hartle (1995) stated that performance can be rewarded either in monetary, non-monetary terms. Monetary rewards include among others, pay increment and bonus while non-monetary awards can be in form of social recognition before peers and colleagues or even the external audience (Kosfeld & Neckermann, 2011). Wilton (2013, p.196) explained non-monetary rewards further as intrinsic rewards given for the “work that people do and their working relationships and environment”, these include, promotion, advancement and personal development. Another important point on rewards was raised by Wilton (2013) stating that rewards can be psychological payments, in terms of benefits, which can be given over and above monetary and non-monetary rewards. Benefits are basically non-pay elements included in reward packages such as healthcare and company car (Wilton, 2013).

A reward can only have a positive impact on individual employees if they value and regard it as appropriate to their effort and achievement (Hartle, 1995). He further clarified that, an effective performance reward is the one that takes into consideration the different needs of individual employees because they tend to be motivated by different things. DeCenzo et al., (2005) has summarised performance rewards below:

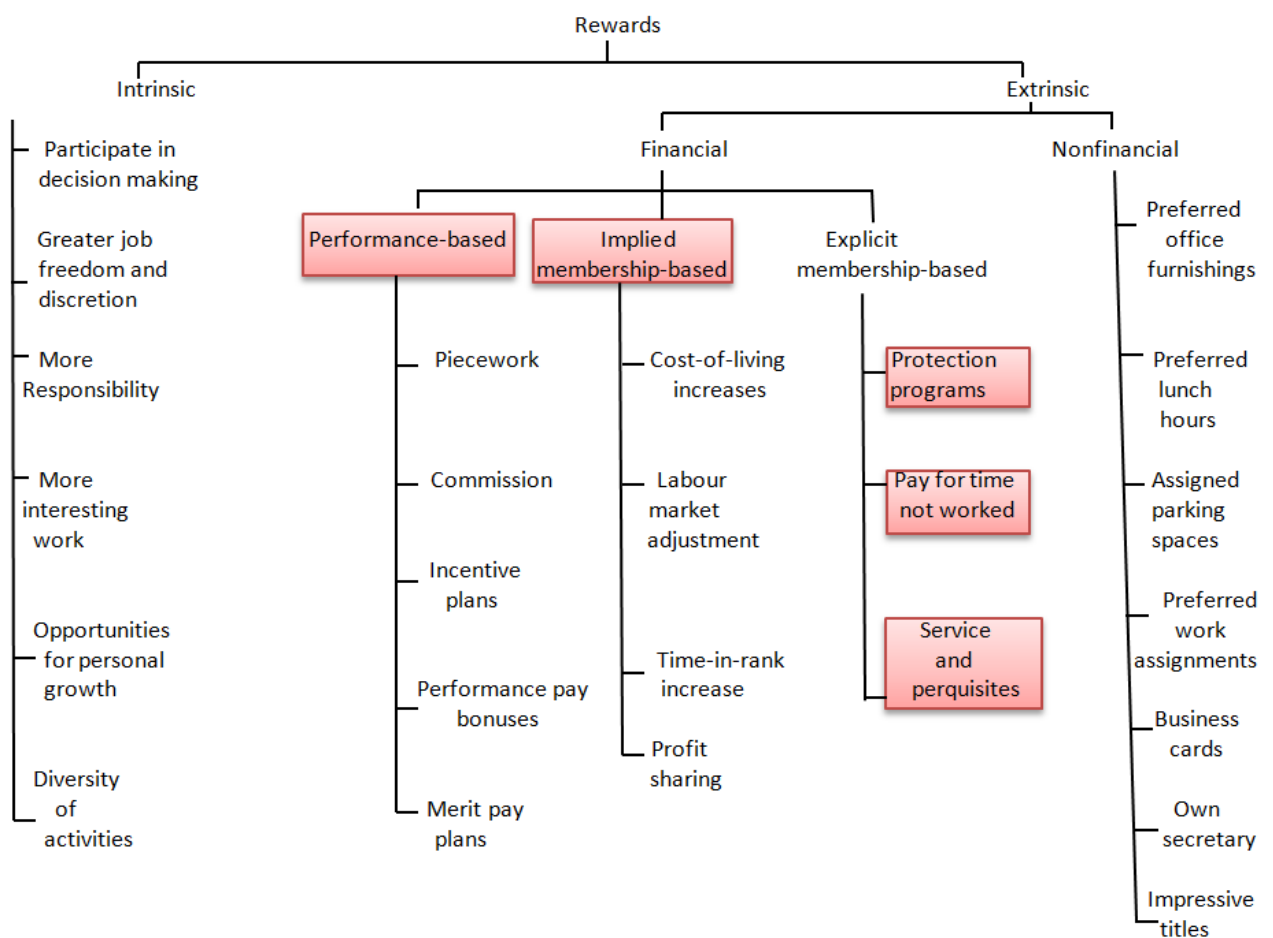


Figure 3: Performance Rewards

(Source: DeCenzo, 2005; p.275)

2.12 Performance Appraisal in Public Enterprises

Performance appraisal is equally important to the public sector as much as it is for the private sector because it serves the same purpose of boosting employee performance (DeNisi et al., 2006). According to Ginberg (2008), both the private and

the public sector are faced with a challenge of coming up with practical and objective performance measures for the employees. Besides, Ginberg (2008) states that the private sector link employee performance to high profitability, while the public sector has other objectives like being economical and effective in service delivery. In the Botswana example, it is worthwhile to note that the Government of Botswana introduced the Performance Management System in its ministries back in 1999. However, the University of Botswana only embraced the PMS in 2008.

A cursory look in how more advanced countries have responded to the challenges of poor performance takes a look at a study by Longenecker et al., (1996) which was carried out to find out the effectiveness of public sector performance appraisal in USA organizations, and the extent to which it was perceived as effective in serving its core purpose. The results of the study indicated that if the appraisal process is appropriately developed, the process can be helpful to both the managers and their subordinates in a number of ways. The study suggested a number of ways for both the managers and employees to make performance appraisal more effective. For example, managers need to have more resources to reward performance; spread evaluations over the entire year, more training and clarifying the appraisal process to the employees (Longenecker et al., 1996). Some employees have needs to be attended to, to make performance appraisal more effective, such as more career opportunities and rewards, better clarification of performance expectations, more on-going feedback and greater emphasis on their training.

Another study on performance management in the public sector was carried out by McAdam, Hazlett and Casey (2005) in the United Kingdom. They found out that

some employees did not perform well because the managers were putting inadequate effort in ensuring those appraisals were done on time. The results also showed that some staff were “frustrated by being constantly let down by their managers” (McAdam et al, 2005, p.265).

Further studies on the effectiveness of performance appraisal and other related subjects have been conducted in Africa though it is viewed by some authors as a rare practice for Sub Saharan organizations to develop and implement formal performance appraisal measures (Beugré & Offodile, 2001). The main reasons being; inadequate human resources management practitioners, favouritism and appraising of workers on non-job-related issues like ethnicity and tribalism (Beugré et al., 2001). However, some authors have contradicted this stance; saying that of the organizations they studied 82 percent had the formal performance appraisal systems used to appraise employees’ performance (Arthur, Woehr, Akande & Strong, 1995). In another study on appraisal and evaluation from Libyan corporations, Hooper and Newlands (2009) found that there was a need to enhance the design or execution of the existing performance evaluation system given the fact that half of the respondents said the evaluation did not facilitate their careers’ development.

In Botswana’s case, there have been a number of developments on the employee performance in the public sector. It all started at independence in 1966. Botswana has been using the National Development Plans, to direct service delivery across the nation (Dzimbiri, 2008). Nevertheless, Dzimbiri states that, years following independence, there was a concern of low levels of productivity and inefficiency in

Botswana. In response to this, the government investigated the cause of this and steps that could be taken to manage productivity. That led to the formation of Botswana National Productivity Centre (BNPC) through an act of parliament in 1993 (Selepeng, 1999). The main purpose of the BNPC is to enhance the level of productivity awareness and assist both the individuals and organizations to be productive and competitive through training and consultancy (BNPC, 2015). Among others, BNPC has public sector reforms which focus on performance and productivity improvement approaches for the public sector which includes training on addressing performance challenges or gaps and performance measurement.

To check progress in employee performance, performance appraisal effectiveness and service delivery, some studies have been conducted in Botswana. Jain (2004) found that in the case of public libraries in Botswana, performance appraisal was seen as a mere exercise for salary increment. She realized that the majority of employees did not receive any feedback after the exercise and were generally unhappy with the performance appraisal. In her recommendation, Jain (2004) she suggested that in order to improve the performance appraisal exercise the employees should be recognised by involving them in decision making, be awarded for high performance and that planning should be bottom-up to ensure the that the employees feel recognised.

On another study in Botswana, Mosetlhe (1993) argues that performance appraisal has failed to bring about employee performance because they perceive it negatively assuming it only benefits management. However, the management cadre in the same study viewed performance appraisal positively, understood its policy and

considered it helpful to both the supervisors and subordinates. Furthermore, the appraisers were committed to the appraisal tool because they were involved in its development. Mosetlhe (1993) however realised that rewards that were linked to performance appraisal were not always awarded. Hence the intention of the system was not always achieved.

A study on performance appraisal of the civil service conducted by Tsiako (1993) revealed that the system could not be effectively measured because it was not fully implemented. The contributing factor to this was that the officers were poorly equipped to administer the exercise and that the supervisors resorted to avoidance of the assessment and were prone to the halo effect. Both the supervisors and subordinates blamed the ineffectiveness of performance appraisal on lack of understanding of the system by the majority of workers. In addition, another study indicates that the performance management data collected from the public sector was used differently for different units. For example, in the Public Sector Reforms unit, the data was used for performance review, employee management and strategies and for innovative ways of improving performance (Mpabanga, 2011). In the Ministry of Health, performance management data was used to improve on the existing measures and strategic objectives.

A similar study to the current study was done by Nthele (1994) paying particular attention to the role performance appraisal plays at University of Botswana. Nthele found that the performance appraisal at University of Botswana was weak and that the employees were underutilised. He pointed out that the tools used to measure performance of support staff were weak and ineffective in playing a role in staff

development. In comparison to the performance appraisal tool for academic staff, Nthele found that the tool for support staff was lacking in its potential to increase effective human resources utilisation.

2.13 Conclusion

The review of this literature focused on definition of performance appraisal; its objectives, benefits of performance appraisal to both employees and the organization. Performance appraisal cycle is also discussed together with what determines its effectiveness.

Lessons from literature showed that, the appropriate appraisal tool is able to align the employees' efforts with the organizational goals, priorities and expectations. If the performance appraisal tool is not designed properly, it will however yield negative results. Hence there is a need to train assessors and engage experts in designing it and ensuring its relevancy to the functions of the employees.

Other lessons learnt from the literature were that, performance appraisal need to be conducted on a regular basis, giving feedback and taking corrective measures so that employees remain on track. In order to ensure fairness in performance appraisal, organizations should consider engaging a number of sources for feedback and try by all means to eliminate rating errors. To improve on performance, there is a need to train appraisers, give clear expectations, and provide resources for training, development and reward of employees.

In Botswana, the available literature performance appraisal subject is relatively minimal hence a need to do further research on both the public and the private sectors' performance appraisals. Most of the studies on performance appraisal in Botswana were done many years

ago, such as those conducted by Nthele, (1994); Mosetlhe, (1993); Jain, (2004), of all these one study was based on the University of Botswana before PMS was adopted.

CHAPTER THREE

METHODOLOGY

3.1 Introduction

As earlier mentioned, research on performance appraisal in public and private sectors in Botswana are negligible in quantity. The few works on the issue were done more than a decade ago, for example (Nthele, 1994; Mosetlhe, 1993), among these studies, only one focused on the University of Botswana before PMS was introduced (Jain, 2004). Given the above gaps in performance appraisal literature, this study investigated the effect of performance appraisal process on support staff of the University of Botswana. This research offered the researcher an opportunity to examine whether performance appraisal process had a significant effect on employees' performance. In order to achieve this goal, a mixed method approach was utilized. Therefore, this chapter presents the following: research approach, the rationale on research design and method, population, sample size, instruments, methods of data collection, data analysis strategies and ethical considerations.

3.2 Restatement of Research Objectives

Based on the review of literature and theoretical framework used in the present study, the following research questions were discussed:

- i. To determine the implementation process of the University of Botswana performance appraisal.
- ii. To examine the extent to which performance appraisal process enhances employee efforts and performance.

- iii. To assess the outcome of support staff performance appraisal and determine how they contribute to the core business of the University of Botswana.
- iv. To identify the strategies that can be employed to improve performance appraisal process in the University of Botswana.

3.3 Research Philosophy

The researcher used a mixed methods approach to gain deeper insight into the problem under investigation. While selecting this approach, the researcher critically looked at various paradigms that are appropriate for selecting mixed methods research. While research methodology involves something much deeper than practicalities; it necessitates a philosophical solution to 'why research' (Holden & Lynch, 2004).

3.3.1. Paradigm

There is huge difference of opinion among the supporters of quantitative and qualitative research methods. For example, the believers of quantitative method (Ayer, 1959; Maxwell & Delaney, 2004) lean toward positivist philosophy. They argued that social research should be given the same consideration like physical occurrences in physical science. Furthermore, they proposed that the observer should be separated from the object being observed. Also, the advocates of quantitative method of enquiry believed that social investigation should not be biased or diluted. That is, the real cause of event should be reliably and validly determined and context-free generalized (Nagel, 1986).

On the other hand, qualitative purists (i.e. interpretivists) opposed the concept of positivism, and argued for the supremacy of idealism, hermeneutics, relativism, humanism, and post modernism (Lincoln & Guba, 2000; Schwandt, 2000). They believed that multiple-constructed truths proliferated and that context-free sweeping statement is impossible or unattainable in research. They also argued that research is awkward and value bound and it is difficult to determine the causes and effects. Furthermore, the qualitative purists expressed that reason flows from particular to common; and that deducing the knower and known is difficult because the slanted knower is the only basis of certainty (Guba, 1990).

However, based on the constructive agreement reached by the supporters of positivist and constructivist paradigms, (e.g., Ayer, 1959; Lincoln & Guba, 2000; Maxwell & Delaney, 2004; Nagel, 1986; Schwandt, 2000), the following issues are considered relevant to this study:

- i. The relativity of the light of reason (i.e., what seems appropriate can look different across people);
- ii. Under determination of theory by facts (i.e., it is probable that one or more idea can fit into a set of empirical data);
- iii. The issue of induction, that is, the recognition that probabilistic evidence is only obtainable, that there is no final evidence in empirical investigation and last but not the least, that the future may not bear a resemblance of the past.
- iv. The social characteristic of the research activity is unavoidable. This means that researchers are rooted in the communities and that they are clearly influenced by the communities' attitudes, values, and beliefs.

Based on the above aforementioned, this study used pragmatism paradigm to investigate the effect of performance appraisal on support staff of University of Botswana.

3.3.2. Pragmatism Paradigm

To justify the idea of mixing different paradigms for this study, the researcher used the pragmatic approach as an umbrella paradigm. The approach is suited for this study as it guided the researcher to merge the two approaches (quantitative and qualitative) into a larger study and more understanding. According to Maxcy (2003) and Hoshmand, (2003) pragmatic paradigm offered an instant and useful middle position philosophically and methodologically, and advanced communication among scientists from different paradigms as they endeavour to advance knowledge.

Besides, the method also offered a practical and outcome-oriented process of investigation grounded on action and pointers to further action and the removal of uncertainty. The paradigm provided a process for choosing methodological syntheses that can help investigators to give better response to many of their research questions. The paradigm also helped the researcher to fit together into a workable solution the insights provided by qualitative and quantitative research. Therefore, based on the conceptual framework and the review of literature on performance appraisal in private and public institutions, a mixed method approach offered the best opportunities for investigating and answering the research questions proposed in the present study.

3.3.3. Rationale for using the Mixed Method Research

Performance appraisal is an important process that determines how organizations or individuals can succeed attaining their objectives (Kagioglou, Cooper, & Aouad, 2001). This study investigated the extent to which performance appraisal enhanced individual performance and the overall performance of support staff of University of Botswana. Previous studies on mixed method approach confirmed many definitions or explanation for performance appraisal in an organization (e.g., Johnson, Onwuegbuzie, & Turner, 2007; Östlund, Kidd, Wengström, & Rowa-Dewar, 2011).

The present study has used mixed methods as a research approach. Firstly, looking at the complexity associated with the concept of performance appraisal and the fact that the words connote different meanings and methods in different contexts. It is imperative to use the quantitative data and qualitative data that account for the appraisal of support staff of University of Botswana and the circumstances and situational factors that influence their performance.

Secondly, research shows that the use of mixed methods allows two types of data to be simultaneously and sequentially gathered and analysed. As mostly argued by the advocates of the mixed-method research, the complexity and multidimensional data associated with human phenomena requires a research design that can properly explain them. This prompted the choice by the researcher to use mixed methods technique as a means of expanding the scope of, and deepen insights into the study (Creswell 1994).

Thirdly, the review of the literature showed that mixed methods strengthen the data collection in a study through the following processes:

- i. Simultaneous triangulation i.e. using multiple sources to reviewing and analysing evidence in a way that a study's findings shall be grounded on the convergence of information (Erlandson, Harris, Skipper, & Allen, 1993; Yin, 1994).
- ii. Complementarily, that is, developing an overlapping and different facets of the phenomenon in a study, and expansion (i.e. totting up the scope and breadth of the research study by making it more generally acceptable (Creswell, 2013).
- iii. Mixed methods afford the researcher the opportunity to use empirical observations to address research questions generated in this study.

As indicated by Sechrest and Sidani (1995) both quantitative and qualitative approaches have given the researcher the opportunity to describe and analyse various data in this study.

3.4 Research Design

Research design is “a plan for collecting and analyzing evidence that will make it possible for the investigator to answer whatever questions he or she has posed” (Ragin & Amoroso, 2011, p.231). Therefore, the objective of the current study, coupled with the research questions supported this assertion as it entails different phases of data collection. As a result, the researcher employed quantitative and qualitative methods by using concurrent transformative design (Creswell, Plano

Clark, Gutmann, & Hanson, 2008; Teddlie & Tashakkori 2009). This design enabled uncomplicated description and reporting of data that can either be reported in two distinct phases or combined in the discussion section (Creswell et al., 2009). This design was also used when qualitative methodology was needed to boost the generalizability of quantitative results (Harwell, 2011). Thus, concurrent transformative design entailed the following:

- i. Collection and analysis of quantitative data that addressed the study research questions;
- ii. Collection and analysis of qualitative data. The design was also used to give greater understanding of the phenomenon that a mono-method approach cannot provide (Creswell, 2007).

In addition, as posited by Johnson and Onwuegbuzie, 2004, mixed method design consisted of eight steps, and these steps are relevant and necessary for conducting a fruitful mixed method research.

These are:

- i. Research question(s) must be decided,
- ii. Researcher must determine whether mixed method is appropriate for answering the research questions,
- iii. What types of mixed methods design is appropriate,
- iv. Collection of the study data,
- v. Analysing of the data,
- vi. Interpretation of the data collection,
- vii. Legitimacy of the data,

viii. Drawing conclusion on the study, and writing of study reports or findings.

Given the limited research on the effect of performance appraisal process on employees of the University of Botswana, and the nature of the research questions generated in this study, the steps above were followed. This was seen as relevant and vital to the current study, and helped it to investigate how performance appraisal process was carried out. On the basis of this, the quantitative phase of this study was designed in a way that the quantitative and qualitative data are collected and analyzed at the same time. This process allowed the researcher to use two methods to explain and interpret the findings generated in this study (Hanson, Creswell, Clark, Petska & Creswell, 2005). The process also enabled the researcher to interpret how the quantitative findings supported the initial results of the qualitative findings (Creswell et al., 2008) and allowed the researcher to answer the exploratory and confirmatory research questions concurrently (Teddlie & Tashakkori, 2003).

3.4.1. Rationale for Survey Research (Quantitative)

The first part of this study was based on quantitative approach; therefore, the researcher used survey method for data collection. The study aimed to evaluate the effect of the performance appraisal process on support staff of the University of Botswana and explore whether the process improved their performance. As such, quantitative design (survey) was deemed suitable to address the research questions generated for this study as it helped the researcher to find solutions to various problems raised, questions posed or problems observed in the current study. The process also assisted the researcher to evaluate needs, plan goals, decide whether

or not the research has met a definite goal and find a reference point against which impending assessments can be made (Isaac & Michael, 1997, p. 136).

Based on the foregoing advantage, the researcher used survey method as it can also infer data about behaviour that are tough to determine by means of observational techniques (McIntyre, 1999, p.75). Lastly, the survey study involved a carefully chosen portion of the population from which the results can be generalized.

3.4.2. Rationale for Interview

Having selected a quantitative method to investigate the performance appraisal process on job performance of support staff at the University of Botswana in the first phase of this study, the researcher also used the qualitative design (interview) to explore the experiences of PMS Director on performance appraisal as a tool for evaluating performance. As such, this process enabled the researcher to achieve better sense of tactics or unexpressed values inherent in the use of PMS, and allowed the Director to deliberate on any particular issues of concern regarding their work. The interview was also used to clarify and to discover opinions and views which could not be gotten from the questionnaires.

3.5 Research Methodology

This study was carried out using the following methodology:

3.5.1. Sample Population

A population consists of all the subjects of study, while sampling is the process of selecting a group of subjects of study in way that ensures full representation of the larger group (Yount, 2006). In the current study the sample population was the support staff of the University of Botswana, from the top to the bottom of the

organizational structure. It left out both the industrial staff and academic staff because their performance appraisal tools were totally different making it difficult to examine them in the same study. Again the duties of the academic and support staff members were different; academic staff' duties included research, teaching while support staff duties did not.

Over and above this, support staff constituted the larger number of University of Botswana workers which is about 1500 while academic staff was estimated at 900 (University of Botswana, 2015). The 1500 support staff members included about 220 industrial workers who were not included in this study because they use a different tool for appraisal. This included the entire support staff hierarchy; employees, supervisors and management. The population was therefore around 1,280 derived by subtracting 220 industrial staff from the 1500 total number of support staff as per year 2013 facts and figures of the University of Botswana (University of Botswana, 2014) If focus was to be on both the support and academic, the population was going to be large, the tools different and the limited time of study was to going to work against the researcher, hence the need to narrow the study to support staff.

3.5.2. Sample Size

According to Ruane (2005) the sample size matters to some extent; for a homogeneous population a small sample is adequate while a diverse population needs a larger sample. Sandelowski (1995) has pointed out that if the topic under study is clear, and the information can easily be obtained, then fewer participants are needed than if the topic is difficult to grasp. This study has therefore used a sample size of 10 percent because the topic is relatively easier to understand, hence there

was a need for a small sample size. This sample was a representative of all cadres of the University of Botswana support staff, throughout their hierarchy. That is, out of 1,280 workers the sample size was about 130 support staff (University of Botswana, 2015). The 130 was inclusive of all the support staff cadres, with a significant percent drawn out of strata to ensure fair representation. A 10 percent proportion of any group or strata were regarded as fair because it was consistent between the groups with the larger groups having larger samples proportional to their size.

3.5.3. Sample Method

Sampling is when, 'some individuals are drawn from the population in a way that permits generalization about the phenomena of interest from the sample to the population' (Pinsonneault & Kraemer 1993, p.83). In this case, this study used stratified probability sampling method. With this technique, the researcher managed to organize the sampling frame into relatively homogeneous groups (strata) before selecting elements for the sample, ensuring that the final sample represents the entire population as elaborated by (Ruane, 2005). Within each group, the researcher employed simple random sampling in which individual participants were randomly chosen (Singh, 2003). The participant were made up of various cadres like administrators, managers and technicians and drawn from the University of Botswana support staff. Questionnaires were distributed to various Departments and Units targeting these cadres to ensure fair representation when collecting data.

3.5.4. Data Collection Procedure

The primary data was collected through the interview and survey questionnaires. Ruane (2005) explains that an interview is more personal as questions are posed in

a face-to-face or telephone exchange between the interviewee and the researcher. To get in-depth data, the researcher used the structured interview format which is formal and standardised. Secondary data on the other hand was obtained from the UB website and some official documents from the UB intranet. An interview was conducted with the PMS management staff member in order to allow for follow up questions, to capture verbal and non-verbal data, and to keep the interviewee focused on the topic. The questionnaires were written in the national official language of English and translated to Setswana to cater for those that were not conversant in English.

Both open- and closed-ended questionnaires were distributed to the employees. These are said to be the, “self-contained, self-administered instrument for asking questions” (Ruane, 2005, p.123). The researcher prepared 150 questionnaires which were then delivered by hand to the respondents. The 150 was distributed instead for the 130 sample size, to cater for questionnaires that might not be returned or be collected back for various reasons. Out of the 130 expected questionnaires which was the sample size, 91 questionnaires were returned. Thus, the response rate was 70%.

The researcher gave the respondents some time to respond to the questionnaires, and collected them few days later. That gave the participants time to respond to the questionnaire at their own time. The advantages of using such an instrument were that, its format was familiar to most respondents and making it simple and quick for the respondents to complete.

3.5.5. Data Analysis Methods

As it has been mentioned earlier, this present study consisted of two phases. The first phase of the study entailed the use of quantitative analysis. Survey instruments were used to investigate performance appraisal on performance process of support staff of the University of Botswana. The second phase of the study was based on qualitative analysis. In this phase, a personal interview was carried out with PMS Director to gather in-depth data on performance appraisal process on support staff. Moreover, the two phases of the study were concurrently conducted in order to validate the findings.

According to Morgan (1998), concurrent triangulation design method involves the use of two methods to cross validate or corroborate findings within a single study, with the results usually integrated during the interpretation phase. The study used the method below to collect and analyse data.

3.5.6. Quantitative Data Analysis

The data was analyzed using the Statistical Package for the Social Science (SPSS) version 23, using the Chi Square statistical analysis. A chi-square test was used to check if there was a relationship between two variables (Bruin, 2006). SPSS software was used for statistical analysis (Coakes & Steed, 2009). This software was selected for use because it is user friendly and has the ability to serve as a practical introduction to new users and it also allows more advanced users to work their way systematically through each stage of data analysis (Coakes et al., 2009). In addition, the process for the analyses of the data collected for the study involved the use of

both the descriptive statistics. Microsoft Excel Spreadsheet was used to analyze data and cast graphs to establish employee performance appraisal process in the organization under study.

3.5.7. Qualitative Data Analysis

Mendlinger and Cwikel (2008) and Bryman (2004) linked qualitative paradigm to the interpretivism epistemological position, where reality is seen as being constructed with complex, interactive sets of meaning. In this study, all responses from the questionnaire were coded for analyses purposes. Analysis was then done, after which interview questions were then incorporated into them so as to come up with discussions and conclusions.

3.6 Reliability, Validity and Trustworthiness

3.6.1. Reliability

The piloting of the instrument was done in order to test for the reliability. According to literature, piloting the questionnaire is regarded as an important stage of data collection. Mertens (Sethosa, 2001, p.159), revealed that “the piloting process involves practicing research procedure with a sample related to the intended participant group”. This stage allowed the researcher to examine critically and identify any problem that might be associated with the instruments in order to refine them (Ragin et al., 2011). However, to limit the probability of error in the study, the questionnaire was reviewed in order to test for the reliability and eliminate the identified weaknesses that might affect the result of the study. To attain this goal, the

instruments were sent to 10 selected support staff within University of Botswana for reviewing.

3.6.2. Validity

In order to validate the instrument, the researcher gave them to qualified professionals and supervisor for checking, and also to determine if each of the questions were applicable to the study or not. This process enhanced the content validity of the instrument and prevented the occurrence of weak, invalid, unreliable and unusable results (Heppner & Heppner, 2004). However, after thorough examination of the instrument, few amendments were made in the arrangement of the question particularly, on the structure of the instrument. This was done in order to prevent errors and make sure that the instrument measured what it was supposed to measure and that the data collection and measurement procedures work the exact way it was designed to (Ragin et al., 2011).

3.6.3. Trustworthiness

According to Rolfe (2006), a study is deemed trustworthy only if the reader of the research report judges it to be so. Therefore, the researcher endeavored to be fair and just during the collection and interpretation of the results. Also, the researcher used methods that are valid, reliable and trustworthy for this study.

3.7 Ethical Considerations

The researcher observed some ethical principles and standards when conducting the current research as suggested by (Smythe & Murray, 2000). The supervisor's feedback was incorporated into the project and their permission to collect data was

received. After getting the permission from the supervisor, another one was obtained from the Office of Research and Development (ORD) in University of Botswana which was mandatory for the data collection process. They thoroughly checked for any ethical issues and made sure the study did not undermine any research ethics. This was done by going through the proposals, research instruments and the consent form. The researcher went to the field to distribute the questionnaires and conduct the interview after the approval and permission were granted by ORD.

The consent from the respondents to take part was obtained; using the Consent Form which was approved by ORD. The form highlighted that participant' information was going to be afforded the confidentiality and anonymity it deserved, and that the rights of the participant would be protected. In addition, the consent form also conformed with the principle of voluntarism, as the participants were given the option to choose whether to participate or not and told that the data collected was strictly for academic purposes. Additionally, Informed Consent Form was distributed to the participants so that they could have a clearer understanding of the study and what their participation entailed. This information was translated into Setswana to give participants an opportunity to choose their preferred language.

The potential risk of research was the possibility of breaching the principle of confidentiality. To prevent that in the current, the researcher designed the questionnaires and interview with the idea of anonymity being observed. This means that no request of any kind of information that would link the response to the respondents was on the questionnaires. The questionnaires were arranged and put

in a single bag/envelope during distribution and collection. This was done in order to keep questionnaires in a way that they would be mixed up so that no questionnaire could be traced to the respondent. Data from both the questionnaire and the interview was treated confidentially.

3.8 Conclusion

This chapter focused on the appropriate research methodology for the present study. The research questions and objectives were used by the researcher as a guide in choosing the appropriate design method for the study. The study employed both the quantitative and qualitative research approaches. The study data was collected using a survey questionnaire and semi-structured interview. This was used in order to maintain the authenticity of the data and for the triangulation purposes. The chapter also emphasized the significance of reliability, validity, ethical consideration and limitation to the study. The chapter was concluded with an overview of the analysis plan for each of the study conducted, while the data collected and the results of the analysis are presented in the next chapter.

CHAPTER FOUR

PRESENTATION OF RESULTS

4.1 Introduction

The purpose of this study was to investigate the performance appraisal process with a particular focus on the tool used by the University of Botswana for support staff. Specifically, this chapter addressed the research objectives set out in the beginning of this study. The research objectives were: to determine the implementation process of the University of Botswana performance appraisal; to examine the extent to which performance appraisal process enhances employee efforts and performance; to assess the outcomes of support staff performance appraisal and determine how they contributed to the core business of the University of Botswana; and to identify the strategies that can be employed to improve performance appraisal process in the University of Botswana.

In order to attain the above-stated research objectives, one questionnaire was designed for support staff members and the PMS Director was interviewed. The questions to the target groups appear to have covered all the necessary areas since they were drawn from the objectives of the study. Therefore, the analysis provided in this chapter fully addressed the research objectives. This chapter presents both quantitative and qualitative findings of the study.

In order to elicit data from respondents, questionnaires were distributed to various cadres of employees. On the part of the management team, only one senior

manager – PMS Director, was targeted and he was available for interview. The response rate of the study was 70%, which were 91 respondents against 130 sample size. Most studies do assert that a response rate of over 50% can be considered very well for analysis (Makhura, 2005: 25; Ngoepe, 2008:12).

4.2 Result Presentation and Analysis

The presentation of results and analysis begins with a tabular description of the demographic characteristics of respondents.

4.2.1. Demographic Characteristics of Participants

This section explains the socio-demographic characteristic of support staff of University of Botswana who participated in this study. 150 questionnaires were distributed out to cover for 128 required, of which only 91 were filled in and returned. Table 4.1 below displayed the socio-demographic characteristics of support staff of University of Botswana who participated in the study.

Table 4.0: Demographic Characteristics of Respondents

Sub-variables	Characteristics	Frequency	Percentage
Gender	Male	33	36.3%
	Female	58	63.7%
	Total	91	100%
Length of Service	0-5	14	15.4%
	5-10	26	28.6%
	11-15	18	19.7%
	16-20	14	15.4%
	21-25	13	14.3%
	26-30	6	6.6%
	Position Held	Technician	13
	Accounts Officer	7	7.6%
	Admin Officer	65	71.4%
	Librarian	6	6.6%
Number of years in the current position	0-5	28	30.7%
	6-10	28	30.7%
	11-15	16	17.5%
	16-20	10	11%
	21-25	9	9.9%

From the demographic table above, there were 36.3% male and 63.7% female respondents. In terms of length of service, 15.4% have worked for a maximum of 5 years, 28.6% have worked for a maximum of 10 years; 19.7% have worked for a maximum of 15 years; 15.4% worked for a maximum of 20 years; 14.3% and 6.6% have worked for a maximum of 25 and 30 years respectively. One can see that more than half of the study respondents have worked for more than 15 years. So, one expects that rich and insightful data was elicited from the sample. In terms position or category of respondents, 14.3% were technicians; 7.6% were Accounts Officers; 71.4% were Administration Officers, while only 6.6% were Librarians. The demographic details showed that the greater percentage of the respondents were

from the Administration domain. Finally, in terms of number of years in current position, 30.7% have spent a maximum of 5 years, and 10 years respectively in the current position; 17.5% have spent 15 years; 11% have spent 20 years, while 9.9% have spent 25 years. Figures showed that a greater population of the respondents had spent 10 years or more in the currently held position.

Research Objective 1: To determine the implementation process of the University of Botswana performance appraisal.

In order to elicit data for this objective, a questionnaire was used as a major tool. However, an interview was conducted on one management personnel that deals with staff performance. Interview data has been presented simultaneously with that of the questionnaire. Five areas of performance appraisal implementation were covered. These areas included valid performance review process; standardization of performance appraisal; employee suggestion updates to the job description and input to the appraisal; performance goals; and performance appraisal meeting.

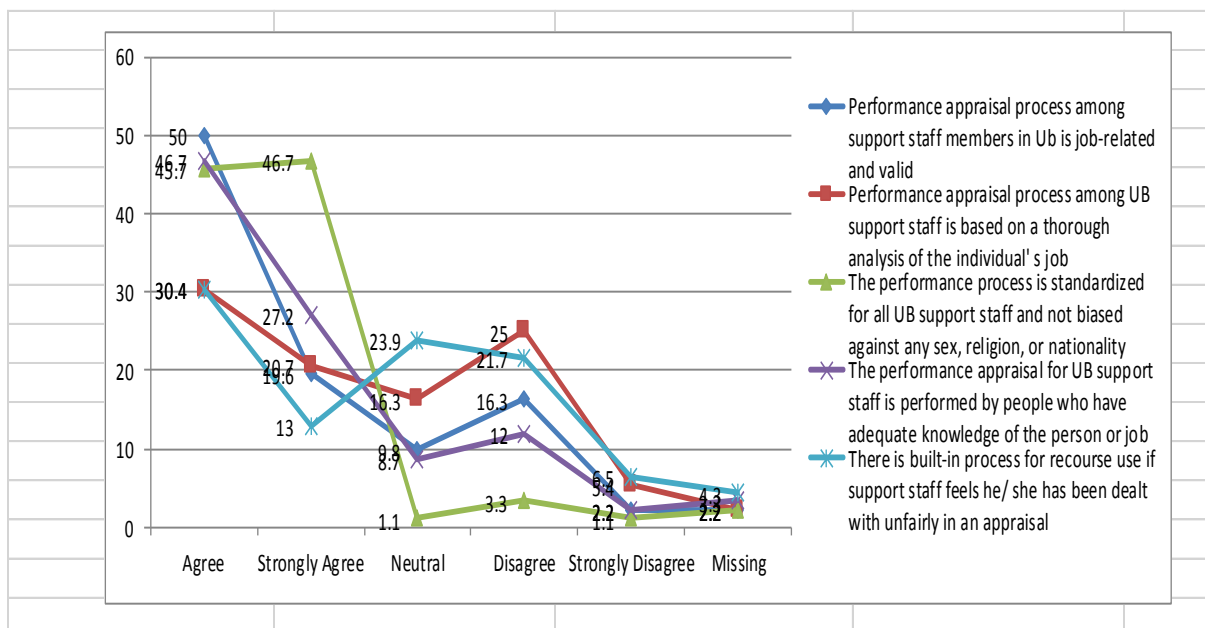


Figure 4.1: Valid Performance Review Process

The study sought to confirm the validity of the performance appraisal process for support staff members in UB. The questionnaire was used, as reflected in Figure 4.1, to elicit data for this. Statements were given to respondents to show their level of agreement or disagreement. Respondents were asked to confirm if performance appraisal process among support staff members in UB enhances their performance. In response, 70% of the respondents confirmed the statement to be true as the performance appraisal process encourages them to perform highly. They indicated that the appraisal is job-related, while 18.5% indicated that the appraisal, in their view, was not valid, and therefore not helpful. Some 10% of the respondents gave neutral responses, whereas 2% of the study population did not attempt the question. The next question was to determine the extent to which the performance appraisal process reflects an individual's job profile or relevance. In response, 51% of the respondents confirmed that the appraisal process reflects or captures their individual job profiles, while 30% provided a contrary response. A total of 16% of the respondents provided neutral responses, whereas 2% of the respondents did not attempt the question. From the majority of the responses, performance appraisal process in UB was job-related and was relevant to their jobs and thus reflected the individual's job profiles.

In addition, 74% of the respondents agreed that the performance appraisal process among support staff members was standardized for all and was not biased against any sex, religion, or nationality, whereas 14% disagreed with the assertion. By this, the 14% insinuated that the performance process was not standardized. As a result, it lacked credibility. About 9% of those who responded to this question provided a

neutral, while 3% did not make any to answer the question. Similarly, another 74% of the respondents agreed that performance appraisal for UB support staff was performed by people who have adequate knowledge of the job of the appraiser. Only 14% disagreed to that, while 9% provided neutral response and 3% did not attempt the question. The final question in this section that sought to determine the validity of the performance appraisal for support staff in UB was to determine whether there was a built-in process for recourse if a support staff member felt he or she had been dealt with unfairly in an appraisal. In response, 43% indicated that there was a system of complains handling for aggrieved appraisees, while 28% provided a contrary response to that.

A significant 24% provided a neutral response. The percentage of the population that provided a neutral response was nearly the same as those that disagreed. The interpretation was that either the respondents did not understand the question, or they were deliberately shying away from answering the question. However, from the majority responses, it could be concluded that there was a forum set up to address the grievances of appraises. From the foregoing responses, it could be said that there existed a valid performance appraisal process for support staff employees in UB.

When asked a question on the appraisal process, the managerial interview respondent put it thus:

“The appraisal process has an objective of gauging staff performance. Employees are appraised in December of the outgoing year, and this is done at the various departments, by authorized supervisors. Thereafter, the details of the appraisal are submitted at the PMS for implementation.”

The response of the interview respondent is consistent with the responses from the interview data. For example, respondents confirmed the systematic nature of appraisal among support staff members.

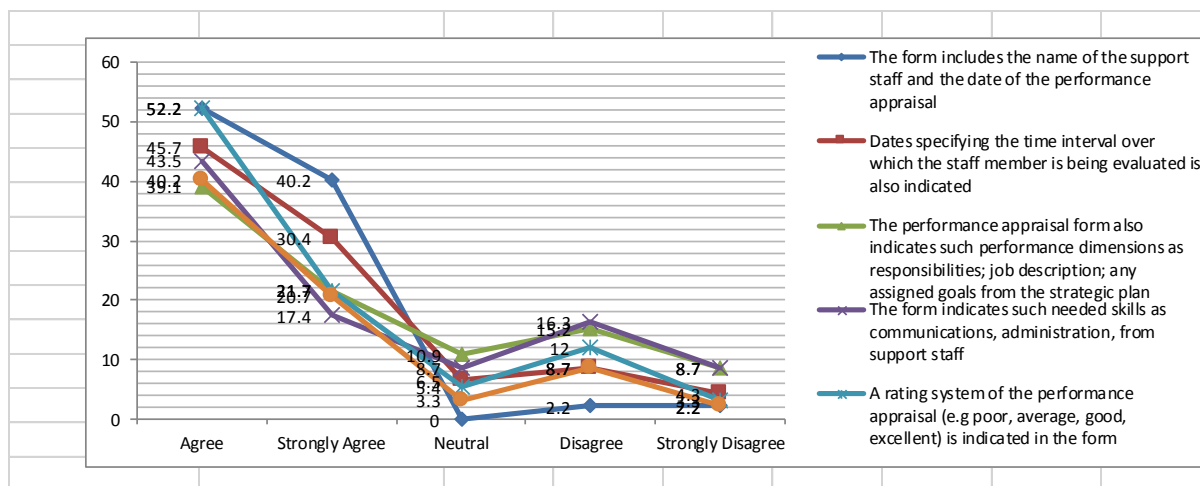


Figure 4.2: Standard Form for Performance Appraisal

The study sought to confirm if performance appraisal among UB support staff had a standard format, Figure 4.2 reflects that. In order to determine the standardized nature of the appraisal, respondents were given relevant statements to indicate their level of agreement, disagreement, or neutrality. For example, an overwhelming 92% of the respondents indicated that there is an appraisal form which has the appraisees' name, while only 4% disagreed. There were 2% of the respondents who did not respond to this question. Also, respondents were asked if the appraisal form contained dates specifying the time interval over which the staff member was being evaluated. In response, 76% of the respondents showed that the appraisal form had a feature of time interval between the appraisal and the current one. Only 13% provided a contrary response, while those of a neutral response and those who

did not attempt the question constituted 6% and 4% respectively. It could be seen that the total percentage of those who did not attempt the question and those of a neutral response on the one hand (10%), and those who disagreed (13%) on the other hand, is nearly the same.

Other features of the performance appraisal form which the study sought to confirm included performance dimensions such as responsibilities, job description, and any assigned goals from the strategic plan. In response, 61% of respondents indicated that the appraisal form reflected the individual's responsibilities, job description, and any assigned goals from the strategic plan, while 24% provided a contrary response. Neutral responses amount to 11% and some 4% did not attempt the question. On the basis of the majority responses, the study concluded that the appraisal form had such features as appraises' responsibilities job description, and any assigned goals from the strategic plan.

Respondents were asked to confirm if the form indicated such needed skills as communications, administration, from support staff members. Some 74% agreed to the presence of such features, while only 15% disagreed. A total 61% indicated that there is space for commentary on action plans to address improvements, while 11% of the respondents provided a contrary response. A significant 25% of the respondents did not attempt the question. It should be recalled that more than half of the study respondents were administration officers some of whom deal with students' non-academic issues such as accommodation. As a result, respondents indicated that knowledge of the fact that the performance appraisal process

highlighted job descriptions and goals that align with the strategic plan have improved a key area of their job.

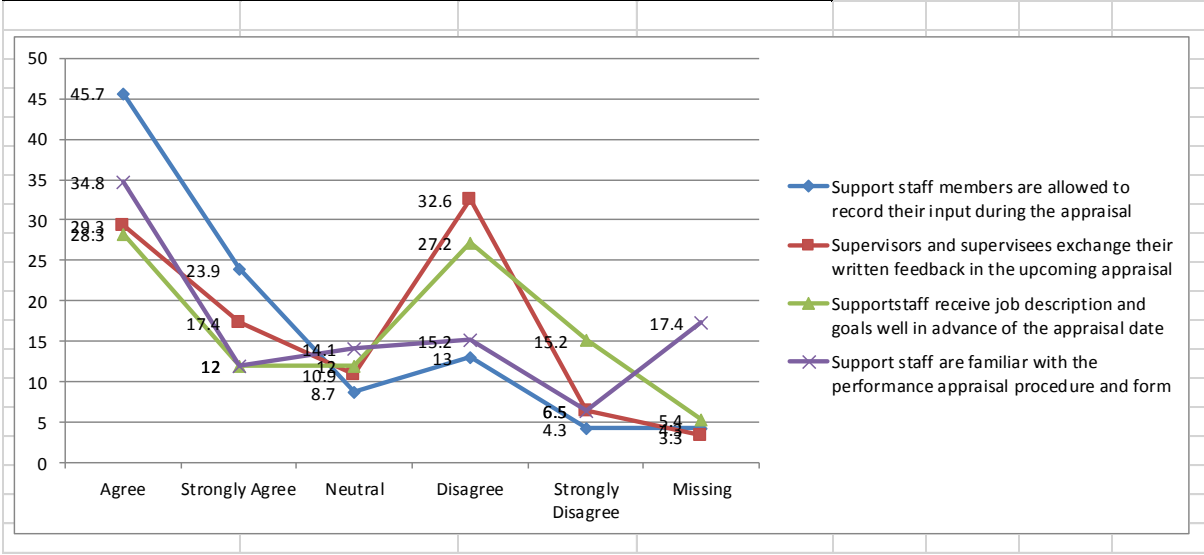


Figure 4.3: Respondents’ suggestion to update job description and input to the appraisal process

Figure 4.3 was cast in response to the statement as to whether support staff members were allowed to record their input during the appraisal. 70% indicated an agreement to such provision in the appraisal process, while 17% provided contrary response. Another related aspect of employee input was that of supervisors and supervisees exchange of their written feedback in the appraisal exercise. To confirm such, respondents were asked to provide responses. As a result, 46% agreed to the existence of such an exchange, while 40% disagreed. One can see that there was a slim difference between those who agreed and those who disagreed. This suggested that the supervisors and supervisees exchange of their written feedback in the appraisal process was not a constant feature between the Departments. Further, the study sought to confirm if the support staff received job description and

goals well in advance of the appraisal date. In response, 40% of the respondents agreed that support staff receive job descriptions and goals well in advance of the appraisal date, whereas 42% provided a contrary response.

Overall, the study sought to confirm if the support staff members were familiar with the performance appraisal procedure and form. In response, 47% agreed that they were familiar with the performance appraisal procedure and form, while 21% indicated a contrary response. Notably, a combination of 31% either provided a neutral response or failed to answer the question.

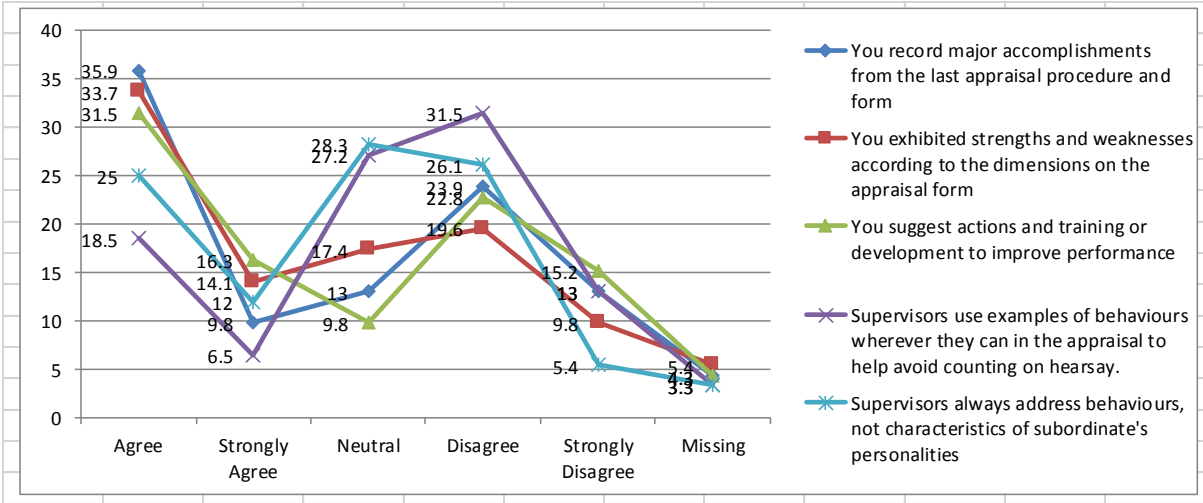


Figure 4.4: Input documentation by reference to job description and performance goals

In determining documentations inputs by appraises, the study sought to confirm if respondents recorded their major accomplishments from the last appraisal to the next one. This was reflected in Figure 4.4 above. In response, 46% confirmed to such input, whereas 37% provided a contrary response. As to whether respondents exhibited strengths and weaknesses according to the dimensions on the appraisal

form, 48% agreed to the statement, whereas 30% provided a contrary response. The percentage of those who provided a neutral response was greater than that of those who strongly disagreed. Further, respondents were asked if they suggested actions on training or development to improve performance. In response, 42% agreed to have made such suggestions, whereas 38% of the respondents disagreed. On the basis of the majority responses, the study concluded that support staff suggested training or development as an action to improve performance.

When asked whether supervisors used examples of behaviours wherever they could in the appraisal to help avoid counting on hearsay, 25%, a quarter of the sample, agreed to that, while 45%, nearly half of the sample, disagreed. It is noteworthy that the percentage of those who provided neutral response was greater than that of those who agreed. As a result, the current study continued to earn more and more neutral responses. Be that as it may, on the basis of the majority response elicited from the question on supervisors' use examples of behaviours in the appraisal to help avoid counting on hearsay, the study concluded that supervisors use hearsays in the place of appraising behaviours.

As highlighted in the previous question, 28% percent of the respondents provided neutral response to the question as to whether supervisors always addressed behaviours, not characteristics of subordinate's personalities. The percentage of neutral response was greater than that of those who agreed (27%), and a little less than the percentage of those who disagreed (31%). However, going by the majority responses, this study conclude that supervisors always address behaviours, not

characteristics of subordinate's personalities. This answered the research question of whether good performers were rewarded for their efforts with valuable rewards. Most of the employees were obviously not rewarded for their efforts because the supervisors assessed characteristics as opposed to behaviours. This does not only affect rewards, it also affects coaching which helps to shape behaviours throughout the year and narrow the gaps between actual and expected performance as alluded by (Hurtle, 1995; p. 160-161). In view of the foregoing finding, the current study has relevant recommendation to this effect.

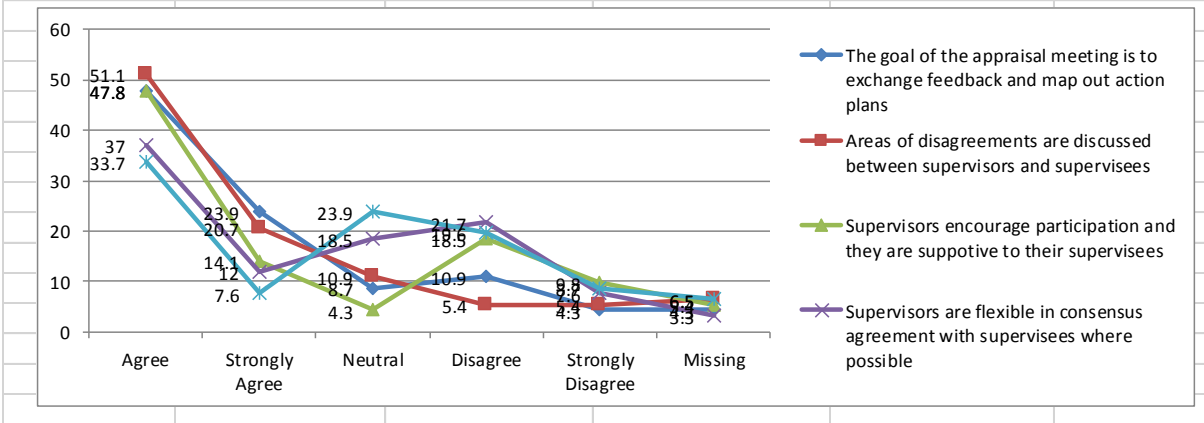


Figure 4.5: Holding the performance appraisal meeting

The study also covered the area of performance appraisal meeting and Figure 4.5 graphically shows the response. Four questions were used for this purpose. The first two questions focused on the goal and the agenda of the meeting. The third and the fourth questions were on the role of the supervisors and the last one was on the closing of the meeting. Respondents were asked if the goal of the appraisal meeting was to exchange feedback and map out action plans. An overwhelming 72% agreed that feedback and action design was the goal of the meeting, whereas 15% disagreed. Based on the majority response, the study concluded that the

performance appraisal meeting for support staff in UB had a specific goal that was known to the appraisees.

Also, 72% agreed that areas of disagreements were discussed between supervisors and supervisees, whereas 11% disagreed. In determining the role of the supervisors in providing support, 62% of the respondents agreed, while 23% disagreed. It could therefore be said that supervisors were supportive to their supervisees. The support of the supervisors is demonstrated in their flexibility in consensus agreement with supervisees where possible. Nearly half of the respondents, 49%, agreed, while 29% disagreed. Finally, in this section, the study sought to find out if performance appraisal meetings ended on a positive note. In response, 42% agreed that meetings ended positively while 29% disagreed. As highlighted earlier, the rate of neutral response in the current study is worrisome. Nevertheless, this study posited that the goal of appraisal meeting was clear; supervisors were flexible and supportive; and such meetings ended on positive notes.

In summary, it should be recalled that the objective targeted under this section was to determine the extent to which the implementation of performance appraisal process enhances employee performance. The aggregate response of respondents indicated the usefulness of the performance appraisal process for support staff members in UB. Also, respondents confirmed that performance appraisal process among support staff members in UB was related to their job and as such it encouraged them to increase their efforts in attaining UB goals and objectives so as to receive financial and non-financial rewards. The University recognised and rewarded good performers annually. The employees valued such rewards, which

encouraged them to work hard. In addition, respondents agreed that the performance process among support staff members was standardized for all and was not biased against any sex, religion, or nationality. Similarly, respondents agreed that the performance appraisal for UB support staff was performed by people who have adequate knowledge of the job of the appraisees.

Furthermore, the aggregate responses indicated that there was a standardized way of appraisal which did not only have a feature of time interval between the previous appraisal and the current one, but also reflected the individual's responsibilities, job description, and any assigned goals from the strategic plan. In addition, the study confirmed that the support staff members made input to the appraisal process. For example, 70% indicated an agreement to such provision in the appraisal process. Finally, the study confirmed that the support staff members did not receive job description and goals well in advance of the appraisal date. This should be highlighted for recommendation of action for improvement.

Relating the results of this study to Vroom's Expectancy Theory was important at this stage. It makes the theory relevant to the current study. As presented in Section 1.4.1, Vroom's Expectancy Theory is made up of three basic aspects, namely: efforts, performance, and rewards. Whereas effort is linked to expectancy, performance and rewards are linked to instrumentality and valence respectively. The first objective this study as so far presented have bordered on both efforts and performance. Elaborating on efforts expectancy, Isaac et al (2007) avers that it has to do with a worker's estimation of the probability of success when putting in effort.

Expectancy is a person's estimate of the probability that job-related effort will result in a given level of performance. Put differently, whether one's effort would lead to an acceptable level of performance. In order to measure the level of effort or performance put in place, an appraisal process has to be adopted. In this study for example, the graph presented in Figure 4.1 showed that there was a process that measured efforts of support staff in the university. Employee expectation of rewards was based on probabilities that ranged from 0 to 1. That is to say, if an employee sees no chance that effort will lead to the desired performance level, the expectancy is 0. On the other hand, if the employee is completely certain that the task will be completed and there are very high chances of rewards, the expectancy has a value of 1 or close to it. Generally, employee estimates of expectancy lie somewhere between these two extremes.

In addition, the appraisal mechanism is the instrument with which performance is measured. This brings into focus the instrumentality aspect of Vroom's Theory. Instrumentality aspect of the theory is an individual's estimate of the probability that a given level of achieved task performance will lead to various work outcomes. The view of the current study is that an individual cannot be completely detached from his or her job. As a result, the individual in entirety should be integrated into the instrumentality mechanism. In the result presented in Figure 4.2 in the current study, there was a confirmation that not only appraisers' details were provided in the instrument, but also appraisees' responsibilities, job descriptions, and skills were incorporated. The study also confirmed that there was an interaction between participating parties. Such an interaction opens up parties for feedback sharing. As

with expectancy, instrumentality ranges from 0 to 1. For example, if an employee sees that a good performance rating will always result in a salary increase, the instrumentality has a value of 1. If there is no perceived relationship between a good performance rating and a salary increase, then the instrumentality is 0.

To sum up responses to the first objective of this study, interview responses from the PMS Director show specific performance appraisal steps that are undertaken in the organization: The respondent put it thus:

Step 1: Discuss the basic principles of the appraisal system with key employees in the university. For example, they can decide on the types of questions asked whether they base them on the core values of the university or use questions that apply to specific positions. Discussing the questions and evaluation as a team helps employees adjust to the appraisal system and helps explain why it is necessary.

Step 2: Prepare at least some specific appraisal questions with a larger number of managers. For example, they can prepare value-based questions and the main occupational group-based questions, and then introduce the appraisal system's technicalities and content. The reason is that people like to know in advance what is going to happen.

Step 3: Conduct a smaller and simple mock-appraisal to introduce the technicalities of the system. It is an easy and fast method which gives people the opportunity to evaluate the technical solutions used.

Step 4: Implement the appraisal on the basis of function or division. This technique helps relieve tensions connected with appraisals. Those who have done the appraisal can talk about it with their colleagues. Moreover, they will have time to complement and improve the system.

The respondent ended by reiterating that this was not always the case in practical terms.

Research Objective 2: To examine the extent to which performance appraisal process enhances employee efforts and performance.

This section examined the extent to which performance appraisal process enhanced employee efforts and performance was covered in the second objective. It covered important issues such as the outcome of performance appraisal process in terms of its contribution to the core business of the University of Botswana, its impact on psychological needs, personal development enhancement and service delivery.

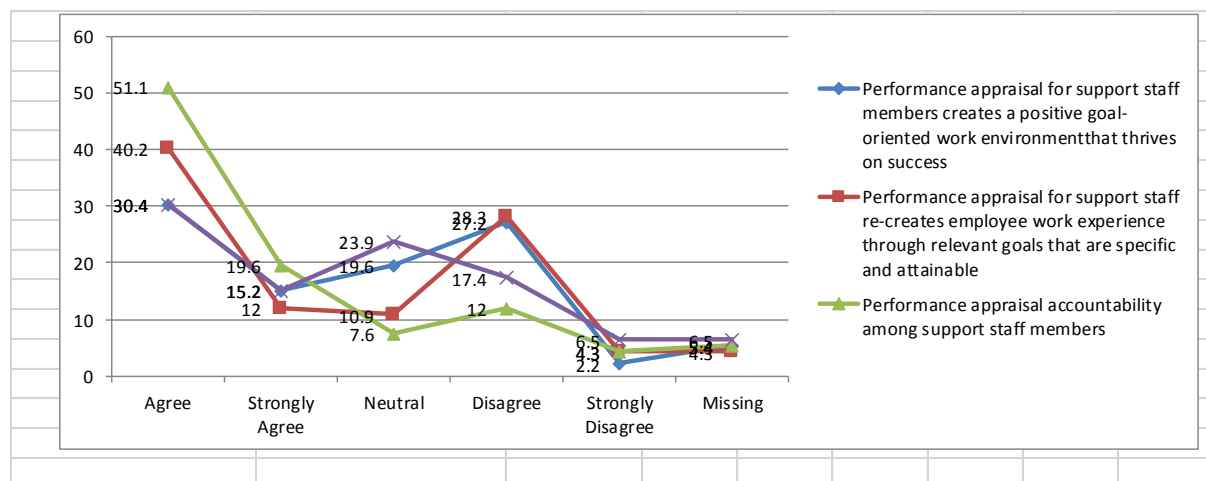


Figure 4.6: Outcome of Performance Appraisal

In this section, data on the outcome or the effects of support staff performance appraisal and how they contributed to the core business of the University of Botswana was analysed. The results are graphically reflected in Figure 4.6 above. As a start, respondents were asked to confirm the extent to which the performance appraisal for support staff members created a positive goal-oriented work environment that thrives on success. In response, 46% of the respondents agreed that it does, while 29% disagreed. Also, in response to the statement as to whether

performance appraisal for support staff re-created employee work experience through relevant goals that are specific and attainable, 42% agreed whereas 33% disagreed. The margin between the classes of respondents was slim.

The interpretation is that the respondents were likely not sure of the possible answer to the question. This could also be seen in the total number of neutral and missing responses, 15% which nearly half of those who disagreed. However, it can be concluded that performance appraisal for support staff members creates a positive goal-oriented work environment that thrives on success. In addition, 74% of the respondents indicated that performance appraisal re-creates employee work experience through relevant goals that are specific and attainable. Therefore they expect to succeed, which is motivating as per Vroom's theory. Accountability is an excellent feature of every process including appraisal. In order to confirm this, respondents were asked if performance appraisal encourages accountability among support staff members. An overwhelming 71% agreed, while only 16% disagreed. Based on the significant percentage of respondents, this study posits that performance appraisal encourages accountability among support staff members in UB. A summary of the responses is presented graphically in Figure 4.6 above.

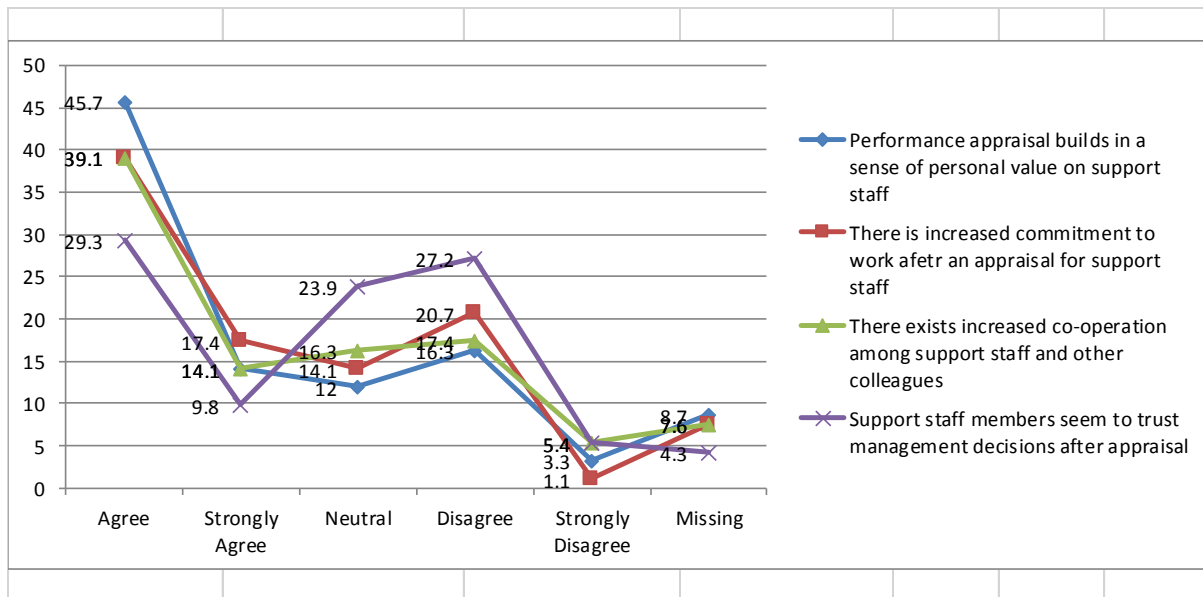


Figure 4.7: Performance Appraisal and Employee Outcome

Another area of performance appraisal which the study looked into is that of meeting higher level psychological needs and personal development enhancement. This is explained by 4.7 above. In response, 46% agreed that their performance appraisal meets their psychological needs and enhances their personal development, while 24% provided contrary response. This time, the same percentage of those who disagreed is the same as those who provided neutral response and those who did not attempt the question. And for the umpteenth time, this study is highlighting such high level of neutral response as undesirable. Therefore, it is a limitation of the study.

Some 60% of the respondents agreed that performance appraisal built in a sense of personal value on support staff members, while 20% disagreed. From the foregoing responses, it was logical that there was increased commitment to work after an appraisal for support staff. Fifty-seven (57%) of the respondents agreed to this, 22% disagreed.

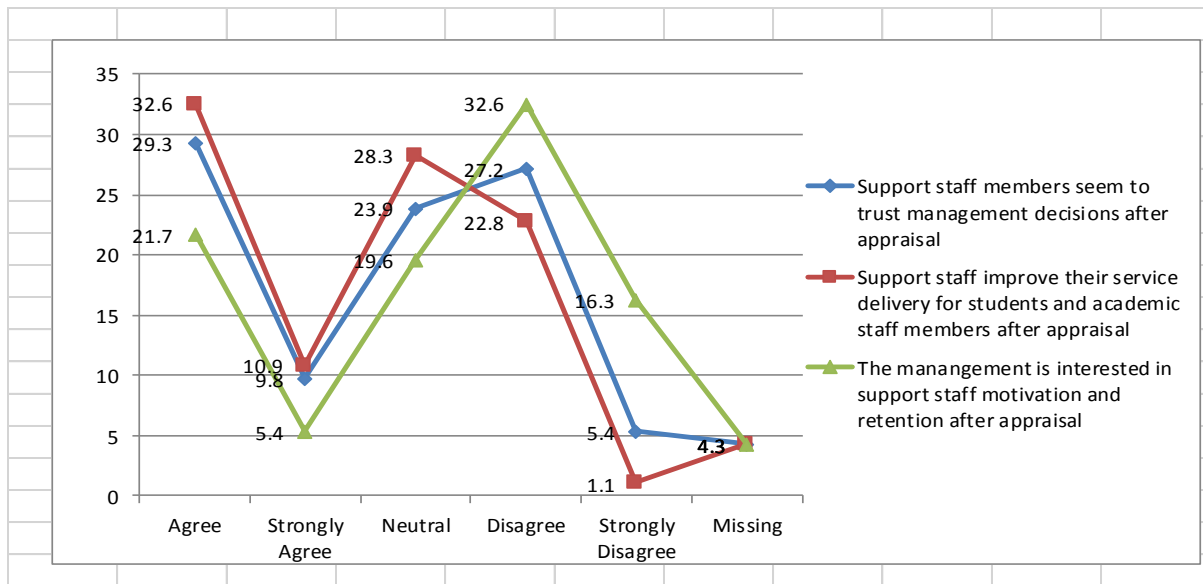


Figure 4.9: Performance Appraisal and Employee Outcome

The final set of outcome of the performance appraisal which the respondents responded to include appraisees' trust of management decisions; improved service delivery for students and academic staff members; and motivation and retention as reflected in Figure 4.9. In response to trusting the management decision, 40% of the respondents agreed, while 32% disagreed; concerning improved service delivery 44% agreed, whereas 24% disagreed; and 27% agreed to the outcome on motivation and retention, whereas 53% disagreed. From the above responses, one could see that support staff members were not motivated after appraisal. The majority responses confirmed this.

The results of the foregoing objective of the study relates to the reward valence aspect of the Vroom's Theory. Valence is the strength of an employee's preference for a particular reward. Thus, salary increases, promotion, peer acceptance, recognition by supervisors, or any other reward might have more or less value to individual employees. In this study, results in Figures 4.6; 4.7; and 4.8 showed

that workplace communication, attainable goals, personal value, and staff retention were some of the employees' reward preferences. Granted, Wilson (2013) cited in the literature review part, Section 2.11, posits that some employees may value a promotion or a pay raise, whereas others may prefer additional vacation days, improved insurance benefits, day care services, or elder-care facilities. In other words, choice of reward is quite divergent. In effect, many companies have introduced cafeteria-style benefit plans and other incentive systems that allow employees to select their fringe benefits from a menu of available alternatives.

Unlike expectancy and instrumentality, valences can be either positive or negative. If an employee has a strong preference for attaining a reward, valence is positive. At the other extreme, valence is negative. And if an employee is indifferent to a reward, valence is 0. The total range is from -1 to +1. Theoretically, a reward has a valence because it is related to an employee's needs. Valence, then, provides a link to Maslow's need theory of motivation, for example. Vroom theory, however, suggests that expectancy, instrumentality, and valence are related to one another.

Research Objective 3: To assess the outcome of staff performance appraisal and determine how they contribute to the core business of the University of Botswana.

Objective 3 assessed the outcome of performance appraisal process and they contribute to the core business of the University of Botswana.

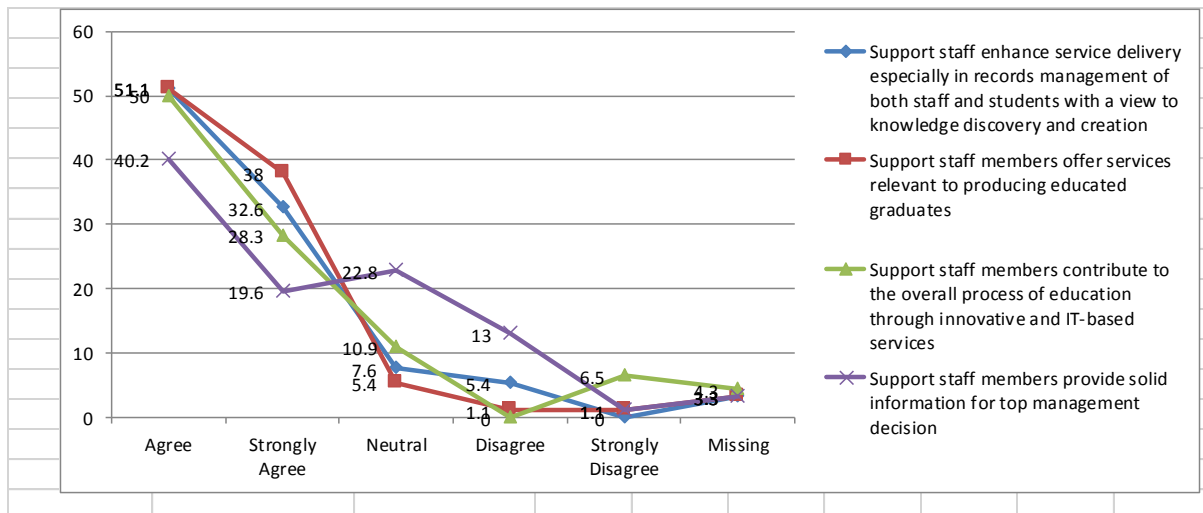


Figure 4.9 Support Staff members add value to the overall goal of UB

This section of the objective of the study sought to determine the extent to which support staff members add value to the overall goal of UB. This is represented graphically in Figure 4.9. An overwhelming 84% agreed that support staff members enhance service delivery especially in records management of both staff and students with a view to knowledge discovery and creation, while only 5% disagreed. Another overwhelming 89% agreed that support staff members offer services relevant to producing educated graduates, whereas only 6% disagreed with that.

Furthermore, some 78% agreed that support staff members contributed to the overall process of education through innovative and IT-based services, while only 7% disagreed. The last aspect of the role of support staff in the overall goal of UB was to determine whether support staff members provide solid information for top management decision. In response, 60% agreed, while 14% disagreed. This section has indicated that support staff added value to the existence of UB by contributing to its core mandate. These included production of educated graduates, creation of new knowledge, and innovative and IT-based teaching.

In summary, the second objective had identified and analysed the outcome or the effects of support staff performance appraisal and related their contribution to the core business of the University of Botswana. The study confirmed that performance appraisal for support staff members did not only create a positive goal-oriented work environment that thrives on success, but also built accountability among support staff members in UB. In addition, the study confirmed that performance appraisal met support staff members' psychological needs and enhances their personal development. At the same time, performance appraisal built a sense of personal value on support staff members. Other outcomes which the study confirmed included trust of management decisions, improved service delivery, and motivation. The later part of the second objective sought to link the appraisal outcome to the fundamental function of University of Botswana. It should be reiterated that the core business of University of Botswana included knowledge development, teaching, and production of new graduates. The study confirmed that there was enhanced service delivery especially in records management of both staff and students, and that contributed to knowledge discovery. Also, contributions were made to the overall process of education through innovative and IT-based services which helped lecturers in IT-aided teaching.

In the interview session, the key respondent enumerated a number of benefits that accrues from performance appraisals, especially in achieving the university's core mandate. In a verbatim presentation, the respondent suggested:

One of the ways in which performance appraisal has benefitted the university had been the aspect of communication. Support staff members have made it

easier for lecturers to do their daily teaching routine and communicating their research output, which is one of the core mandates of the university. Also, employees and managers have had their problems, especially those that stem from a lack of communication, resolved with a performance appraisal. As long as the appraisal is used as an opportunity to describe the criteria on which performance is judged, then the employee will walk away from the meeting with a better understanding of how to best perform his job.

The respondent further highlighted on performance appraisal as a catalyst for improving performance appraisal. In a verbatim response, this was posited:

As the university details information through employee performance appraisal processes, organizational decisions become easier. Filling open positions with existing staff strengthens the organization and promotes loyalty. Knowing which employees display what strengths improves the speed with which projects can be assigned. In addition, appraisals also provide a framework when making decisions about compensation and layoffs. In a nutshell, the effective use of performance appraisals helps an organization operate efficiently and with focus.

Finally, appraisal outcome for support staff members provided solid information for top management decision.

Research Objective 4: To identify the strategies that can be employed to improve performance appraisal process in the University of Botswana.

To address research objective four, employees were asked about the strategy that can be employed to improve the performance appraisal process as a measure of employee's performance. Their response is reflected on the graphs below:

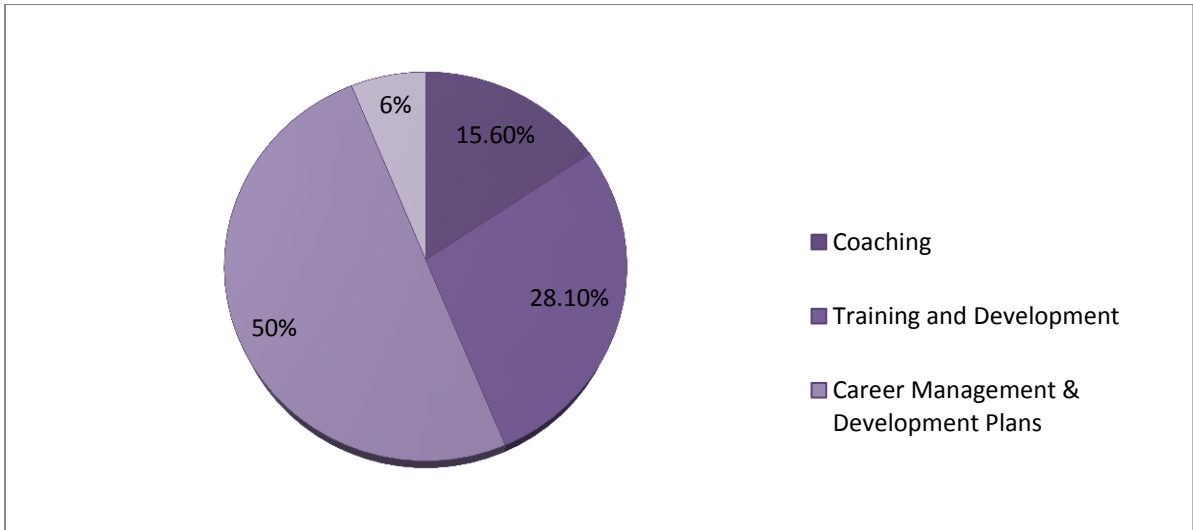


Figure 5: Assistance Offered to Employees

On how employee performance was improved, the supervisors' response showed that 50% of them used career management and development plans approach to assist their subordinates to meet their job targets or to improve their performance.

Some 28% of the respondents also expressed their opinions that they employed training and development to improve their subordinate's performance. However, the responses from the supervisors in the questionnaire of the study suggested that most of them did not believe in succession planning as a strategy for improving performance of support staff. Only a few of them responded to the use of succession planning in the questionnaire.

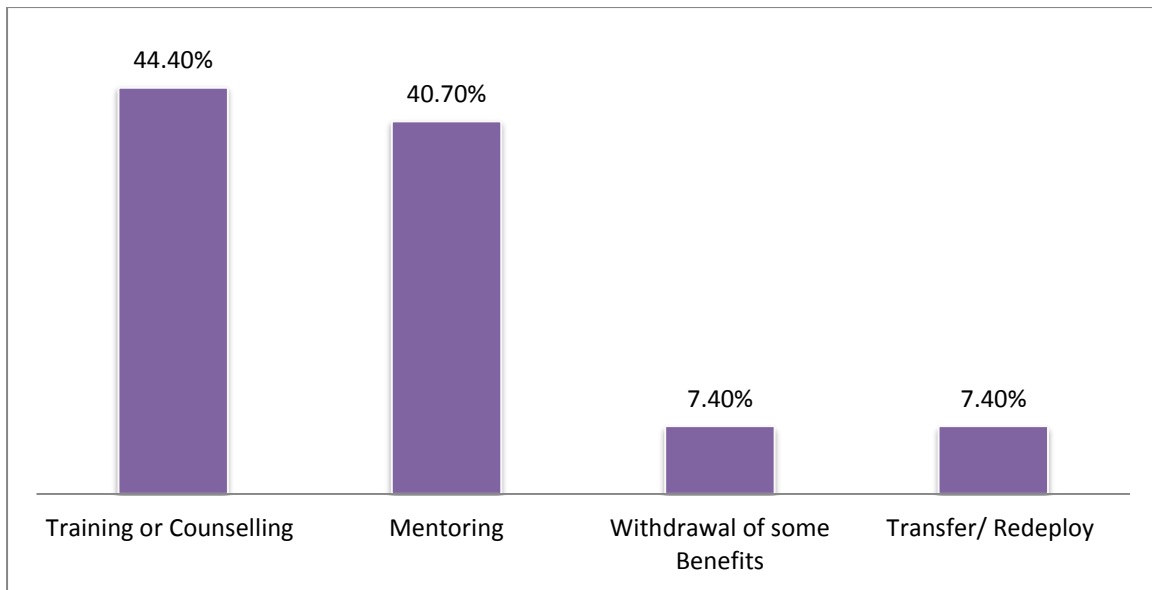


Figure 7: Post Appraisal Remedial Action

Overall, the in-depth analysis of the participant's responses revealed that majority of the supervisors believed in training and counseling (44%) as the best way to improve performance appraisal as a measure of employee's performance. This was followed by mentoring (41%). The least strategy was transfer or redeployment which is at 7 percent according to these findings. It can therefore be concluded that verbal and written strategies could be used by supervisors to give feedback to subordinates in order to improve performance appraisal, and that engaging staff in training and counseling would go a long way to improve the use of performance appraisal as a strategy for promoting employees' performance in an organization.

In summary, the strategies identified in this study that could help in improving performance appraisal include training and development, counselling, and mentoring. The next chapter presents a discussion of the summed findings of this study within the context of existing empirical literature. The discussions are brief and succinct and presented in sub-titles.

Testing Hypothesis

A chi square (X^2) statistic is used to investigate whether distributions of categorical variables differ from one another. Basically categorical variable yield data in the categories and numerical variables yield data in numerical form. In this study, chi-square was used in assessing the relationship between level of employment and the seriousness attached to performance appraisal.

Hypothesis 1: There is no significant relationship between length of service and how serious supervisors take performance appraisal.

Table 4.1: Relationship between length of service and the seriousness given to performance appraisal

Supervisors give Performance Appraisal the Seriousness it Deserves				
Length of Service (years)		Yes (%)	No (%)	Total (%)
	0-5	10	4	14
	6-10	18	7	25
	11-15	19	9	28
	16-20	9	6	15
	21-25	9	4	13
	26-30	5	0	5
	Total	69	30	100
Pearson Chi-Square Tests				
Level of Employment	Chi-square		5.486	
	Df		1	
	Sig.		.019	

To test for the above hypothesis, Chi-square statistic was performed (Table 4.1).

The results showed that there is a positive significant relationship between level of service and effectiveness of performance appraisal on employees' performance, ($X^2=5.486$ $df=1$ $p=0.019$). Therefore, the null hypothesis was rejected and the alternate accepted.

Hypothesis 2: There is no significant relationship between level of employment, length of service and supervisor ratings accuracy.

Table 4.2: Relationship between level of employment, length of service and Supervisor Ratings Accuracy

Supervisor Accuracy Conducting Performance Appraisal					
		Supervisor Accuracy			
		Poor (%)	Neutral (%)	Acceptable (%)	Total (%)
Level of Employment	Technician	1	4	9	14
	Accounts Officer	0	0	8	8
	Admin Officer	11	21	44	76
	Librarian	0	0	2	2
	Total	12	25	63	100
Length of Service (years)	0-5	2	2	12	16
	6-10	10	2	19	31
	11-15	0	4	16	20
	16-20	1	0	15	16
	21-25	4	7	3	14
	26-30	0	0	3	3
	Total	17	15	68	100
Pearson Chi-Square Tests					
Level of Employment	Chi-square	1.247			
	Df	2			
	Sig.	.536			
Length of Service	Chi-square	14.181			
	Df	6			
	Sig.	.028			

Table 4.3 provided a summary of the descriptive statistics, and chi-square statistical analysis on the participants (Table 4.2). The results showed that at a critical value of .05, that there is no significant relationship between supervisor ratings' accuracy and level of employment ($X^2=1.247$ $df=2$ $p=0.536$). Therefore, the null hypothesis was accepted.

However when supervisor accuracy ratings was related to length of service, the result showed that there is a significant relationship between supervisor accuracy ratings and length of service, ($X^2=14.181$ $df=6$ $p=0.028$). Therefore, the null hypothesis was rejected and the alternate accepted. This implies that given supervisor accuracy ratings as a measure of employee's performance, the length of service of employees influenced the effectiveness of supervisor accuracy ratings.

Hypothesis 3: There is no significant relationship between level of employment and length of service and performance appraisal factors.

Table 4.3: Relationship between level of employment, length of service and performance appraisal factors

Performance Appraisal Contributing Factors Taken Into Consideration				
		Considered (%)	Not Considered (%)	Total (%)
Level of Employment	Technician	5	9	14
	Accounts Officer	5	2	7
	Admin Officer	28	49	77
	Librarian	0	2	2
	Total	38	62	100
Length of Service	0-5	12	5	17
	6-10	13	16	29
	11-15	3	16	19
	16-20	11	4	15
	21-25	7	9	16
	26-30	0	4	4
	Total	46	54	100
Pearson Chi-Square Tests				
Level of Employment	Chi-square		1.710	
	Df		1	
	Sig.		.191	
Length of Service	Chi-square		5.122	
	Df		3	
	Sig.		.163	

To test for the above hypothesis, descriptive statistics was calculated to provide the number of responses, and percentage for each independent variable (level of employment and length of service) on performance appraisal. To discover whether support staff of the University of Botswana is statistically significant different on performance appraisal factors, Chi-square statistical analysis was used to identify the differences.

The results showed that at a critical value of .05 there was no significant relationship between the two independent variable (level of employment and length of service) and performance appraisal factors ($X^2=1.710$ $df=1$ $p=0.191$) and ($X^2=5.122$ $df=3$ $p=0.163$ respectively). Therefore, the null hypothesis was accepted.

Hypothesis 4: There is no significant relationship between level of employment, length of service and performance appraisal goals.

Table 4.4: Relationship between level of employment, length of service and performance appraisal goals

Achievement of Performance Appraisal Goals				
		Goals Achieved (%)	Goals Not Achieved (%)	Total (%)
Level of Employment	Technician	11	3	14
	Accounts Officer	6	2	8
	Admin Officer	45	31	76
	Librarian	0	2	2
	Total	62	38	100
Length of Service	0-5	16	0	16
	6-10	16	11	27
	11-15	12	10	22
	16-20	7	11	18
	21-25	9	6	15
	26-30	0	2	2
	Total	60	40	100
Pearson Chi-Square Tests				
Level of Employment	Chi-square	.568		
	Df	1		
	Sig.	.451		
Length of Service	Chi-square	8.685		
	Df	3		
	Sig.	.034		

To test for the above hypothesis, descriptive statistics was calculated to provide the number of responses, and percentage for each independent variable (level of employment and length of service on performance appraisal goals. To discover whether support staff of University of Botswana is statistically significantly differing on performance appraisal goals, Chi-square statistical analysis was run to identify the differences. The results showed that at a critical value of .05 there was no significant relationship between the level of employment and performance appraisal goals ($X^2=0.568$ $df=1$ $p=.451$). The null hypothesis was accepted. On the other

hand, significant relationship was reported between length of service and performance appraisal goals ($X^2=8.685$ $df=3$ $p=.034$). So, the null hypothesis was rejected and the alternate accepted.

Hypothesis 5: There is no significant relationship between level of employment, length of service and the impact of PA on employees' performance.

Table 4.6: Relationship between level of employment, length of service and the impact of performance appraisal on employees' performance

Impact of Performance Appraisal on Employee Performance				
		Impact (%)	No Impact (%)	Total (%)
Level of Employment	Technician	10	4	14
	Accounts Officer	5	3	8
	Admin Officer	57	19	76
	Librarian	2	0	2
	Total	74	26	100
Length of Service	0-5	11	5	16
	6-10	14	14	28
	11-15	9	12	21
	16-20	10	5	15
	21-25	10	6	16
	26-30	4	0	4
	Total	58	42	100
Pearson Chi-Square Tests				
Level of Employment	Chi-square	6.583		
	Df	1		
	Sig.	.010		
Length of Service	Chi-square	1.323		
	Df	3		
	Sig.	.724		

To test for the above hypothesis, descriptive statistics was calculated using Chi-square. The results showed that at a critical value of .05 there was a significant

relationship between the level of employment and the impact of PA on employees' performance ($X^2=6.583$ $df=1$ $p=.010$). So, the null hypothesis was rejected and the alternate accepted. On the other hand, no significant relationship was reported between length of service and the impact of PA on employees' performance ($X^2=1.323$ $df=3$ $p=0.724$). Therefore the null hypothesis was accepted and the alternate rejected.

CHAPTER FIVE

DISCUSSION, CONCLUSIONS, AND RECOMMENDATIONS

5.1. Introduction

This chapter presents the summary of the research findings, recommendations, limitations of the study, implications of the study for theory and practice, directions for future research, and then the conclusion. It begins with the summary of the research findings.

5.2. Summary of the Research Findings

The result of the study laid a background of the performance appraisal process in UB. Responses indicated that performance appraisal in UB was usually done in two steps. First, the supervisees and their supervisor completed the "Performance Appraisal Form". At this time, they would be doing a self-assessment. Secondly, supervisees and supervisors participated in a formal performance appraisal meeting. The appraisal form, used in the first step, consisted of a job description, performance standards, and criteria that were used to judge or evaluate supervisees' performance.

The performance standards were derived from a job description, which was a detailed list of all of the skills involved in performing a task. The criteria were used to determine the level of performance, which ranged from excellent, to poor (or alternatively meets, exceeds or does not meet standards). Once appraisal was completed, the individual score was averaged and decisions on rewards made

based on that average. Discussions that follow emerged from topical issues that were deduced from the findings of the study.

Furthermore, the findings of this study indicated that the performance appraisal process as implemented at UB was fairly effective. This corroborates the study conducted by Harris (1994) in which accuracy of performance appraisal was related to factors such as sustenance of subordinate-supervisor relationship, motivation of employees and giving the supervisor a reputation of a successful manager. This confirmed the significance of positive communication between the supervisee and supervisor on performance appraisal, particularly on the attainment of appraisal goals.

In addition, the findings also revealed that the support staff contributed to the core business of the University of Botswana. This was because the performance appraisal goals were specific and attainable. Having such goals, helped employees to perform effectively without struggle to understand what was expected of them. The results again showed that the performance appraisal process met the employees' psychological needs and built a sense of personal value. If they felt valued, then they would put more effort on performance.

Furthermore, the University of Botswana support staff offered intangible services. With intangible services, it was assumed that well-equipped offices would be beneficial to all the customers, both students and non-students. Customers' expectations were important elements in service delivery.

Overall, the finding of the current study also indicated that the performance assessment tool was too general. This was in harmony with the findings by Liu et al. (2012) which pointed out that public sector in developing countries were finding it difficult to come up with a practical appraisal tool that promote jobs performance due to capacity and institutional constraints. This according to Beugré et al. (2001) was related to shortage of human resources management practitioners in organizations in Sub Sahara Africa.

5.3. Recommendations

Based on the background to this study, the review of literature and the findings of this study, the support staff of University of Botswana were facing a few of challenges both in implementation and practice of performance appraisal. It was found that employees were not fully engaged in the performance appraisal process. Therefore the following recommendations were made.

- i. The university management should adopt strategies that encourage participation and understanding of the concept of performance appraisal process and how it ties or links rewards to each employee's performance. They should inculcate in their policies, programmes and actions and messages that encourage consistent high performance practice in the University.
- ii. Although the majority of the employees did see their participation in performance appraisal as contributing to their job performance, there is still a room for improvement, management can continuously find ways of improving it

together with occasional orientation exercises in order to stimulate expectations on performance appraisal process.

- iii. The University of Botswana management should offer staff development training that would improve the knowledge and skills of the employees. This can be done through in-house cost effective and mass training, such as workshops, short courses and seminars. Also there should be refresher courses for supervisors together with induction for the newly appointed ones. This would help them to gain necessary skills required for effective performance appraisal.
- iv. Management should build an environment that encourages feedback; both positive and negative. Employees should be able to open up, not only during the appraisal meetings, but throughout the year. Managers should be open-minded and allow employees to make suggestions on important things such as; what new challenges they think they can be given, their needs in terms of development and training and to identify areas that they need to improve on. This can only be achieved if a culture that makes employees feel protected from biasness and favouritism is developed.
- v. The use of the 360-degree appraisal should be revisited. It would give employees an opportunity to get balanced and fair appraisals. 360-degree does not only give employees an opportunity to self-evaluate, others are able to evaluate them over and above their supervisors. This will eventually lead to employees' self-awareness and improvement on their performance.

5.4. Limitations of the Study

Although this research aimed at investigating the effectiveness of performance appraisal on University of Botswana support staff, there were limitations which needed to be considered when interpreting the results of the study. Firstly the limitation of this study was related to the methodology. The study focused more on quantitative methods, with limited concentration on qualitative method. Thus, a further study could be carried out focusing equally on both the quantitative and qualitative methods.

The other limitation was that the study concentrated on the support staff of University of Botswana, so it would be valuable for future studies to extend the study to other employees of the University, i.e., academic staff for broader analysis and generalization of the study in the establishment. It would also be valuable for future studies to investigate employee's beliefs about performance appraisal in the university environment by focusing on reciprocal interactions between the supervisors and the subordinate in the university community. Again, time permitting a bigger sample could have been targeted for more accurate and reliable results.

In addition the response options in the questionnaire included a neutral option. When respondents indicated a neutral option, it did not help the researcher in response analysis. In the current study, there were several instances where a significant percentage of the respondents provided a neutral option and the researcher could not draw any conclusion from such responses. In this case, a neutral response becomes a limitation of the study.

5.5. Implications of the study to Research, Theory and Practice

This sub-section of the study presents the contributions of the current study to theory, research and policy.

5.5.1. Contribution to Research

The present study served as a significant contribution to the under-researched area of performance appraisal in Botswana. The study also underlined the previously ignored issue that merits further research focus and pointed toward limited empirical research on performance appraisal in the University environment (Jain, 2004; Mosetlhe, 1993). While most literature on performance appraisal were based only on public sectors (Mosetlhe, 1993), the private sectors such as the University environment have only recently attracted attention in the discourse. Even with that, the few available studies on performance appraisal are from academic staff, with the perception of support staff on performance appraisal lacking behind.

In this study, Vroom's Theory has been applied to demonstrate that performance appraisal process is based on self-interest of an individual who wants to achieve maximum satisfaction and who wants to minimize dissatisfaction. Thus, it stressed the importance of expectations and perceptions of employees; and rewards or pay-offs. However, Vroom's expectancy theory is not about self-interest in rewards but about the associations people make towards expected outcomes and the contribution they feel they can make towards those outcomes.

Also, the findings have wide-ranging implications for the success of performance appraisal on support staff of University of Botswana. While the context of this study was limited to support staff of the University of Botswana, and should be considered in light of this context, there are likely to be parallels between this context and larger settings in the University, where employees of the University are struggling with the implementation of the concept.

This study, specifically, investigated the effectiveness of performance appraisal on support staff of University of Botswana. The study examined the following themes: level of employment, length of service and number of subordinates and explored whether they influence performance appraisal on support staff of the University. The findings revealed significant relationships between performance appraisal and employees performance in the areas, such as appraisal of employees performance, satisfaction of employees key performance areas, employees' competency training, employees 'performance appraisal goals, performance appraisal factors, and supervisor ratings accuracy.

Based on these findings, the current study contributed to the scholarly literature and research on effectiveness of performance appraisal on employee's performance in University of Botswana and allied with previous studies on performance appraisal in private and public sectors (Armstrong et al., 2004; Appelbaum et al. 2011). Finally, the study highlighted the future need to build more research on performance appraisal in the University environment.

5.5.2 Contribution to Theory

Although performance appraisal is essential, perceptions of employees about its effectiveness on job performance have been minimally explored. This present study adds to theory on effectiveness of performance appraisal on employee's performance, as it evaluated the perceptions of support staff of University of Botswana and whether the process influenced their performance. As revealed in most literature, performance appraisal is a complex process, as a result, Vroom Expectancy Theory was used as a guide to analyse its effectiveness on University of Botswana employees' performance.

Additionally, the study investigated the relationships between levels of employment, number of subordinates, length of service and performance appraisal, while characteristics such as appraisal of employees performance, satisfaction of employees key performance areas, employees' competency training, employees 'performance appraisal goals, performance appraisal factors, and supervisor ratings were measured as mediating factors that impacted on the effectiveness of performance appraisal on University of Botswana support staff.

The theoretical model used in this study supported these interactions and gave a clear indication on the significant relationships between levels of employment, number of subordinates length of service and performance appraisal. The theory also supported the fact that, interplay between the expectancy and instrumentality factors (independent variables) influenced the effectiveness of performance appraisal on employees 'performance (dependent variable) by explaining that, the level of employment, coupled with number of subordinate and length of service of support staff of University of Botswana determined the effects of performance

appraisal on their performance. In addition, the present study justified the notion that for performance appraisal to be effective and improve performance, all these characteristics must be harmonised. This study contributed to theory in this regard, and suggested that mutual collaboration between the management and employees is a necessary condition for performance appraisal to be effective.

5.5.3 Contribution to Policy

The findings of the present research showed that, there are particular challenges to the implementation of performance appraisal on support staff of University of Botswana. The review of literature on performance appraisal indicated limited research on the subject particularly, among the junior staff. However, given the willingness of UB management to introduce performance appraisal as a strategy to improve performance, there appeared to be considerable scope to enhance the performance appraisal contribution to employees' performance.

This study could contribute to policy in this area and justified the need for implementation of strategy and programme that sustains and educates employees on the importance of performance appraisal. To this end, a shift towards embracing performance appraisal as a tool for improving employees' performance is needed to change employees' view of performance appraisal and see the idea as worthwhile. In addition, proper communication between the management and employees improved performance. This study justified this position and sees performance appraisal as a key strategy for increasing employee performance in an organization.

5.6. Directions for Future Research

The focus of this research project was the investigation of employee performance appraisal process in regard to University of Botswana support staff. While the research was targeting all the support staff, the researcher acknowledges that the response was mainly from the junior staff. Most of the supervisors, who are the raters in this study, did not respond to the questionnaires and may not be well represented. So, future research should focus on the perceptions of the senior staff on the effectiveness of performance appraisal process on the University of Botswana support staff. Again further studies should investigate the perception of academic staff of University of Botswana on performance appraisal. This is very important as it would increase the understanding of performance appraisal process among the University of Botswana staff.

5.7. Conclusion

Although this study has viewed performance appraisal tool of support staff through quantitative and qualitative lens, a collection of conclusions was arrived at. As illustrated throughout this study, performance appraisal was reported as positively related to employee's performance, and was suggested as a key strategy for increasing the performance of support staff of University of Botswana. The findings of this study also indicated that performance appraisal tool was not fully embraced by the support staff of University of Botswana. The study showed that there was room for improvement by suggesting that the tool should be reviewed to make it more relevant.

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APPENDICES

Appendix 1: Interview Guide Questions

1. Kindly describe the performance appraisal process among support staff members.
2. How is performance implemented to enhance employee performance?
3. To what extent does the work of a support staff add value to the overall goal of UB?
4. What are the outcomes or effects of performance appraisal?
5. How do the aforementioned outcomes contribute to the core business of UB: teaching and creating new knowledge?
6. What strategies can be employed to improve performance appraisal in UB?
7. Please give more relevant details on performance appraisal in UB.

Appendix 2: Survey Questionnaire

Dear Respondent,

I am a post graduate student in the Faculty of Business at the University of Botswana reading for my Masters in Business Administration (MBA) degree. The programme requires me to compile a Dissertation after conducting a research on a topic of my interest hence my current topic: An Investigation of Employee Performance Appraisal Process: The Case of Support Staff at University of Botswana. I therefore kindly request you to answer questions below. The information you provide will help me compile the aforementioned dissertation which is meant for academic purposes only. Also note that the information you provide will be treated with utmost confidentiality. I look forward to your responses.

Please tick (☑) where applicable and supply details where applicable.

1. Position Held:

.....

2. Gender	<input type="checkbox"/> Female <input type="checkbox"/> Male
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3. Age	<input type="checkbox"/> 18 - <25 years <input type="checkbox"/> 25 - <30 years <input type="checkbox"/> 30 - <35 years <input type="checkbox"/> 35 - <40 years <input type="checkbox"/> 40 - <45 years <input type="checkbox"/> 45 - <50 years <input type="checkbox"/> 50 - <55 years <input type="checkbox"/> 55 - <60 years
4. Length of Service	<input type="checkbox"/> 0 - <5 Years <input type="checkbox"/> 5 - <10 Years <input type="checkbox"/> 10 - <15 Years <input type="checkbox"/> 15 - < 20 years <input type="checkbox"/> 20 - <25 years <input type="checkbox"/> 25 - <30 years
5. Number of Years in Current Position	<input type="checkbox"/> 0 - <5 Years <input type="checkbox"/> 5 - <10 Years <input type="checkbox"/> 10 - <15 Years <input type="checkbox"/> 15 - < 20 years <input type="checkbox"/> 20 - <25 years <input type="checkbox"/> 25 - <30 years

Please tick (√) the response which best describes your opinion.

KEY

Agree = A	Strongly Agree = SA	Neutral = N	Disagree = D	Strongly Disagree = SD
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No.	Question	A	SA	N	D	SD
	Valid performance review process					
1.	Performance appraisal process among support staff members in UB is job-related and valid					
2.	Performance appraisal process among UB support staff is based on a thorough analysis of the individual's job.					
3.	The performance process is standardized for all UB support staff and not biased against any sex, religion, or nationality.					
4.	The performance appraisal for UB support staff is performed by people who have adequate knowledge of the person or job.					
5.	There is an in-built process for alternative if a support staff feels he/she has been dealt with unfairly in an appraisal process.					
	Standard form for performance appraisals					
6.	The form include the name of the support staff and the date of the performance appraisal					
7.	Dates specifying the time interval over which the staff member is being evaluated is also indicated					
8.	The performance appraisal form also indicates such performance dimensions as responsibilities; job description; any assigned goals from					

	the strategic plan					
9.	The form indicates such needed skills as communications, administration, from support staff.					
10.	A rating system of the performance appraisal (e.g., poor, average, good, excellent), is indicated in the form					
11.	There is space for commentary on action plans to address improvements.					
	Employee suggestion updates to the job description and input to the appraisal	A	SA	N	D	SD
12.	Support staff members are allowed to record their input during the appraisal.					
13.	Supervisors and supervisees exchange their written feedback in the upcoming appraisal					
14.	Support staff receive the job descriptions and goals well in advance of the appraisal date					
15.	Support staff are familiar with the performance appraisal procedure and form.					
	Input documentation by reference to job description and performance goals	A	SA	N	D	SD
16.	You record major accomplishments from the last appraisal to the next one					
17.	You exhibited strengths and weaknesses according to the dimensions on the appraisal form					
18.	You suggest actions and training or development to improve performance.					
19.	Supervisors use examples of behaviours wherever they can in the appraisal to help avoid counting on hearsay.					
20.	Supervisors always address behaviours, not characteristics of subordinate's personalities.					
	Holding the performance appraisal meeting	A	SA	N	D	SD
21.	The goal of the appraisal meeting is to exchange feedback and map out action plans.					
22.	Areas of disagreements are discussed between supervisors and supervisees					
23.	Supervisors encourage participation and they are supportive to their supervisees					
24.	Supervisors are flexible in consensus agreement with supervisees where possible.					
25.	Performance appraisal meetings end on a positive note.					
	Support staff members add value to the overall goal of UB	A	SA	N	D	SD
26.	Support staff enhance service delivery especially in records management of both staff and students with a view to knowledge discovery and creation					
27.	Support staff members offer services relevant to producing educated graduates.					
28.	Support staff members contribute to the overall process of education through innovative and IT-based services.					
29.	Support staff members provide solid information for top management decision.					

		A	SA	N	D	SD
	How performance appraisal enhance employee outcome					
30.	Performance appraisal for support staff members creates a positive goal-oriented work environment that thrives on success					
31.	Performance appraisal for support staff re-creates employee work experience through relevant goals that are specific and attainable.					
32.	Performance appraisal builds accountability among support staff members					
33.	Performance appraisal demonstrates need for improvement in relevant skills					
34.	The performance appraisal for support staff meets higher level psychological needs and enhances personal development					
35.	Performance appraisal builds in a sense of personal value on support staff					
36.	There is increased commitment to work after an appraisal for support staff					
37.	There exists increased co-operation among support staff and other colleagues					
38.	Support staff members seem to trust management decisions after appraisal.					
39.	Support staff improve their service delivery for students and academic staff members after appraisal.					
40.	The management is interested in support staff motivation and retention after appraisal.					
	Strategies on how to improve performance appraisal process					
41.	If you are a supervisor, what do you do when you identify poor performances post appraisal?	<input type="checkbox"/> Remedial training or counselling <input type="checkbox"/> Mentoring <input type="checkbox"/> Recommend withdrawal of some benefits <input type="checkbox"/> Transfer or redeploy to suitable positions <input type="checkbox"/> Other (please specify) <input type="checkbox"/> N/A				
42.	Which of the following is part of the performance appraisal process?	<input type="checkbox"/> Coaching <input type="checkbox"/> Training and Development <input type="checkbox"/> Career management and development plans <input type="checkbox"/> Succession Planning				

Appendix 3: Research Consent Form (English)

INFORMED CONSENT FORM

RESEARCH TITLE: AN INVESTIGATION OF EMPLOYEE PERFORMANCE APPRAISAL PROCESS: THE CASE OF SUPPORT STAFF AT UNIVERSITY OF

**Principal Investigator: Godiraone Motlhabatlou
Student of Masters of Business Administration (MBA)
University of Botswana Phone number: 73544011**

WHAT YOU SHOULD KNOW ABOUT THIS RESEARCH STUDY

You are given this informed consent form to read it and ask questions where you don't understand before you decide to participate in this study. The aim of this informed consent form is to give you information about the purpose, risks and benefits of this study. Participation in the study is voluntary. You can choose to join or not to join. If you agree to participate in this study and later change your mind, you are free to withdraw at any time during the study.

PURPOSE OF THE STUDY

You are being asked to participate in a research study on '**AN INVESTIGATION OF EMPLOYEE PERFORMANCE APPRAISAL PROCESS: THE CASE OF SUPPORT STAFF AT UNIVERSITY OF BOTSWANA**'. The purpose of this study is to meet the requirement for the completion of the Masters in Business Administration (MBA). The study will make a contribution to employee performance appraisal, in particular the government owned organizations and improve the understanding of performance appraisal in institutions such as UB. You were selected as a possible participant in this study because as an employee of UB, you take part in the performance appraisal exercise through PMS. You are free to take more time to think about participation in this study.

PROCEDURE AND DURATION OF THE STUDY

If you agree to join, you will be given a questionnaire form to fill in at your own time. It will be collected within five days. It will take roughly ten minutes to complete the questionnaire form.

RISKS AND DISCOMFORTS

The questionnaires of this study have been thoroughly checked to ensure that your participation will not victimize you in any way. The information you share will be used for the academic purposes only. Your personal information is not required on the questionnaire and they will be given the confidentiality they deserve. The answered questionnaire will be put in a single bag/envelope when collected before analyzing it, making sure that it mixed up and not traceable to the respective respondents. The

report made out of the data collected from you will not mention names or put any of the participants in any form of danger or exposure.

BENEFITS AND/COMPENSATION

Although taking part in this study does not have any personal benefits, there are indirect benefits. By responding to the questionnaire you will be taking part in furthering knowledge of how performance appraisal can be used for the betterment of the service delivery. This will give the participants an opportunity to make suggestions on how performance appraisal can benefit organizations and share experiences that can help policy makers in various organizations.

CONFIDENTIALITY

The researcher will observe all the ethical principles and standards and afford the participants the confidentiality they deserve. Permission to conduct the research has been obtained from the Office of Research and Development in UB. Your consent to take part is also sorted through this Informed Consent Form. To ensure anonymity, names of the participants and any other information that needs to be protected will not be written on the forms. Consent Forms will be kept separate from the questionnaires. All the contact details taken by the researcher, questionnaires and consent forms will be shredded after use to protect the participants.

VOLUNTARY PARTICIPATION

Taking part in this study is voluntary; the decision to participate is on the respondents. Please note that you are free to agree to take part and later on decide to withdraw. Any refusal to observe and meet appointments agreed upon with the researcher will be considered as implicit withdrawal and therefore will terminate the subject's participation the investigation without his/her prior request. In this event the subject will be paid what if owned to him/her or forfeit a proportionate amount of relative payment mentioned earlier in this document.

AUTHORIZATION

You are making a decision whether or not to participate in this study. Your signature indicates that you have read and understood the information provided above, have had all your questions answered and have decided to participate.

Name of Research Participant (please print)

Date

Signature of Staff Obtaining Consent
(Optional)

Date

YOU WILL BE GIVEN A COPY OF THIS CONSENT FORM TO KEEP

If you have any questions concerning this study or consent form beyond those answered by the investigator, including questions about the research, your rights as a research participant; or if you feel that you have been treated unfairly and would like to talk to someone other than a member of the research team, please feel free to contact the Office of Research and Development, University of Botswana, Ms

Dimpho Njadingwe on Phone: 355-2900, E-mail: research@mopipi.ub.bw, Telefax: [0267] 395-7573.

Appendix 4: Research Permit



Office of the Deputy Vice Chancellor (Academic Affairs)

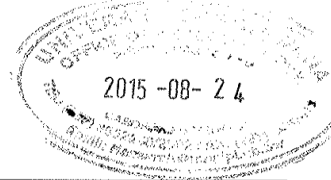
Office of Research and Development

Corner of Notwane
and Mobuto Road,
Gaborone, Botswana

Pvt Bag 00708
Gaborone, Botswana

Tel: [267] 355 2900
Fax: [267] 395 7573
E-mail: research@mopipi.ub.bw

Ref: RES/IRB/ 191
24 Aug. 2015
University of Botswana
P/Bag 0022
Gaborone, Botswana



RE: "PERMISSION TO CONDUCT RESEARCH

Project Title: Investigating the Effectiveness of Performance Appraisal as a Tool for Enhancing Employee Performance: A Case Study of University Of Botswana Support Staff.

Researcher(s): Ms Godiraone Motlhabatlou

Since it is a requirement that everyone undertaking research in Botswana should obtain a Research Permit from the relevant arm of Government, The Office of Research and Development at the University of Botswana has been tasked with the responsibility of overseeing research at UB including facilitating the issuance of Research permits for all UB Researchers inclusive of students and staff.

I am glad to advise that approval has been granted for the above study to be conducted at the University of Botswana. Since the study is to be conducted within the confines of UB, the study has accordingly been exempted from Government Research Permit requirements. In reaching the above decisions, it was noted that the above study involves minimal risk. Before proceeding with the study, the researcher is required to ensure the following:

- **The study will only be conducted within the confines of UB following the approved proposal version.**
- **No investigations will be conducted outside UB as part of the study before permission is sought from UB authorities as necessary.**
- **APPROVAL DATE** :24TH August, 2015
- **EXPIRATION DATE** :23RD August , 2016
After this date, this project may only continue upon renewal. For purposes of renewal, a progress report should be submitted to ORD one month before the expiration date.
- **MODIFICATIONS:** Prior approval is required before implementing any significant changes to the protocol.
- **TERMINATION OF STUDY:** On termination of this study, a report has to be submitted to ORD.
- **QUESTIONS:** Please contact ORD Tel: (+267) 355 2911 or e-mail on dimpho.njadingwe@mopipi.ub.bw.
- **Other:**
 - **The researchers may accordingly proceed with the above study after fulfilling the above requirements.**

If you have any questions about the information in this letter, please contact the IRB Assistant Administrator Ms. Dimpho Ralefala at Tel: +267 3552910, E-mail: Njadinwed@mopipi.ub.bw Contact information is also available at our website: www.ub.bw

Sincerely

Handwritten signature of Dr. M. Kasule.

Dr. M. Kasule

Assistant Director Research Ethics Office of Research and Development

www.ub.bw