

**EFFECTIVENESS OF PERFORMANCE APPRAISAL SYSTEMS: A STUDY OF
KNUST**

BY

SUALIHU, BINTU (Commonwealth Executive Masters in Business Administration)

Department of Human Resources and Organizational Development

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DECLARATION

I hereby declare that this submission is my own work towards the Master of Business Administration Degree (Human Resource Management Option) and that, to the best of my knowledge, it contains no material previously published by another person nor material which has been accepted for the award of any other degree of the University, except where due acknowledgement has been made in the text.

Sualihu, Bintu

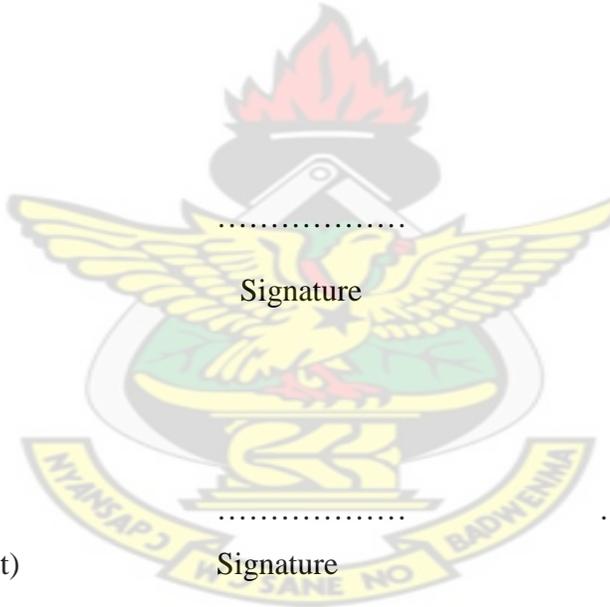
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Signature

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Date

Mr. J.K. Turkson

(SUPERVISOR)



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Signature

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Date

Mr. J.K. Turkson

(Head of Department)

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Date

ABSTRACT

The need for effective performance appraisal in institutions has been emphasized in recent times. This study therefore investigated the effectiveness of performance appraisal systems in KNUST. The study was descriptive using both primary and secondary data. Data were collected with the help of questionnaires and analysed with the help of the Statistical Package for the Social Sciences. The study found out that the institution has in place an appraisal system, and this was largely acknowledged by all categories of respondents: junior and senior members. The study noted that there are key performance criteria that have been developed and clearly identified in the appraisal system. Findings showed that to a large extent the criteria have been developed in consultation with workers and appraisers. Further, respondents indicated general understanding and support from the various stakeholders on the institution's appraisal system. The study found out that most employees show cooperation in the appraisal process. Again, most staff believe that feedback reflects their performance. Further, most staff believe the appraisal system is relevant and do not consider the appraisal process a waste of time. It was noted that the process has helped in identifying systematic factors that are barriers to effective performance. Key challenges identified included low feedback rate and lack of adequate resources, among other challenges. The study recommended the need to ensure that fairness is maintained in the appraisal process so that the necessary trust and cooperation will be forthcoming from staff. Further, there is the need to ensure regular feedback. Failure to do this could affect staff interest in the process, as much as possible feedback should be given to staff on their performance.

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DEDICATION

I would like to dedicate this research work to the Lord Almighty who has protected, guided and sustained my life in making it possible for me to reach this height on the academic ladder. Secondly, to my parents, Alhaji Sualihu Umar and Hajia Mariatu Tahiru, my husband, Mr. Mohammed Ishaque and to my lovely son Shehu Abdul-Wadud Wumpini, my brothers and sisters and my friend Kojo Siam. I am grateful for their support, sacrifices and prayers.

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List of Abbreviations

PA- Performance Appraisal

KNUST – Kwame Nkrumah University of Science and Technology

SPA- Staff Performance Appraisal

BARS - Behaviorally Anchored Rating Scales

MBO – Management by Objective

EPAP- Developing Employee Performance Appraisal Plans

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CHAPTER ONE

INTRODUCTION

1.1 Background of Study

The subject of performance appraisal appears a major subject of controversy in management circles. According to Kurt (2004), while business leaders see the need for appraisal systems, they are frequently disappointed in them because of various challenges that derail its objectives. One of the responsibilities of management is to ensure that an organization functions effectively and efficiently. In order to achieve these goals, managers must be able to determine and assess performance levels of both an organization and its individual employees (Kurt, 2004).

Performance appraisal has been described as a management tool designed to encourage communications in the office, improve the quality of work produced, and promote individual accountability. This is the concept underpinning the legal requirement that all agencies evaluate employee performance (Derven, 1990). Winston and Creamer (1997) define performance appraisal as an organizational system comprising deliberate processes for determining staff accomplishments, through rating, to improve staff effectiveness.

Modern organisations depend upon measurement and analysis of performance. Measurements must derive from the organisation's strategy and provide critical data and information about key processes, outputs and results. The said data and analysis support a variety of organisational purposes, such as planning, reviewing organisational

performance, improving processes, and comparing organisational performance with ‘best practices’ benchmarks (Averson, 1998).

Within the context of formal performance appraisal requirements, rating has been used to mean evaluating employee performance against the elements and standards in an employee's performance appraisal plan and assigning a rating of record. It is extremely important that workers have the proper knowledge, skills, and attitudes to perform well in their jobs. Knowledge, skills, and attitudes are the internal competencies that workers bring with them to the job or that they must learn through training.

Irrespective of what the organization's intentions are when conducting performance appraisal, it produces a feedback that can either be positive or negative to both the management and the employees. Managing employee performance is an integral part of the work that all managers and officials perform in any institution. It is as important as managing financial resources and program outcomes because employee performance or the lack thereof, has a profound effect on both the financial and program components of any organization (Kurt, 2004).

In many organizations appraisals are used to help determine reward outcome by identifying employees who should get the majority of available merit such as pay increases, bonuses and promotions. For the same reason, appraisal results are used to identify poorer performers who any require some form of counseling or in extreme cases demotions, decrease in pay or dismissal (Chadbourne 1994).

Again, uses for performance appraisal have included equal employment opportunity considerations, promotions, transfer and salary increases. Primarily, performance appraisal has been considered an overall system for controlling an organization. It has also been called an audit function of an organization regarding the performance of individuals, groups and entire divisions (Awosanya and Ademola, 2008).

International research reveals that appropriate appraisal schemes have the potential to improve effective management of educational institutions, the quality of education provided for students, as well as satisfying legitimate demands for accountability (Chadbourne, 1994). Consequently, in most learning environments, there have been attempts globally to identify human resource policies necessary to inculcate and reinforce the continuous learning climate by examining various manpower variables such as training development and performance appraisal. Performance appraisal is widely accredited to contribute to the superior performance outcomes of many organizations (Averson, 1998). Such organizations or institutions are frequently lauded as high performance work systems, learning or flexible organizations with mutual or high commitment models (Applebaum and Butt, 1994).

In KNUST, performance appraisal is a periodic 'ritual', the level of importance and seriousness attached to it however not known to the researcher at this point. This study thus aims to establish the effectiveness or otherwise of performance appraisal systems in the university.

1.2 Statement of the Problem

Performance appraisal provides a good opportunity to formally recognize employees' achievements and contributions to the organization, and to ensure that a clear link is established and maintained between performance and reward. Thus one of the key objectives of performance appraisal is to reward performance and address weaknesses. In other words, it provides valuable feedback and instruction to employees and gives managers and supervisors a useful framework from which to assess the employees' staff's performances.

In KNUST, preliminary investigations show a periodic appraisal of employee performance. The use or otherwise of appraisal results cannot be established at this point, however, concerns among some employees presents performance appraisal as mere formalities. A cursory observation also reveals a lack of consistency in the provision of feedback to employees. To a large extent, these are bottlenecks that defeat the purpose of performance appraisal and justifies the assertion by Kurt (2004) that some business managers are often disappointed in performance appraisal systems because the desired outcomes are hardly realized.

In times when employees in most public institutions have been accused of high level of inefficiencies in the discharge of their duties by the general public, effective appraisal systems have become more essential. This study thus seeks to examine the effectiveness of appraisal systems in KNUST.

1.3 Objectives of Study

The objectives are divided into general and specific objectives.

1.3.1 General Objectives

The general objective of the study is to assess the effectiveness of the Staff Performance Appraisal (SPA) system in KNUST.

1.3.2 Specific Objectives

The specific objectives include:

- a) To assess employees' perception of the appraisal system at KNUST.
- b) To examine the objectives of performance appraisal at KNUST.
- c) To assess the effectiveness of performance appraisal at KNUST.
- d) To identify the challenges of performance appraisal at KNUST

1.4 Research Questions

The following research questions formed the basis upon which the study was conducted:

- a) What is employees' perception of appraisal system at KNUST?
- b) What are the objectives of performance appraisal at KNUST?
- c) How effective is performance appraisal at KNUST?
- d) What are the challenges of performance appraisal at KNUST?

1.5 Significance of the Study

This study would bring to light employees understanding and appreciation of the

performance appraisal system and the relevance of an objective, systematic and effective performance appraisal. Also, it would contribute to knowledge and literature because it would focus on how performance appraisal can be more effective which would enable management to develop a broader understanding of human resource management process. Further, it would provide information for human resource practitioners on how rules and regulations regarding performance appraisal work in universities and develop the necessary programmes to address weaknesses and reward performance.

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1.6 Scope of the Study

This study focuses on performance appraisal as human resource activity in KNUST. The study will include all six colleges of the university. Accordingly, respondents will be selected from all these colleges.

1.7 Overview of research methodology

The methodology of the study comprises the research design, population of the study, sampling procedures and data collection and analysis procedures. Data for the study comprises two main sources - secondary and primary sources. The primary data was obtained from responses elicited through the use of questionnaire from respondents which include staff of all the selected colleges. Data was analysed with the help of the SPSS.

1.8 Limitations of the Study

The researcher encountered the following problems in undertaking this study:

- i. The time frame given to complete the study did not allow an in-depth investigation into the study.
- ii. The problem of inadequate funds limited the extent to which the researcher was able to move around to collect data.
- iii. The trustworthiness of some respondents may lead to inaccurate conclusion if false information was provided. Some respondents were scared to give information.

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1.9 Organization of the study

The study comprises five chapters. Chapter one discusses the background, problem statement, scope, significance, and objectives for undertaking this research project. Chapter Two looks at existing literature related to the study to gain an understanding of the research topic. Chapter Three presents the research methodology that the researcher used to undertake the study. Chapter Four comprises the findings and discussions of the findings to the study. Chapter five summarize the findings of the study and also make recommendations that would contribute to solving the problem raised, as well as a recommendation for further study.

CHAPTER TWO

LITERATURE REVIEW

2.1 Introduction

This chapter presents the theoretical framework and models that are relevant and suitable for the current study; and which will be applied and used to analyze collected data and information.

2.1 The Concept of Performance appraisal

Performance is an outcome, or result of an individual's actions. An individual's performance therefore becomes a function of ability and motivation (Ainsworth et al., 2002). Performance Assessment (also performance appraisal, evaluation, measurement) becomes a continual review of the job related task accomplishments or failures of the individuals within the organization. A major consideration in performance improvement involves the creation and use of performance measures or indicators; which are measurable characteristics of products, services, processes, and operations the company uses to track and improve performance.

Shelley (1999) describes performance appraisal as the process of obtaining, analyzing and recording information about the relative worth of an employee. The focus of the performance appraisal is measuring and improving the actual performance of the employee and also the future potential of the employee. Its aim is to measure what an employee does. Shelley again considers PA as a systematic way of reviewing and assessing the performance of an employee during a given period of time and planning for his future. It is a powerful tool to calibrate, refine and reward the performance of the

employee. By focusing the attention on performance, performance appraisal goes to the heart of HR management and reflects the management's interest in the progress of the employees.

Moats (1999) corroborate Shelley's (1999) position and further add that performance appraisal is a process by which organizations evaluate employee performance based on preset standards. Moats describes the main purpose of appraisals as helping managers effectively staff companies and use human resources, and, ultimately, improving productivity. According to Moats when conducted properly, appraisals serve the purpose Shelley describes by: (1) showing employees how to improve their performance, (2) setting goals for employees, and (3) helping managers to assess subordinates' effectiveness and take actions related to hiring, promotions, demotions, training, compensation, job design, transfers, and terminations.

The above expositions given by Moats and Shelley collectively establish performance appraisal as a clear and concise, regular and unbiased system of rating an employee's performance in her current position, which can also be used to determine how far the employee can go in career development. The benchmarks of such an appraisal, according to Moats, are usually the job description in tandem with stated company objectives, and often includes rewards and incentives.

An organization engages a person for the purpose of employing his skills to achieve certain goals and objectives. Every so often, the employer needs to take stock and

determine the value of each employee, his potential, and what his future in the company is likely to be. In the researcher's opinion this is accomplished through the practice of performance appraisal.

Moats (1999) explains that in the early part of the twentieth century performance appraisals were used in larger organizations mostly for administrative purposes, such as making promotions and determining salaries and bonuses. Since the 1960s, however, companies and researchers have increasingly stressed the use of employee evaluations for motivational and organizational planning purposes. Indeed, for many companies performance appraisal has become an important tool for maximizing the effectiveness of all aspects of the organization, from staffing and development to production and customer service (Moats, 1999).

As Moats puts it, that shift of focus was accompanied during the 1970s, 1980s, and 1990s by a number of changes in the design and use of appraisals. Those changes reflected new research and attitudes about organizational behavior and theory. Traditional appraisal systems were often closed, meaning that individuals were not allowed to see their own reports. Since the mid-1900s, most companies have rejected closed evaluations in favor of open appraisals that allow workers to benefit from criticism and praise.

Moats asserts further that another change in appraisal techniques since the mid-1900s has been a move toward greater employee participation. This includes self-analysis, employee input into evaluations, feedback, and goal setting by workers. Appraisal

systems have also become more results-oriented, which means that appraisals are more focused on a process of establishing benchmarks, setting individual objectives, measuring performance, and then judging success based on the goals, standards, and accomplishments.

Likewise, appraisals have become more multifaceted, incorporating a wide range of different criteria and approaches to ensure an effective assessment process and to help determine the reasons behind employees' performance (Bodil, 1997).

Again, Moats State that performance appraisals and standards have also reflected a move toward decentralization. In other words, the responsibility for managing the entire appraisal process has moved closer to the employees who are being evaluated; whereas past performance reviews were often developed and administered by centralized human resources departments or upper-level managers, appraisals in the 1990s were much more likely to be conducted by line managers directly above the appraisee.

2.2 Objectives of Performance Appraisal

The objectives of the appraisal scheme should be determined before the system is designed in detail. The objectives will to a large extent dictate the methods and performance criteria for appraisal so they should be discussed with employees, managers and trade unions to obtain their views and commitment (Fletcher, 1994). The main objectives of an appraisal system are usually to review performance, potential and identify training and career planning needs. In addition the appraisal system may be used

to determine whether employees should receive an element of financial reward for their performance (Derven, 1990).

Performance reviews give managers and employees opportunities to discuss how employees (1) are progressing and to see what sort of improvements can be made or help given to build on their strengths and enable them to perform more effectively (Grote, 2002). Review of potential and development needs predicts the level and type of work that employees will be capable of doing in the future and how they can be best developed for the sake of their own career and to maximise their contribution to the organisation. Reward reviews - determine the 'rewards' that employees will get for their past work. The reward review is usually a separate process from the appraisal system but the review is often assisted by information provided by the performance appraisal (Einstein, 1989).

Wesley (2004) also identifies some objectives of performance appraisals indicated below: 1) To review the performance of the employees over a given period of time. 2) To judge the gap between the actual and the desired performance. 3) To help the management in exercising organizational control. 4) Helps to strengthen the relationship and communication between superior – subordinates and management – employees. 5) To diagnose the strengths and weaknesses of the individuals so as to identify the training and development needs of the future. 6) To provide feedback to the employees regarding their past performance. 7) Provide information to assist in the other personal decisions in the organization. 8) Provide clarity of the expectations and responsibilities of the functions to be performed by the employees. 9) To judge the effectiveness of the other

human resource functions of the organization such as recruitment, selection, training and development. 10) and last but not least to reduce the grievances of the employees.

Competent appraisal of individual performance in an organization or company serves to improve the overall effectiveness of the entity. McGregor in Moats (1999) describes the three main functional areas of performance appraisal systems as: administrative, informative, and motivational. According to Addison-Wesley (2001), appraisals serve an administrative role by facilitating an orderly means of determining salary increases and other rewards, and by delegating authority and responsibility to the most capable individuals. Again, Moats says the informative function is fulfilled when the appraisal system supplies data to managers and appraisees about individual strengths and weaknesses. Bodil finally describes the motivational role to entail creating a learning experience that motivates workers to improve their performance. When effectively used, performance appraisals will be seen to be playing a major role in helping employees and managers establish goals for the period before the next appraisal (Addison-Wesley, 2001).

According to McNamara (2000) Performance Appraisal can be done with following objectives in mind:

- a) To maintain records in order to determine compensation packages, wage structure, salaries raises, etc.
- b) To identify the strengths and weaknesses of employees to place right men on right job.

- c) To maintain and assess the potential present in a person for further growth and development.
- d) To provide a feedback to employees regarding their performance and related status.
- e) It serves as a basis for influencing working habits of the employees.
- f) To review and retain the promotional and other training programmes.

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- b) To judge the gap between the actual and the desired performance.
- c) To help the management in exercising organizational control.
- d) Helps to strengthen the relationship and communication between superior – subordinates and management – employees.
- e) To diagnose the strengths and weaknesses of the individuals so as to identify the training and development needs of the future.
- f) To provide feedback to the employees regarding their past performance.
- g) Provide information to assist in the other personal decisions in the organization.
- h) Provide clarity of the expectations and responsibilities of the functions to be performed by the employees.
- i) To judge the effectiveness of the other human resource functions of the organization such as recruitment, selection, training and development.
- j) To reduce the grievances of the employees.

2.3 Effectiveness of Performance appraisal

The effectiveness of a system is defined as an external standard “of how well the system is meeting the demands of the various groups and organizations that are concerned with its activities” (Pfeffer and Salancik 1978) which approximately is a construct “for doing the right things” or having validity of outcome (Hines et al. 2000).

Effectiveness is by definition a qualitative measure set by evaluator. Möller and Törrönen (2003) argue that effectiveness “refers to the system’s ability to invent and produce solutions that provide more value to stakeholders of the institution”.

Moats (1999) points out that most effective systems of appraising performance are: (1) pragmatic, (2) relevant, and (3) uniform. Bodil (1997) describes pragmatism as important because it helps to ensure that the system will be easily understood by employees and effectively put into action by managers. Moats further stresses that appraisal structures that are complex or impractical tend to result in confusion, frustration, and nonuse. Commenting further, Moats says that systems that are not specifically relevant to the job may result in wasted time and resources. Undeniably, most successful appraisal programs identify and evaluate only the critical behaviors that contribute to job success. Systems that miss those behaviors are often invalid, inaccurate, and result in discrimination based on nonrelated factors (Bodil 1997).

Moats stresses again that the uniformity of the appraisal structure is vital because it ensures that all employees are evaluated on a standardized scale. Appraisals that are not

uniform are less effective because the criteria for success or failure become arbitrary and meaningless. Furthermore, uniformity allows a company to systematically compare the appraisals of different employees with each other. Moats contends that companies must address four decisions when structuring their appraisal systems: (1) What should be assessed? (2) Who should make the appraisal?; (3) Which procedure(s) should be utilized?; and (4) How will the results be communicated? In determining what to evaluate, designers of an appraisal system usually consider not only results, but also the behaviors that lead to the results (Bodil, 1997)

According to Shelley (1999) the actions and results that are measured will depend on a variety of factors specific to the company and industry. Most importantly, criteria should be selected that will encourage the achievement of comprehensive corporate objectives. This, Moats says, is accomplished by determining the exact role of each job in accomplishing company goals, and which behaviors and results are critical for success in each position. Furthermore, different criteria for success should be weighted to reflect their importance.

2.4 Challenges of Performance Appraisal

There are chances of opposition for valuation due to fear. If the evaluation system is poor, it will not give adequate effect. Rater's problems like leniency or harshness error, central tendency error, personal bias error, contrast error are also affecting the performance appraisal of an employee (Rasch 2004).

Each employee should evaluate by his supervisor and to discuss each other to set objectives for upcoming evaluation. This discussion should cover the review of overall progress, problems encountered, performance improvement possibilities, long term career goals, specific action plan about job description and responsibilities, employee development interest and needs, to concentrate specific areas of development, to review performance objectives and performance standard, ongoing feedback and periodic discussions

Performance appraisals are important for staff motivation, attitude and behavior development, communicating organizational aims, and fostering positive relationships between management and staff. Performance appraisals provide a formal, recorded, regular review of an individual's performance, and a plan for future development. In short, performance and job appraisals are vital for managing the performance of people and organizations.

2.5 Employees' Perception of Appraisal Systems

Most employees have mixed feelings with performance appraisal systems. Whilst some believe it carry some biases and largely fails to meet its objectives, others find it a means to justify their performance (Rasch 2004). According to Rasch (2004), managers commit mistakes while evaluating employees and their performance. Some of these biases are perceived by employees as ways of unfairly interpreting their performances.

Biases and judgment errors of various kinds may spoil the performance appraisal process. Bias, according to Shelley (1999), refers to inaccurate distortion of a measurement. Moats points out that, even when a performance evaluation program is structured appropriately, its effectiveness can be diluted by the improper use of subjective, as opposed to objective, measures.

Objective measures are easily incorporated into an appraisal because they are quantifiable and verifiable. In contrast, subjective measures are those that cannot be quantified and are largely dependent on the opinion of an observer. Subjective measures have the potential to dilute the quality of worker evaluations because they may be influenced by bias, or distortion as a result of emotion (Moats 1999). To overcome the effects of prejudice, many organizations must train appraisers to avoid biases. McNamara (2000) identifies eight common forms of biases discussed below:

First Impression (primacy effect)

This bias, according to McNamara occurs when raters form an overall impression about the ratee on the basis of some particular characteristics of the ratee identified by them.

The identified qualities and features may not provide adequate base for appraisal.

Halo Effect

In his words, Moats says the term "halo" stems from the distortion that the appraisee, like an angel with a halo over its head, can do no wrong. This type of bias, however, also applies to foes of the rater, and may not job-related. The effect is particularly pronounced

when the appraisee is an enemy or very good friend of the evaluator. McNamara adds that the individual's performance is completely appraised on the basis of a perceived positive quality, feature or trait. In other words this is the tendency to rate a man uniformly high or low in other traits if he is extra-ordinarily high or low in one particular trait. If a worker has few absences, his supervisor might give him a high rating in all other areas of work.

Horn Effect

McNamara describes this bias as the situation where the individual's performance is completely appraised on the basis of a negative quality or feature perceived. This results in an overall lower rating than may be warranted.

Excessive Stiffness or Lenience

Depending upon the raters own standards, values and physical and mental makeup at the time of appraisal, ratees may be rated very strictly or leniently (Moats 1999) According to Kurt (2004) some of the managers are likely to take the line of least resistance and rate people high, whereas others, by nature, believe in the tyranny of exact assessment, considering more particularly the drawbacks of the individual and thus making the assessment excessively severe.

The leniency error can render a system ineffective. If everyone is to be rated high, the system has not done anything to differentiate among the employees. Moats Points out that, leniency and strictness bias results when the appraiser tends to view the performance

of all of his employees as either good and favorable or bad and unfavorable. Although these distortions are often the result of vague performance standards, they may also be the consequence of the evaluator's attitudes.

Central Tendency

McNamara says this bias occurs where appraisers rate all employees as average performers. That is, it is an attitude to rate people as neither high nor low and follow the middle path. According to Moats, the error of central tendency occurs when appraisers are hesitant to grade employees as effective or ineffective. They pacify their indecisiveness by rating all workers near the center of the performance scale, thus avoiding extremes that could cause conflict or require an explanation.

Personal Biases

Shelley says the way a supervisor feels about each of the individuals working under him - whether he likes or dislikes them - has a tremendous effect on the rating of their performances. Personal Bias can stem from various sources as a result of information obtained from colleagues, considerations of faith and thinking, social and family background and so on. Likewise, Moats judges that personal prejudice results from a rater's dislike for a group or class of people. When that dislike carries over into the appraisal of an individual, an inaccurate review of performance is the outcome.

Spillover Effect

McNamara in describing this bias says that the present performance is evaluated much on

the basis of past performance. “The person who was a good performer in distant past is assured to be okay at present also” (McNamara 2000)

Recency Effect

In the case of this bias, rating is influenced by the most recent behaviour ignoring the commonly demonstrated behaviours during the entire appraisal period. The recency effect is a corollary of the natural tendency for raters to judge an employee's performance based largely on his most recent actions rather than taking into account long-term patterns (McNamara 2000).

As indicated, Moats Corroborates McNamar’s position on the nature of these biases, and further identifies a ninth bias which McNamara failed to indicate. Moats calls this the cross-cultural bias, which he describes as the consequence of an evaluator's expectations about human behavior. Those expectations often clash with the behavior of appraisees who have different beliefs or cultural values.

Gabris & Mitchell (2000) have reported a disruptive bias in performance appraisal known as the Matthew Effect. It is named after the Matthew of biblical fame who wrote, "To him who has shall be given, and he shall have abundance: but from him who does not have, even that which he has shall be taken away." According to Gabris & Mitchell, in performance appraisal the Matthew Effect is said to occur where employees tend to keep receiving the same appraisal results, year in and year out. That is, their appraisal results tend to become self-fulfilling: if they have done well, they will continue to do well; if

they have done poorly, they will continue to do poorly. The Matthew Effect suggests that no matter how hard an employee strives, their past appraisal records will prejudice their future attempts to improve (Gabris & Mitchell 2000).

In addition to bias, Moats (1999) contends that flaws in the execution of an appraisal program can be destructive. Moats cites the example of managers downgrading their employees because high performance reviews would outstrip the department's budget for bonuses; or, some managers using performance appraisals to achieve personal or departmental political goals, thus distorting assessments.

2.6 Limiting the Effects of Supervisory Bias

McNamara suggests reasonable steps which can be taken to limit the effects of supervisory bias.

- a) **Awareness Training:** Supervisors need to be informed of the types of subtle bias that can interfere with their performance as appraisers. They need to understand that the ingroup/outgroup bias, for instance, reduces the morale and motivation of their subordinates.
- b) **Developing Poor Performers:** Incentives, financial or non-financial, may be offered to encourage supervisors to make special efforts to help poor performers improve. Supervisory appraisals, for example, might stress the importance of working with poor performers to upgrade their performance. The possibilities are extensive.

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

2.7 Performance Appraisal Techniques

As Moats (1999) points out, different performance appraisal techniques can be classified as either past-oriented or future-oriented.

2.7.1 Past-Oriented Techniques

According to Moats, past-oriented techniques assess behavior that has already occurred. They focus on providing feedback to employees about their actions, feedback that is used to achieve greater success in the future. Moats presents techniques under this form as discussed below:

Rating Scales and Checklists: According to Moats, some of the traditional forms of performance appraisals such as rating scales and checklists remain popular despite their inherent flaws. They entail an assessor providing a subjective assessment of an individual's performance based on a scale effectively ranging from good to bad or on a checklist of characteristics. Typically, basic criteria such as dependability, attitude, and attendance are listed.

The obvious advantage of these techniques is that they are inexpensive and easy to administer. Primary disadvantages include the fact that they are: highly susceptible to all forms of bias; often neglect key job-related information and include unnecessary data; provide limited opportunities for effective feedback; and fail to set standards for future success. Furthermore, subjective techniques such as rating scales are vulnerable to legal attack.

Behaviorally Anchored Rating Scales (BARS)

According to Moats a fairer approach to performance appraisal is behaviorally anchored rating scales (BARSs), which are designed to identify job-related activities and responsibilities and to describe the more effective and less effective behaviors that lead to success in specific jobs. The rater observes a worker and then records his or her behavior on a BARS. The system is similar to checklist methods in that statements are essentially checked off as true or false. Moats points out however that, BARS differ in that they use combinations of job-related statements that allow the assessor to differentiate between behavior, performance, and results.

Forced-Choice Appraisals

Forced-choice appraisals consist of a list of paired (or larger groups of) statements. According to Moats the statements in each pair may both be negative or positive, or one could be positive and the other negative. The evaluator is forced to choose one statement from each pair that most closely describes the individual He contends that Forced-choice

appraisals are typically easy to understand and inexpensive to administer, but they lack job relatedness and provide little opportunity for constructive feedback.

Critical Incident Evaluation Techniques

Critical incident evaluation techniques require the assessor to record statements that describe good and bad job-related behavior (critical incidents) exhibited by the employee. According to Moats, the statements are grouped by categories such as cooperation, timeliness, and attitude. An advantage of this system is that it can be used very successfully to give feedback to employees. Furthermore, it is less susceptible to some forms of bias. On the other hand, critical incident assessments are difficult because they require ongoing, close observation and because they do not lend themselves to standardization and are time consuming (Kurt 2004).

Field Review Appraisal Techniques: Field review appraisal techniques entail the use of human resource professionals to assist managers in conducting appraisals. Moats says that the specialist asks the manager and sometime coworkers' questions about an employee's performance, records the answers, prepares an evaluation, and sends it to the manager to review and discuss with the employee. This type of system improves reliability and standardization because a personnel professional is doing the assessment. For the same reason, it is less susceptible to bias or to legal problems. But field reviews are generally expensive and impractical for most firms, and are typically utilized only in special instances—to counteract charges of bias, for example (McNamara 2000).

Future-Oriented Techniques

In contrast, Moats says that future-oriented appraisal techniques emphasize future performance by assessing employees' potential for achievement and by setting targets for both short- and long-term performance. He discusses these forms of techniques as presented below:

Management by Objectives (MBO) Approach

Moats describes this technique as usually goal oriented. In MBO, managers and employees work together to set goals with the intent of helping employees to achieve continuous improvement through an ongoing process of goal setting, feedback, and correction. As a result of their input, employees are much more likely to be motivated to accomplish the goals and to be responsive to criticism that arises from subsequent objective measurements of performance (McNamara 2000).

Assessment center evaluation

Moats refers to this as a more complex assessment method that is usually applied to managerial or executive prospects. It is a system of determining future potential based on multiple evaluations and raters. Typically, a group meets at a training facility or evaluation site. They are evaluated individually through a battery of interviews, tests, and exercises. In addition, they are evaluated within a group setting during decision-making exercises, team projects, and group discussions. Psychologists and managers work together to evaluate the employees' future management potential and to identify strengths and weaknesses (Bodil 1997).

Psychological tests

Psychological tests are a much less intricate method of determining future potential. Moats says they normally consist of interviews with the employee and his supervisors and coworkers, as well as different types of tests and evaluations of intellectual, emotional, and work-related characteristics. The psychologist puts his or her findings and conclusions in a report that may or may not be shared with the employee.

Self-Appraisal

Another appraisal technique included in the future-oriented category is self-appraisal, which entails employees making evaluations of their own performance. According to Moats although self-assessment techniques may also be coordinated with past-oriented evaluations, they are particularly useful in helping employees to set personal goals and identify areas of behaviors that need improvement. The advantage of such appraisals, which may be relatively informal, is that they provide an excellent forum for input and feedback by superiors. In addition, they allow supervisors to find out what employees expect from themselves and from the organization or department (Bodil 1997).

In addition, Bodil suggests that evaluators often combine various future- and past-oriented techniques, forming hybrid approaches to performance appraisal. According to Kurt (2004) using several different techniques enables managers to measure both behavior and results and to set goals for employees to improve their performance and to increase their motivation. For example, an evaluator might use both the BARSs and MBO techniques to reap the benefits of both and compensate for the drawbacks of each.

Chopek (2003) from a different angle discusses the following four methods in order to provide examples of current methods in use and to illustrate the varying complexity of available methods.

The Balanced Scorecard

Chopek defines this as a process that focuses on clarity and is useful in evaluating both internal processes and external results. The balanced scorecard focuses on four key perspectives in which individual assessments take place and are then combined to provide an overall assessment. These perspectives are learning and growth, business process, customer, and financial (bsc.org).

2.8 Developing Employee Performance Appraisal Plans (EPAP)

According to Wesley (2003), regulatory requirements for planning an employee's performance include first establishing the elements and standards in their EPAP. An EPAP outlines the specific elements and standards that the employee is expected to accomplish during the rating cycle. Wesley points out that performance elements and standards should be measurable, understandable, verifiable, equitable, and achievable. In addition, EPAPs should be flexible so that they can be adjusted for changing program objectives and work requirements.

Elements

According to Wesley elements established in appraisal plans should all be considered critical. Through these elements, employees are held accountable as individuals for work

assignments and responsibilities of their position. A critical element is an assignment or responsibility of such importance that unsatisfactory performance in that element alone would result in a determination that the employee's overall performance is unsatisfactory.

Standards

The performance standards, according to Wesley (2003) are expressions of the performance threshold(s), requirement(s), or expectation(s) that must be met for each element at a particular level of performance. Kurt (2004) says they must be focused on results and include credible measures such as:

Quality

This addresses how well the employee or work unit is expected to perform the work and/or the accuracy or effectiveness of the final product. It refers to accuracy, appearance, usefulness, or effectiveness. Measures can include error rates (such as the number or percentage of errors allowable per unit of work) and customer satisfaction rates (determined through a customer survey/feedback).

Quantity

This addresses how much work the employee or work unit is expected to produce. Measures are expressed as a number of products or services expected, or as a general result to achieve.

Timeliness

This addresses how quickly, when, or by what date the employee or work unit is expected to produce the work.

Cost-Effectiveness

This addresses savings or cost control. These should address cost-effectiveness on specific resource levels (money, personnel, or time) that can generally be documented and measured. Cost-effectiveness measures may include such aspects of performance as maintaining or reducing unit costs, reducing the time it takes to produce or provide a product or service, or reducing waste (Wesley 2003).

2.9 Conceptual Framework

The conceptual framework of the study is presented in the Figure 2.1 below.

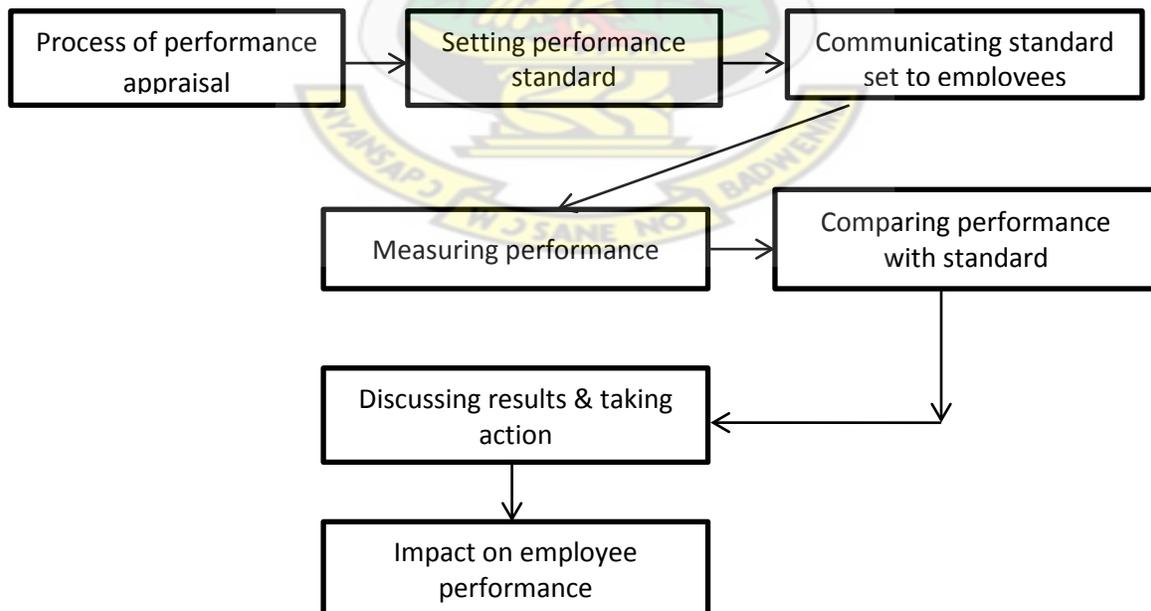


Figure 2.1 Conceptual Framework

Each of these individual components help to achieve the desired effect on the employee. As elaborated by Fletcher (1994), the objectives of the appraisal scheme should be determined before the system is designed in detail. The objectives will to a large extent dictate the methods and performance criteria for appraisal so they should be discussed with employees, managers and trade unions to obtain their views and commitment.

Performance appraisal follows a systematic process to ensure that results are achieved. Having established the process of carrying out the appraisal, there is the need to set the performance standard and communicate these standard set to employees. At scheduled intervals employee performance is measured and compared to the set standard. To achieve the desired impact on the performance of employees, results are analysed and the necessary action taken to address weaknesses.

Weaknesses in any of the components affect the attainment of the desired results. For example, failure to set the right performance standards that are aligned to the organizational objectives will have a negative effect on the performance expected of the employee. Again, without taking the necessary action after measuring performance the same weaknesses will continue to exist.

CHAPTER THREE

METHODOLOGY AND ORGANIZATIONAL PROFILE

3.0 Introduction

In this chapter the methodology of research is presented. The areas captured in this chapter are the research design, sources of data, population of the study, the sample size used for the study, the sample techniques used in selecting the respondents, the data collection tools and the data analysis techniques.

3.1 Research Design

The research design is a framework for conducting business research (Malhotra, 2007). Thus it is the basic plan for conducting the data collection and analysis phase. The researcher used the descriptive research design in undertaking this study. According to Polit and Hungler (1995) descriptive survey is about describing, observing and documenting aspects of a situation as it is naturally. A descriptive study is one in which information is collected without changing the environment (i.e., nothing is manipulated). Sometimes these are referred to as “correlational” or “observational” studies.

Descriptive data are usually collected through questionnaires, interviews or observations. The justification for using the descriptive research design is that although the descriptive research does not fit neatly into the definition of either quantitative or qualitative research methodologies, it however has the ability to utilize elements of both within the same study. Again, it is appropriate for answering the ‘what’ and ‘why’ kind of research questions posed in the chapter one.

3.2 Sources of Data

The researcher collected data from primary sources. The primary data was collected through the use of questionnaires that will be administered by the researcher to staff of institution being used for the study.

3.2.1 Primary Data

Primary data constitute original data collected from original sources. The respondents of the current study constitute the original sources from where the data were collected. It is primary because the data has not been used before.

3.3 Population

Bryman et al (2003), describe a study population as the whole group that the research focuses on. The population for this study consists of staff of all the selected colleges of the Kwame Nkrumah University of Science and Technology. As indicated in Table 3.1 below, the total population for the entire number of colleges involved was 1,723.

3.4 Sampling Technique

A total of 120 respondents were used for the study. This was selected based on the proposition from Bartlet et al (2001) that “if the population is within the region of 1679, a sample of 118 is ideal. Given the slightly higher figure of 1,723 constituting the total population, the researcher made it 120 to aid an even distribution for the six colleges. These were selected from all the six colleges of the University. Simple random sampling was employed to select the respondents in this study.

In statistics, a simple random sample is a subset of individuals (a sample) chosen from a larger set (a population). Each individual is chosen randomly and entirely by chance, such that each individual has the same probability of being chosen at any stage during the sampling process, and each subset of the population has the same probability of being chosen for the sample as any other subset of the population. Thus the sample to be selected would be chosen at random from the various colleges. A breakdown of the sample size is presented in table 3.1 below

Table 3.1 Population and Sample Size

College	Population	Sample size
Architecture and Planning	150	20
Arts and Social Sciences	361	20
Engineering	290	20
Health Sciences	360	20
Science	235	20
Agriculture and Natural Resources	327	20
Total	1,723	120

Source: Field data (2014)

3.5 Data Collection Instruments

The researcher used questionnaire and interview as the tools for obtaining the necessary information for the research. The questionnaire was made up of open-ended and closed-ended items. It was self-constructed.

3.5.1 Questionnaire

The questionnaire was largely closed-ended. This Questionnaire was chosen as an

instrument to allow the respondents the opportunity to answer the questions at their convenience and in the comfort of their offices. The research instrument was validated by giving some copies to colleague students and the researcher's supervisor to read and correct ambiguous statements, wrong spellings and construction.

3.5.2 Interview Guide

The interview guide was also adopted in this study. The aim for using the interview guide was to enable the researcher gather other information that could not be captured with the questionnaire.

3.6 Data Analysis Technique

Primary data generated by the study were edited and tested for consistency and reliability. The data were examined, categorized, tabulated and coded to address the research objectives and the research questions. The data was then edited and tallied in frequency table. The values corresponding to frequencies were then converted into percentages to facilitate comparison between pie charts and histogram. This was facilitated with the Statistical Package for the Social Science (SPSS).

3.10 Organisational Profile

The Kwame Nkrumah University of Science and Technology succeeded the Kumasi College of Technology, which was established by a Government Ordinance on 6th October 1951. It opened officially on 22nd January 1952, with 200 Teacher Training students transferred from the Achimota College to form the nucleus of the new college. From then until its accession to a University status in 1961, it grew rapidly and

underwent some major transformations. In October 1952, the School of Engineering and the Department of Commerce were established and the first students were admitted. From 1952 to 1955, the School of Engineering prepared students for professional qualifications only. In 1955, the School embarked on courses leading to the Bachelor of Engineering External Degree Examinations of University of London.

Other departments followed. A Pharmacy Department was established in January 1953, with the transfer of the former School of Pharmacy from Korle Bu Hospital, Accra, to the College. The Department ran a two-year comprehensive course in Pharmacy leading to the award of the Pharmacy Board certificate. A department of Agriculture was opened in the same year to provide a number of *ad hoc* courses of varying duration, from a few terms to three years, for what is now the Ministry of Food and Agriculture.

A Department of General Studies was also instituted to prepare students for the Higher School Certificate Examinations in both Science and Arts subjects and to give instructions in such subjects as were requested by the other departments. In 1957, the School of Architecture, Town Planning and Building was inaugurated and its first students were admitted in January 1958, for professional courses in Architecture, Town Planning and Building. In 1961, the Faculty of Science was established to offer degree and preliminary (Sixth Form) courses. It was later changed to Faculty of Applied Science in 1965 and in November 1966, it was reconstituted as the Faculty of Science to teach specialised courses in Biochemistry, Biology, Chemistry, Chemical Technology, Mathematics and Physics.

As the College expanded, it was decided to make the Kumasi College of Technology a pure science and technology institution. In pursuit of this policy, the Teacher Training College, with the exception of the Art School, was transferred in January 1958 to the Winneba Training College and in 1959 the Commerce Department was transferred to Achimota College to form the nucleus of the present University of Ghana Business School, Legon (University Web site).

Accession to University Status

In December 1960, the Government of Ghana appointed a University Commission to advise it “on the future development of University Education in Ghana, in connection with the proposal to transform the University College of Ghana and the Kumasi College of Technology into an independent University of Ghana.” Following the report of the Commission, which came out early in 1961, the Government decided to establish two independent Universities, one in Kumasi and the other at Legon near Accra. The Kumasi College of Technology was thus transformed into a full-fledged university – Kwame Nkrumah University of Science and Technology –by an Act of Parliament on 22nd August, 1961.

The Kwame Nkrumah University of Science and Technology was officially inaugurated on Wednesday, 29th November 1961. This name was changed during the revolution of 24th February 1966 to the University of Science and Technology, Kumasi. The University has since March 2000 reverted to its original name.

The University of Mines and Technology, Tarkwa, which started off as the School of Mines and later the Western University College, was part of Kwame Nkrumah University of Science and Technology until attaining the status of a full university in October 2004 (University Web site).

Strategic Mandate, Vision, Mission & Core Values

Strategic Mandate

The Act of establishing the University defines its mandate, which essentially is to provide higher education, undertake research, disseminate knowledge and foster relationships with the outside persons and bodies. The strategic mandate of the University is derived from Science and Technology in its name.

Vision

The University's vision is to be globally recognised as the Premier Centre of excellence in Africa for teaching in Science and Technology for development; producing high calibre graduates with knowledge and expertise to support the industrial and socio-economic development of Ghana and Africa.

Mission

The vision of the university is to provide an environment for teaching, research and entrepreneurship training in Science and Technology for the industrial and socio-economic development of Ghana, Africa and other nations. KNUST also offers service to

community, is opened to all the people of Ghana and positioned to attract scholars, industrialists and entrepreneurs from Africa and other international communities.

Core Values

The university's core values include the following:

1. Leadership in Innovation and Technology
2. Culture of Excellence
3. Diversity and Equal Opportunity for All
4. Integrity and Stewardship of Resources

The University currently has a student capacity of nearly 50,000 comprising undergraduate and postgraduate students from all over the world, especially, from the African continent, offering courses ranging from Art, Business, Law, Science and Technology.

The KNUST presents an environment for teaching, research and entrepreneurship training in science and technology for the industrial and socio-economic development of Ghana and the whole of the African continent and offers service to the community. The main university campus, which is about seven square miles in area, is located about eight miles (13 km) to the east of Kumasi, the Ashanti Regional capital (source: www.knust.edu.gh).

CHAPTER FOUR

DATA PRESENTATION, ANALYSIS AND DISCUSSIONS OF FINDINGS

4.1 Introduction

Chapter four contains a presentation and discussion of the research findings. Findings are analysed for the various objectives set. The analysis is done in the context of other empirical studies reviewed in the literature.

4.2 Demographic Classification of Respondents

The demographic characteristics of respondents are discussed under gender, age and years of work. This was analysed to ascertain the demographic characteristics of the respondents used for the current study. The various findings relative to the respondents' demographic characteristics are presented and discussed with the aid of tables and diagrams shown below:

4.2.1 Gender of Respondents

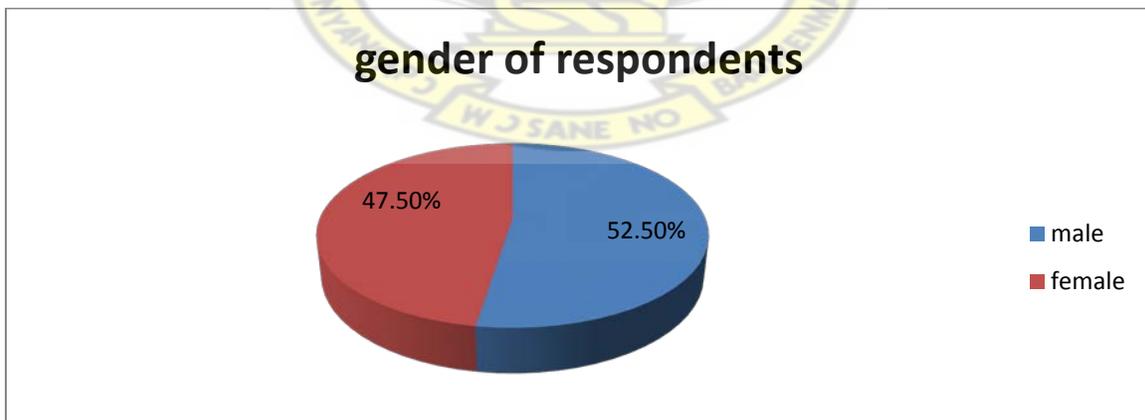


Figure 4.2.1 Gender of Respondents

Source: Field data (2014)

Findings relative to the gender of respondents are presented in figure 4.2.1 below and discussed. The figure indicates the number of respondents captured in the research work with respect to their gender or sex. The table show that out of the 120 respondents involved in the research work, 63 (52.5%) were males while the remaining 57 (47.5%) of the total population were females. The results most likely suggest that the institution has more male employees than females.

KNUST

4.2.2 Age of Respondents

The age of respondents is also depicted in the table below. The table 4.2.2.1 below gives the frequency distribution of respondents with respect to age.

Table 4.2.2.1 Age of Respondents

Age	Frequency	Percent (%)
21-30	11	9.1
31-40	54	45.0
41-50	42	35.0
51 and above	13	10.8
Total	120	100

Source: Field data (2014)

The results from the table reveals that eleven (9.1%) were within the age group 21-30 and 13 (10.8%) were 51 years and above. The results further indicates that, 54 (45%) of the total number of respondents being the majority were within the age group 31-40 years whilst 42 (35.0%) was recorded for respondents in the 41-50 age range.

Considering the dominant age groups of 31-40 and 41-50, the research infers from this that most of the staff of KNUST are likely to be aged between 30 and 50 years. It is noted here that this age group represents the most productive working force in any economy.

4.2.3 Number of Years Spent with KNUST

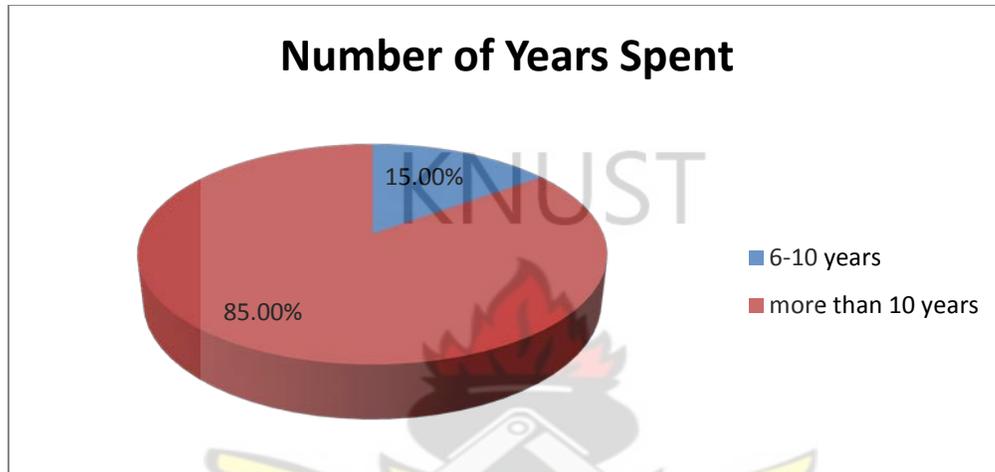


Figure 4.2.3 Number of Years Respondents have Spent with KNUST

Source: Field data (2014)

The study also looked at the number of years respondents had been with the institution. Findings to this also depicted on the table below. The figure 4.2.3 generally gives frequency of respondents with respect to the number of years they have spent in KNUST. From the figure it is obvious none of the respondents had spent 5 years and below with the institution.

As seen on the table, frequency recorded for that category 0 whilst 18 (15.0%) on the other hand said they had been with KNUST for 6-10 years. The remaining 102 (85%) chose “more than 10 years” as the number of years they have been with KNUST. The

results suggest that the institution has lower attrition rate, considering that about 85% of the respondents had stayed with the institution for over 10 years.

4.3 Appraisal Systems and Procedures At KNUST

This section examines the appraisal system and procedures at KNUST. This constituted one of the key objectives of the study. Generally, there was a convergence in the response from the junior staff, senior staff and senior members. Figure 4.2.4 below depicts the findings as revealed.

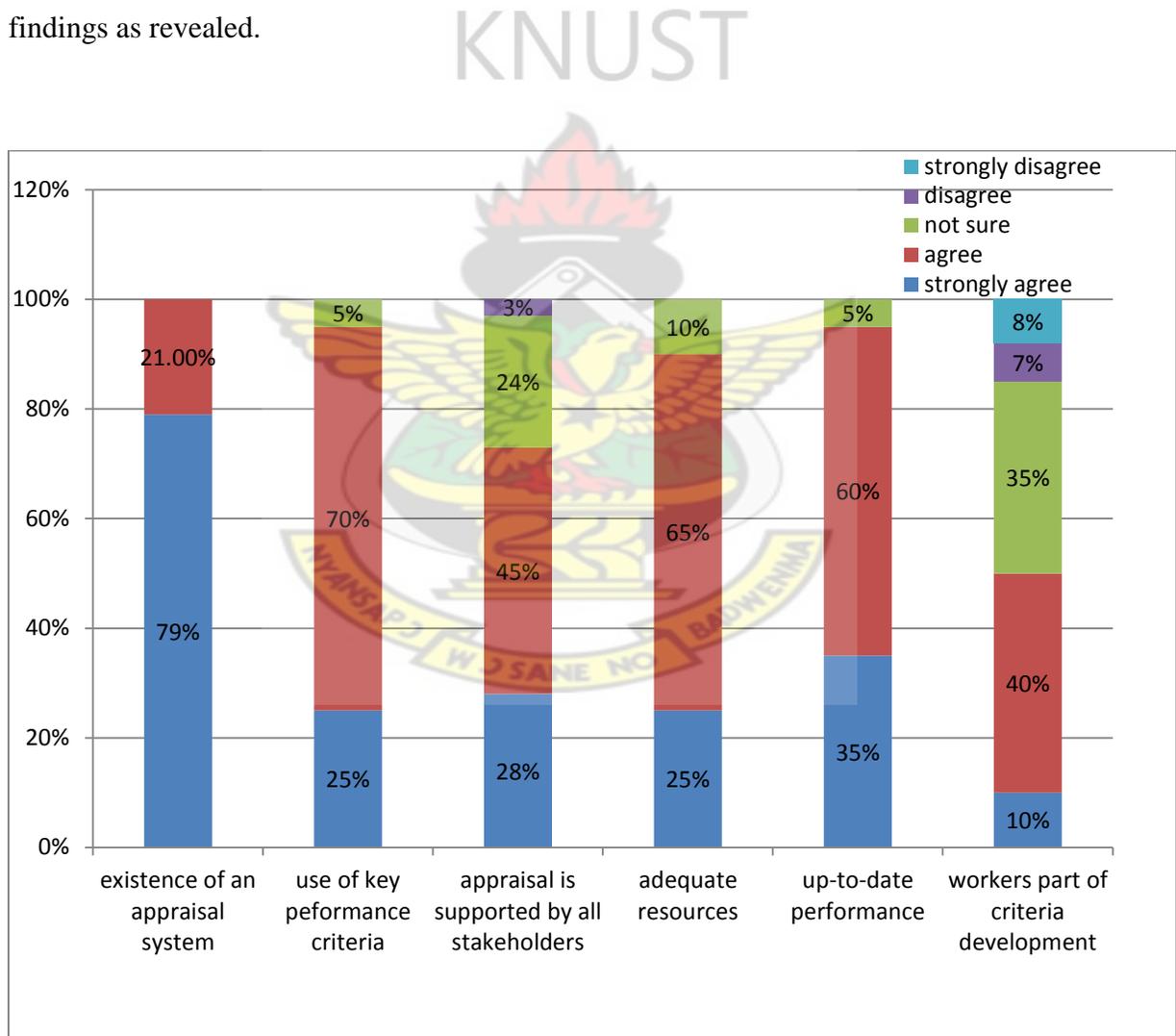


Figure 4.2.4 Findings on Appraisal Systems and Procedures At KNUST

Source: Field Data (2014)

From figure 4.2.4 we find 3 items presented with respect to findings on the appraisal system at the Kwame Nkrumah University of Science and technology: whether an appraisal system at KNUST, whether key performance criteria are used in the appraisal process, and whether appraisal is supported by all stakeholders.

As indicated by figure 4.2.4, there is more than enough evidence to suggest that the institution has an appraisal system. This was established based on the finding that about 79% strongly agreed to the statement that sought to find out whether there is an appraisal system in the institution. This position was also clearly corroborated in the interview with persons within the various colleges.

The remaining 21% also agreed, suggesting that all the respondents generally agreed to this position. The indication is that the appraisal system is well known to all the staff of the institution, including both senior and junior members. The interviewees were clear on this point and made the assertion that adequate mechanisms exist to ensure that staff have knowledge of the process because of their involvement.

Figure 4.2.4 also reveals that there are key performance criteria used in the process of appraising workers. This position was arrived at based on the fact that about 114 (95%) of the respondents general held this view. A breakdown of the response suggests that about 30 (25%) strongly agreed whilst 84 (70%) also agreed with only 6 (5%) indicating lack of adequate knowledge of the issue. This is described by Addison-Wesley (2001) as

one of the important elements of an effective appraisal system. The interviewees identified these criteria and gave credence to this finding.

Finally, we also find from figure 4.2.4 that the appraisal process is supported by all stakeholders. As captured by the figure, 34 (28%) strongly agreed to this whilst 54 (45%) also agreed to the same position, suggesting that about 88 (73%) generally agreed with the remaining 33 (27%) either disagreeing or indicating that they could not confirm that same position. It suggests that both workers and management show cooperation in appraisal exercises. Most of the key personnel interviewed emphasized this position. They were however quick to add that management and staff interests have sometimes varied.

Figure 4.2.4 above also provides further findings on the appraisal system at the Kwame Nkrumah University of Science and Technology. From the figure it is seen that about 90% generally believe that adequate resources are made available for the appraisal process. The breakdown shows that whilst 31 (25%) strongly agreed to this position, 78 (65%) agreed with the remaining 12 (10%) indicating that they were not sure. It shows that there were no dissenting opinions. The finding suggests that on the average the process of appraisal in the institution gets the required resources to facilitate the process effectively.

Again, Figure 4.2.4 also reveals that generally, performance criteria used in the institution reflects what is up-to-date. This was obtained from responses which show about 114

(95%) of the respondents generally agreeing. The breakdown of the responses shows that 35% strongly agreed with 65% also agreeing. The remaining 6 (5%) could not confirm or deny the position whilst none dissented. Interviewees shared this opinion; they further suggested that there are some benchmarks that serve as a source for updating criteria. Wesley (2004) provides in his study that up-to-date performance criteria will seek to enhance the productivity of the worker in line with modern trend. The institution therefore would have to keep up the standard of ensuring the use of up-to-date performance criteria.

KNUST

Interviewees largely suggested that workers are usually involved in the development of criteria used in the appraisal process. However, figure 4.2.4 provides a mixed response of whether workers are part of the development of criteria used in the appraisal process. As can be seen on the figure, about 60 (50%) generally believe that workers are involved in the development of the criteria whilst the other 60 (50%) could either not confirm this or generally disagreed. The breakdown revealed that 12 (10%) strongly agreed whilst 48 (40%) agreed. On the other side, about 35% were not sure whilst 8 (7%) and 9 (8%) disagreed and strongly disagreed respectively.

The split position is the basis for indicating a mixed finding. It suggests that about 60 (50%) of the respondents were generally not convinced that employees are sufficiently involved in the development of performance criteria. Kurt (2004) raises the need for workers to be part of the criteria development. According to him, this will raise the level

of confidence and in the system whilst getting employees to fully own the process through explicit enthusiasm.

4.4 Appraisal Process

This section examines the performance appraisal process in KNUST. The examination was to be able to identify components of the performance appraisal process in the institution and how this helped or affected the appraisal process. Findings with respect to the specific areas investigated are indicated in figures 4.2.5 below.

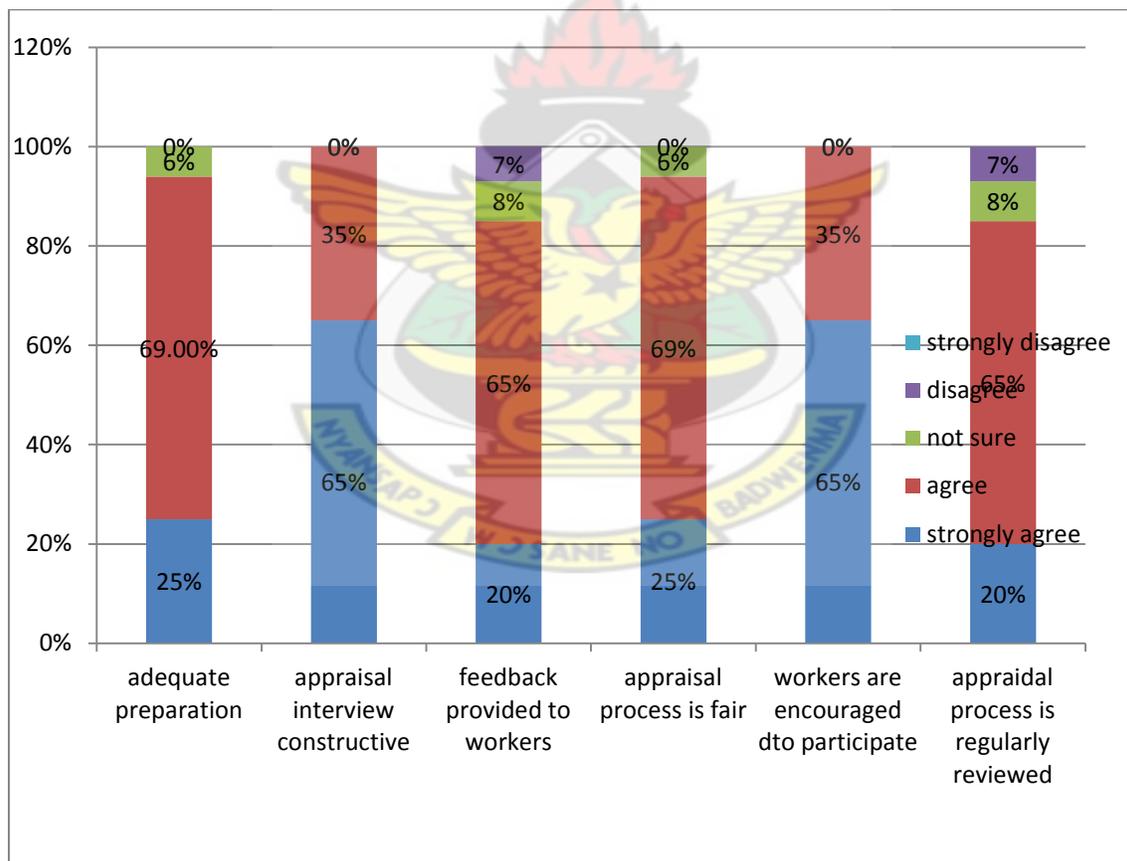


Figure 4.2.5 Findings on the **Appraisal Process at KNUST**

Source: Field Data (2014)

A key finding depicted on the figure below is the fact that adequate preparation goes into the appraisal process. In other words the necessary measures and mechanisms are activated to ensure the appraisal process is successfully implemented. This was also indicated by persons in key positions interviewed. From figure 4.2.5 below 113 (94%) of the respondents generally agreed. A breakdown revealed that 25% strongly agreed whilst 82 (69%) agreed with the remaining 7 (6%) not being able to confirm or deny and none dissenting. Kurt (2004) emphasizes the need for adequate preparation to be undertaken before beginning an appraisal process. According to Gabris & Mitchell (2000) this will help achieve the stated objectives.

Again, we find from figure 4.2.5 that all the respondents generally agreed that the appraisal interview is constructive. This was established from the breakdown which showed that about 78 (65%) strongly agreed to this position whilst the remaining 42 (35%) also agreed to the same position. None dissented, suggesting that most employees perceive the appraisal process in the institution to be constructive. . According to Kurt (2004) a constructive appraisal process creates the environment to effectively identify employee weaknesses and constitute the appropriate training to address those weaknesses.

Finally, from figure 4.2.5 it is also established that a significant level of feedback is provided to workers at the various levels, both senior and junior. The feedback may not 100% considering that about 18 (15%) either could not confirm that position or generally dissented. The breakdown specifically shows the following: 24 (20%) strongly agreed, 78

(65%) agreed, 7 (8%) were not sure whilst 6 (7%) disagreed. Feedback is considered by McNamara (2000) as an important way of ensuring that workers know their weaknesses so that it will be the basis for addressing those weaknesses.

Further investigation of the appraisal process showed that most respondents see the appraisal process being fair. The breakdown revealed the following: 30 (25%) strongly agreed to the position that the appraisal process is fair, 69% agreed to the same position whilst the remaining 7 (6%) could not confirm that position. None dissented as shown on the figure. Chopek (2003) believes that a fair appraisal process will boost worker's confidence and make them consider seriously feedback from the appraisal process.

Staff through questionnaire and interview also gave the indication that workers are encouraged to participate in the appraisal process. This is important given that staff participation is significant in ensuring the effectiveness of the appraisal process. The breakdown revealed the following: 78 (65%) strongly agreed to the position, 42 (35%) agreed to the same position with none dissenting (see figure 4.4.2 above).

Figure 4.2.5 finally reveals that the appraisal process is reviewed to address weaknesses on regular basis. The figure reveals that 24 (20%) strongly agreed to this position, 78 (65%) agreed to it 8 could not confirm this position whilst the remaining 7 generally dissented. There is the need to address weaknesses that come up so that the ultimate aim of an appraisal is achieved.

4.5 Employees' Perception of Performance Appraisal At KNUST

This section also examines the perception of respondents on the appraisal system at KNUST. Findings are depicted on the figure 4.2.6 below.

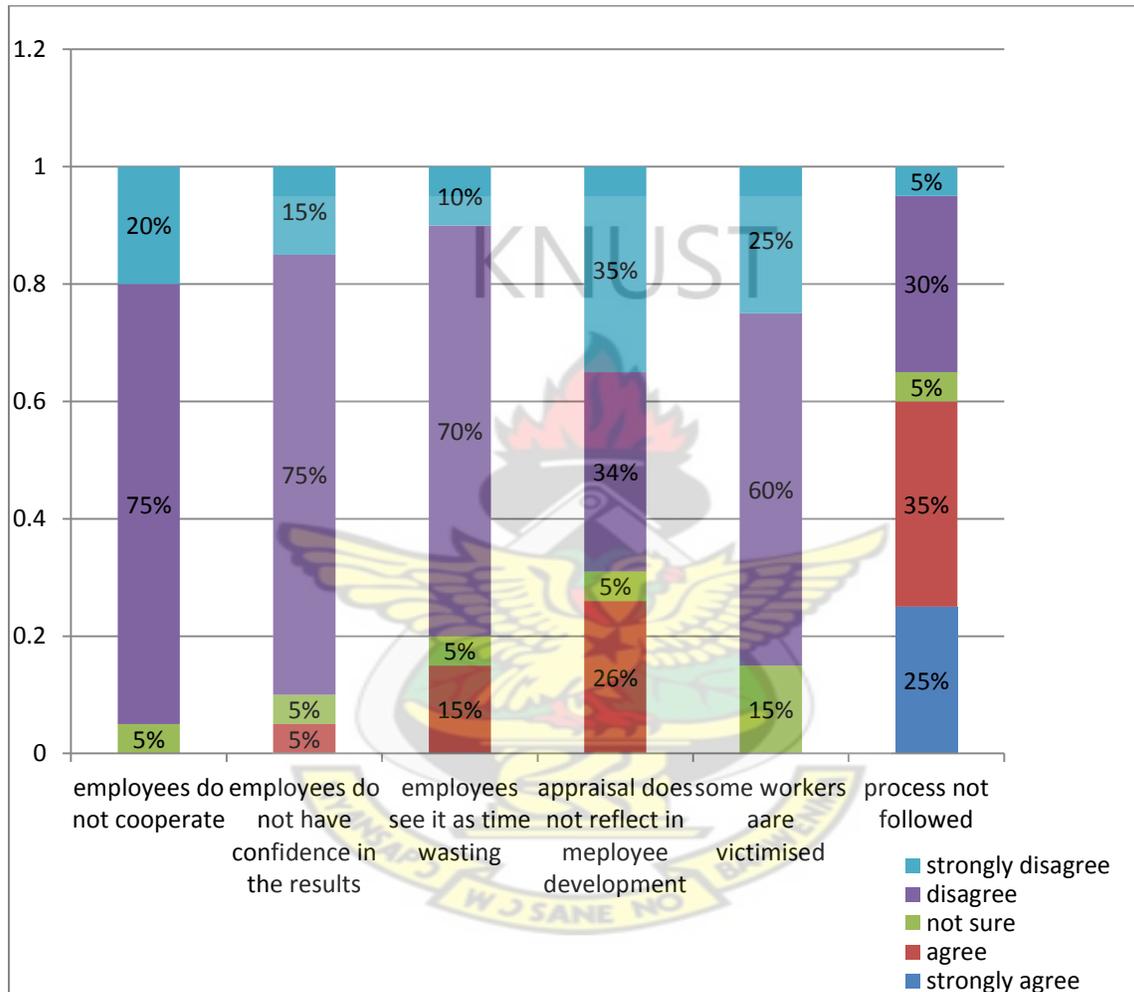


Figure 4.2.6 Findings **Employees' Perception of Performance Appraisal at KNUST**

Source: Field Data (2014)

Figure 4.2.6 reveals varied response on what constitutes the perception of respondents on appraisal process at the Kwame Nkrumah University of Science and Technology. The

analysis captures the perception of both senior members and junior members. From the figure most staff indicating a strong cooperation from staff on the appraisal process. In response to the statement “Employees do not show cooperation in the appraisal process” the following was observed: 6 (5%) could not confirm this position, 68 (75%) disagreed whilst the remaining 24 (20%) strongly disagreed. It suggests that generally about 114 (95%) disagreed, thus confirming the assertion above.

In connection with the statement “Employees do not believe that feedback reflects their performance” 6 (5%) agreed, 6 (5%) could not confirm this position, 90 (75%) disagreed whilst 18 (15%) strongly disagreed. The position is that about 108 (90%) generally disagreed to this statement. The conclusion therefore is that both senior and junior members of the institution believe that employees generally cooperate in an appraisal process. For an institution like KNUST cooperation for such an activity is important to be able to address inherent challenges in their performance.

Again, figure 4.2.6 shows that majority of the staff consider the exercise as very significant and do not see it as constituting time wasting. This was established through responses which reveal that about 96 (80%) generally share this position with the remaining dissenting or not being able to confirm that position. The 24 (20%) who dissented or did not share this position suggests that some staff in the minority see the exercise as constituting a waste of time. Most of the respondents in this category may be in the category that do not access feedback from previous appraisals and consequently do not value the importance of the appraisal.

Figure 4.2.6 above depicts further findings on what was found in the study as constituting the perception of staff on performance appraisal in the university. A key observation is that majority of the respondents link appraisal to employee development. As a result, in response to the statement “appraisal does not reflect in employee development” about 69% generally agreed to this position. However, the figure also shows about 31% dissenting, suggesting that about 37 (31%) of staff are unable to associate performance appraisal with employee development.

Again on figure 4.2.6, we find that there is generally the position that workers are not victimized through appraisal process. Regarding this position, a total of 102 (85%) response was recorded (see figure 4.2.6 above). The breakdown shows that only 18 (15%) could not confirm this position whilst none dissented. Workers having this perception show the level of objectivity of the performance appraisal at the Kwame Nkrumah University of Science and Technology. Objectivity in appraisal is described by Chopek (2003) as a guarantee of its likely effectiveness.

4.6 Challenges of Performance Appraisal At KNUST

The study also attempted to identify the challenges facing the institution’s performance appraisal system and process. Informations in respect of this objective was gathered using both questionnaires and interviews. Figure 4.2.7 below reveals the challenges as perceived by the respondents comprising both junior and senior members of the Kwame Nkrumah University of Science and Technology. From the figure we find a number of challenges confirmed by respondents.

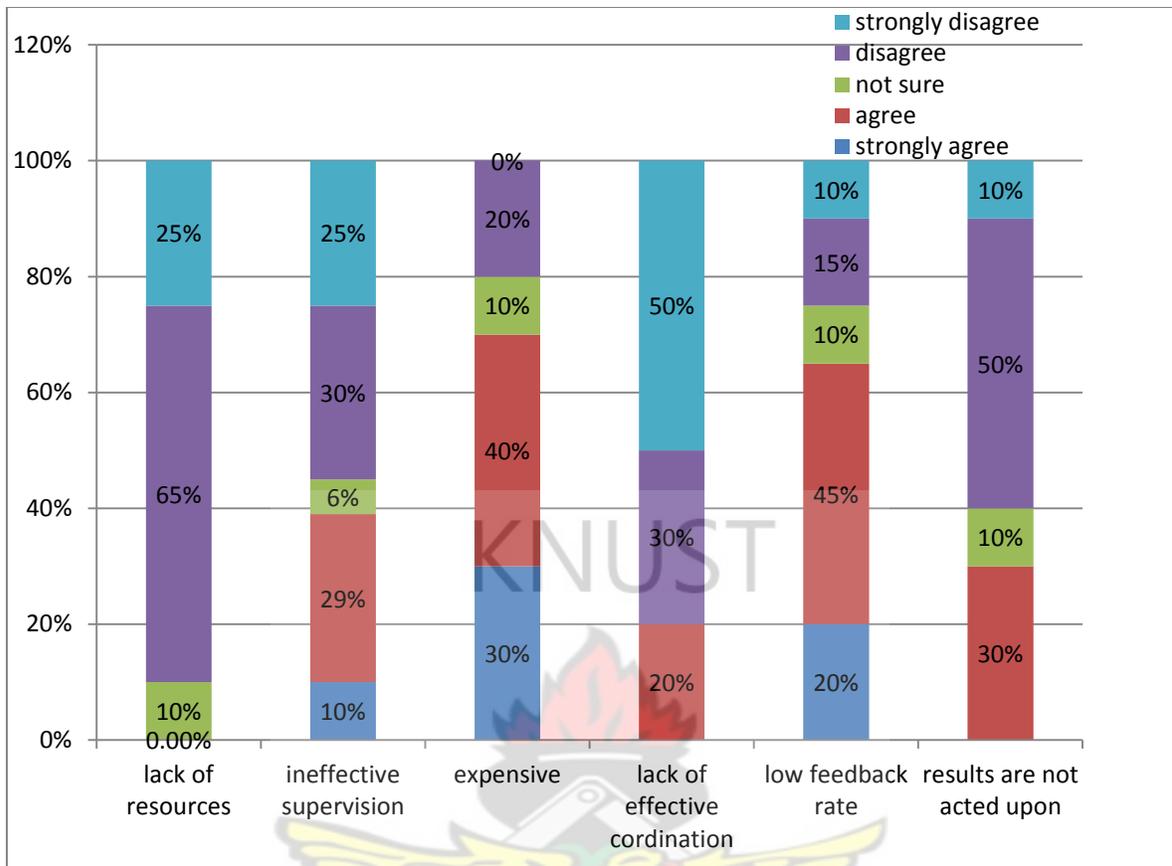


Figure 4.2.7 Challenges of Performance Appraisal At KNUST

Source: Field Data (2014)

In the first place it is seen that one of the challenges is the general lack of resources to see to an effective implementation of an appraisal process. Most of the persons interviewed corroborated this view. We find from figure 4.2.7 that lack of resources did not constitute a challenge to the institutions' appraisal process. As shown in the figure about 108 (90%) generally shared this opinion. However, 12 (10%) dissented, suggesting that they held a different opinion.

Again, we find that a slight majority of the respondents did not consider “ineffective supervision as a challenge to performance appraisal in the institution. This was established based on the fact about 56 (55%) generally shared this position. The remaining had 46 (39%) dissenting whilst about 7 (6%) could not confirm or deny it as a challenge. The percentage that dissented is quite significant, suggesting the need for attention to be provided to this area.

A key challenge seen on figure 4.2.7 is the fact that appraisal is expensive. This is confirmed on the figure by about 84 (70%) of the respondents who generally agreed to this position. The breakdown revealed the following: 36 (30%) strongly agreed, 48 (40%) agreed, 12 (10%) were not sure whilst the remaining 24 (20%) generally dissented (see figure above). Cost is potentially a challenge in any activity undertaken that requires funding; however considering that performance appraisal has a relationship with productivity there is the need that the necessary funding is secured to effectively carry out such an important activity.

On figure 4.2.7 we find that low feedback rate is another challenge that staff see with the appraisal system in the university. In response to this challenge 78 (65%) of the respondents generally agreed to this position. A breakdown revealed the following: 24 (20%) strongly agreed, 45% agreed, 10% could not confirm or disagree with this position whilst the remaining 30 (25%) generally disagreed. It shows that slightly more than 2/3 of staff of the institution believe that there is low feedback rate in the performance appraisal process. According to Wesley (2003), feedback is as important as the

conducting the appraisal. Without feedback most workers will lose confidence in the system since they will not be able to identify it with their development.

4.7 Effectiveness of Appraisal System At KNUST

An assessment was also done to ascertain the effectiveness of the appraisal process at KNUST. Figures 4.2.8 below depict findings relative to the effectiveness of the performance appraisal system in the university.

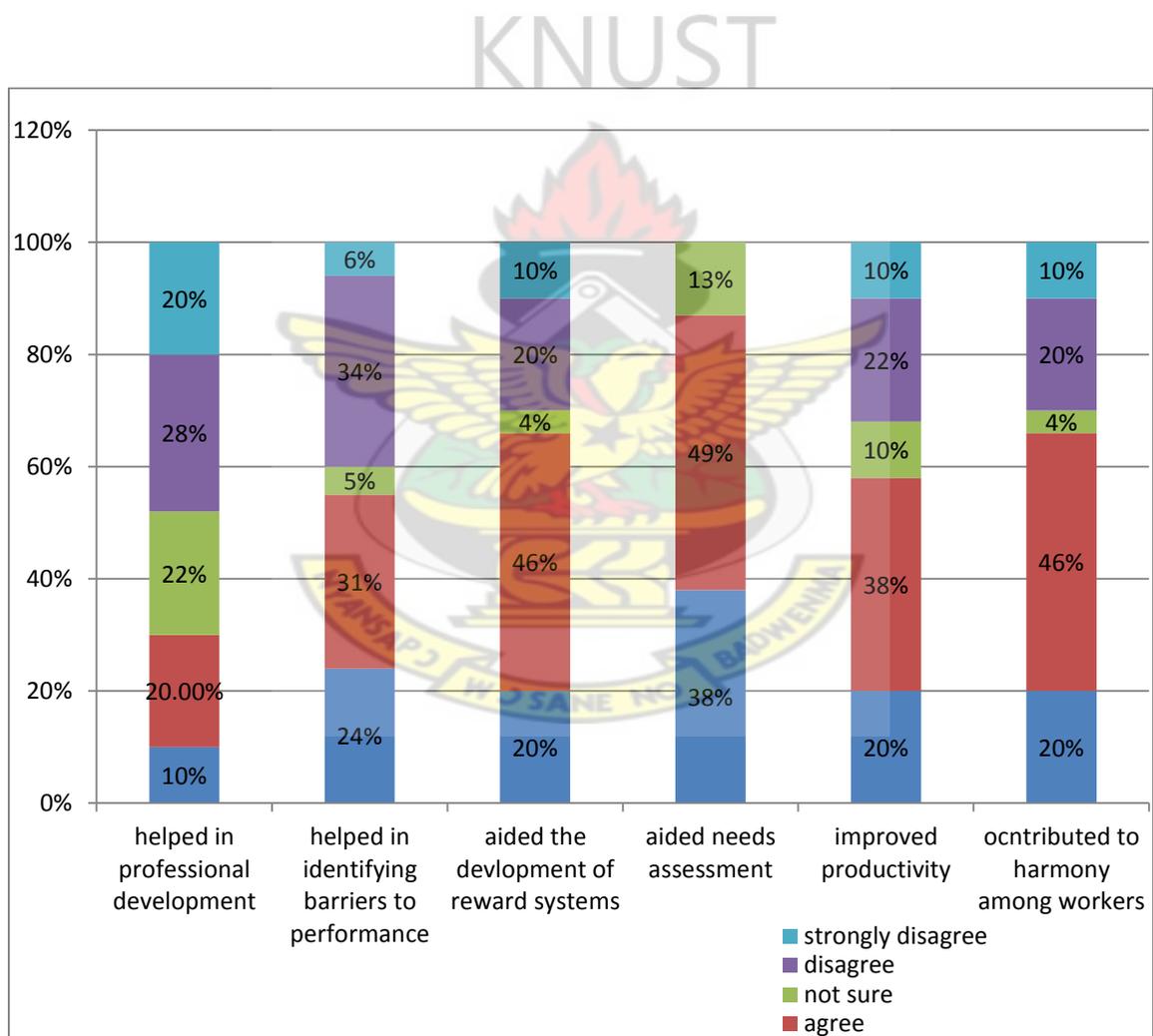


Figure 4.2.8 Effectiveness of Appraisal System at KNUST

Source: Field Data (2014)

From figure 4.2.8 it is seen that most staff are unable to identify performance appraisal with their professional development. As shown in the figure below about 57 (48%) shared this position whilst about 26 (22%) were not sure, suggesting that they could not emphatically relate performance appraisal to their professional development.

Most however admitted that the process is able to help identify barriers to performance which when addressed properly helps boost general productivity. This position was shared by about 66 (55%) of the respondents. On the other hand about 54 (45%) either dissented or could not confirm or disagree with this assertion. The important finding here is that most staff see the process as being significant in identify barriers to performance.

Finally, figure 4.2.8 also provides indication that performance appraisal has aided the development of reward system and therefore has contributed to an improved reward system in the institution. This position is consistent with findings in the study of Awosanya and Ademola (2008) It stresses the importance of the performance appraisal activity to both organisation and the individual.

On figure 4.2.8 above, we further identify some of the effects of performance appraisal in the university. From the figure we find that as many as 104 (87%) indicated that the performance appraisal process has helped in the needs assessment process which is an important activity in developing training programmes for staff. About 70 (58%) also associated performance appraisal to improved productivity whilst about 66% believe it has contributed significantly to harmony among workers of the university.

It shows that performance appraisal has been effective in the university and has contributed significantly to improved productivity and harmony among workers whilst also helping to identify performance barriers to be addressed and aiding the development of reward systems. According to Chadbourne (1994) institutions stand to derive these benefits and more if they effectively undertake performance appraisal and act decisively upon the results of the appraisal.

KNUST



CHAPTER FIVE

SUMMARY OF FINDINGS, CONCLUSIONS AND RECOMMENDATIONS

5.1 Introduction

This chapter covers the summary, conclusions and recommendations resulting from the discussions on the data gathered from the respondents of the study.

5.2 Summary of Findings

Demographic Characteristics of Respondents

The study revealed that about 52.5% of the respondents were male. It was therefore concluded that, the likelihood of a staff being a male is higher than the probability of being a female. Again, with respect to their age, it was found that majority of them were aged between 30 and 50 years. Regarding the number of years they had spent with the institution, about 62% had spent 10 years and above as staff of KNUST.

Appraisal Systems and Procedures At KNUST

The study found that the institution has in place an appraisal system, and this was largely acknowledged by all categories of respondents: junior and senior members. The study noted that there are key performance criteria that have been developed and clearly identified in the appraisal system. Findings showed that to a large extent the criteria have been developed in consultation with workers and appraisers. Further, respondents indicated general understanding and support from the various stakeholders on the institution's appraisal system. Findings also revealed that largely, the necessary resources are available to implement an effective performance appraisal system in the institution.

Most respondents were very positive on whether the performance criteria have been extracted from an up-to-date job description.

Appraisal Process

The study revealed that there are sufficient preparation by the manager/supervisor and workers before the appraisal process is undertaken. Again, majority of the respondents indicated that the appraisal process is conducted fairly. Majority of the respondents further acknowledged that the appraisal interview is designed to be constructive. There was evidence to the effect that workers are encouraged to participate in discussions. It was also found that feedback to workers is usually not provided as reported by respondents. There was also evidence to suggest that there is regular review of progress towards goals.

Employees' Perception of Performance Appraisal at KNUST

The study found that most employees show cooperation in the appraisal process. Again, most staff believe that feedback reflects their performance. Further, most staff believe the appraisal system is relevant and do not consider the appraisal process a waste of time. Most employees indicated that they can relate the appraisal process to their personal development. The assertion that appraisal process is only used as a tool for victimizing some workers was not shared by respondents. This suggested that the process is conducted fairly and with the right intentions of rewarding performance and addressing weaknesses.

Challenges of Performance Appraisal At KNUST

Key challenges identified included the following: it is time consuming and requires a lot of resources to undertake regular appraisal processes.

Effectiveness of Appraisal System At KNUST

The study found that the appraisal system has helped developed staff professionally. Again, it was noted that the process has helped in identifying systematic factors that are barriers to effective performance. The evidence also suggested that the appraisal system to a large extent is able to validate the administrative decisions of the institution whilst also aiding the determination of organisational training and development needs of both junior and senior staff.

5.3 Conclusions

The study has examined the appraisal system and practice of Kwame Nkrumah University of Science and Technology (KNUST) using respondents who were both junior and senior members from all the colleges of the university. Several findings were made and adequately discussed. Key among the findings was that the institution has in place an appraisal system with key performance criteria that have been developed and clearly identified. Effectively it came out that the process has helped in identifying systematic factors that are barriers to effective performance.

Competent appraisal of individual performance in an organization or company serves to improve the overall effectiveness of the entity. McGregor in Moats (1999) describes the

three main functional areas of performance appraisal systems as: administrative, informative, and motivational. According to Addison-Wesley (2001), appraisals serve an administrative role by facilitating an orderly means of determining salary increases and other rewards, and by delegating authority and responsibility to the most capable individuals. Again, Moats says the informative function is fulfilled when the appraisal system supplies data to managers and appraisees about individual strengths and weaknesses.

It must also be emphasized that the uniformity of the appraisal structure is vital because it ensures that all employees are evaluated on a standardized scale. Appraisals that are not uniform are less effective because the criteria for success or failure become arbitrary and meaningless. Furthermore, uniformity allows a company to systematically compare the appraisals of different employees with each other.

The general conclusion therefore is that organisations should seriously consider methods and systems that would help them administer their appraisal process effectively so that the stated objectives will be achievable and subsequently translate into the organisation's performance.

5.4 Recommendations

Based on Findings and discussions the following are recommended:

1. The need to ensure that Performance Criteria is up to date

There is the need to ensure that performance criteria have been extracted from an up-to-date job description. This was identified in the case of KNUST consistent with what has been suggested in the literature and need to be encouraged.

2. Need To Ensure Fairness In The Appraisal Process

The study observed although they were in the minority, some respondents doubted the fairness of the appraisal process in the university. To totally erase this impression, since it has the potential of affecting confidence in the system, there is the need to ensure that fairness is maintained in the appraisal process so that the necessary trust and cooperation will be forthcoming from staff.

3. The Need To Ensure Regular Feedback.

The study also identified feedback rate to be very low. This affects some of the objectives of instituting an appraisal system. Therefore, there is the need to ensure regular feedback. Failure to do this could affect staff interest in the process, as much as possible feedback should be given to staff on their performance.

4. The need to ensure effective supervision

Finally, one of the challenges that usually confront the implementation of an appraisal is the fact that some supervisors do not display the right attitude to help the process. Although this was not found with KNUST, there is the need for

supervisors to enhance the process by exhibiting the right attitude. This will go a long way to create the right enthusiasm among staff.

KNUST



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KNUST



Appendix 1

KWAME NKRUMAH UNIVERSITY OF SCIENCE AND TECHNOLOGY, KUMASI

QUESTIONNAIRE FOR SENIOR STAFF

TOPIC: EFFECTIVENESS OF PERFORMANCE APPRAISAL SYSTEM: A CASE STUDY OF KNUST

Introduction: This questionnaire is part of a study examining the effectiveness of performance appraisal system at KNUST. Kindly indicate your preference among alternative answers for each question by ticking in the appropriate box. Where alternative answers are not provided, fill in the gaps provided. Thank you for your contribution.

51. Background Information

Gender	Tick
Male	
Female	

Age	tick
21-30	
31-40	
41-50	
51 and above	

Level of education	Tick
HND	
Professional Certificate	
First Degree	
Second Degree	
PhD	
Others	

How long have been working with KNUST?	tick
1 year and below	
2-4 years	
5-7 years	

8-10 years	
More than 10 years	

b. Appraisal systems and procedures at KNUST

On a scale of 1 to 5, indicate the extent to which you agree or disagree with the following statements about Performance Appraisal System at KNUST

(Key: 5-Strongly Agree 4-Agree 3-Not Sure 3-Disagree 1-Strongly Disagree)

Statements	5	4	3	2	1
KNUST has got an appraisal system in place.					
Key performance criteria (i.e., competencies, behaviours, results / outcomes) have been clearly identified in the appraisal system					
The criteria have been developed in consultation with workers and appraisers.					
There is understanding and support from key stakeholders (e.g. workers, supervisors).					
The necessary resources are available to implement an effective performance appraisal system.					
The performance criteria have been extracted from an up-to-date job description.					
The assessment tools are structured, with clear explanations about the criteria to be assessed, and performance standards					

c. Appraisal Process

On a scale of 1 to 5, indicate the extent to which you agree or disagree with the following statements about Performance Appraisal Process at KNUST

(Key: 5-Strongly Agree 4-Agree 3-Not Sure 3-Disagree 1-Strongly Disagree)

Statements	5	4	3	2	1
Sufficient preparation is undertaken by the Heads / supervisors and workers before the appraisal process					
The appraisal process is fair					
The appraisal interview designed to be a constructive, two-way discussion of performance and goal setting					
The workers are encouraged to participate in appraisal discussions					

Workers are provided with regular feedback					
Feedback provided is constructive					
Progress towards goals are reviewed at regular intervals					
Does the appraisal process presents opportunity for feedback					

d. Employees’ perception of performance appraisal at KNUST

On a scale of 1 to 5, indicate the extent to which you agree or disagree with the following statements constitute your perception of Performance Appraisal Process at KNUST

(Key: 5-Strongly Agree 4-Agree 3-Not Sure 3-Disagree 1-Strongly Disagree)

Statements	5	4	3	2	1
Employees do not show cooperation in the appraisal process.					
Employees do not believe that feedback reflects their performance.					
Employees consider the appraisal process a waste of time.					
Employees cannot relate the appraisal process to their personal development.					
Employees believe the appraisal process is only used as a tool for victimizing some workers.					

e. Challenges of performance appraisal at KNUST

On a scale of 1 to 5, indicate the extent to which you agree or disagree with the following as challenges of Performance Appraisal at KNUST

(Key: 5-Strongly Agree 4-Agree 3-Not Sure 3-Disagree 1-Strongly Disagree)

Statements	5	4	3	2	1
The needed resources are unavailable to carry out an effective appraisal.					
Supervisors do not display the right attitude to help the process.					
The cost of financing the process is a challenge.					
Some workers are victimized through the appraisal process.					
Performance goals do not consider pertinent environmental factors.					

Results are not acted upon.					
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f. Effectiveness of appraisal systems at KNUST

On a scale of 1 to 5, indicate the extent to which you agree or disagree with the following statements regarding the effectiveness of Performance Appraisal at KNUST

(Key: 5-Strongly Agree 4-Agree 3-Not Sure 2-Disagree 1-Strongly Disagree)

Statements	5	4	3	2	1
Helps in professional development (identifying strengths and weaknesses in performance, implementing strategies for improvement)					
Helps in identifying systemic factors that are barriers to effective performance.					
Aids the development of reward systems.					
validates administrative decisions, eg compensation, promotion, placement, etc.					
Aids the determination of organisational training and development needs.					

Any other comments

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Appendix 2

KWAME NKRUMAH UNIVERSITY OF SCIENCE AND TECHNOLOGY, KUMASI

QUESTIONNAIRE FOR JUNIOR STAFF

TOPIC: EFFECTIVENESS OF PERFORMANCE APPRAISAL SYSTEM: A CASE STUDY OF KNUST

Introduction: This questionnaire is part of a study examining the effectiveness of performance appraisal system at KNUST. Kindly indicate your preference among alternative answers for each question by ticking in the appropriate box. Where alternative answers are not provided, fill in the gaps provided. Thank you for your contribution.

51. Background Information

Gender	Tick
Male	
Female	

Age	tick
21-30	
31-40	
41-50	
51 and above	

Level of education	Tick
HND	
Professional Certificate	
First Degree	
Second Degree	
PhD	
Others	

How long have been working with KNUST?	tick
1 year and below	
2-4 years	
5-7 years	

8-10 years	
More than 10 years	

b. Appraisal systems and procedures at KNUST

On a scale of 1 to 5, indicate the extent to which you agree or disagree with the following statements about Performance Appraisal System at KNUST

(Key: 5-Strongly Agree 4-Agree 3-Not Sure 3-Disagree 1-Strongly Disagree)

Statements	5	4	3	2	1
KNUST has got an appraisal system in place.					
Key performance criteria (i.e., competencies, behaviours, results / outcomes) have been clearly identified in the appraisal system					
The criteria have been developed in consultation with workers and appraisers.					
There is understanding and support from key stakeholders (e.g. workers, supervisors).					
The necessary resources are available to implement an effective performance appraisal system.					
The performance criteria have been extracted from an up-to-date job description.					
The assessment tools are structured, with clear explanations about the criteria to be assessed, and performance standards					

c. Appraisal Process

On a scale of 1 to 5, indicate the extent to which you agree with the following statements about Performance Appraisal Process at KNUST

(Key: 5-Strongly Agree 4-Agree 3-Not Sure 3-Disagree 1-Strongly Disagree)

Statements	5	4	3	2	1
Sufficient preparation is undertaken by the Heads / supervisors and workers before the appraisal process					
The appraisal process is fair					
The appraisal interview designed to be a constructive, two-way discussion of performance and goal setting					
The workers are encouraged to participate in appraisal discussions					

Workers are provided with regular feedback					
Feedback provided is constructive					
Progress towards goals are reviewed at regular intervals					
Does the appraisal process presents opportunity for feedback					

d. Employees’ perception of performance appraisal at KNUST

On a scale of 1 to 5, indicate the extent to which you agree with the following statements constitute your perception of Performance Appraisal Process at KNUST

(Key: 5-Strongly Agree 4-Agree 3-Not Sure 3-Disagree 1-Strongly Disagree)

Statements	5	4	3	2	1
Employees do not show cooperation in the appraisal process.					
Employees do not believe that feedback reflects their performance.					
Employees consider the appraisal process a waste of time.					
Employees cannot relate the appraisal process to their personal development.					
Employees believe the appraisal process is only used as a tool for victimizing some workers.					

e. Challenges of performance appraisal at KNUST

On a scale of 1 to 5, indicate the extent to which you agree with the following as challenges of Performance Appraisal at KNUST

(Key: 5-Strongly Agree 4-Agree 3-Not Sure 3-Disagree 1-Strongly Disagree)

Statements	5	4	3	2	1
The needed resources are unavailable to carry out an effective appraisal.					
Supervisors do not display the right attitude to help the process.					
The cost of financing the process is a challenge.					
Some workers are victimized through the appraisal process.					
Performance goals do not consider pertinent environmental factors.					

Results are not acted upon.					
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f. Effectiveness of appraisal systems at KNUST

On a scale of 1 to 5, indicate the extent to which you agree with the following statements regarding the effectiveness of Performance Appraisal at KNUST

(Key: 5-Strongly Agree 4-Agree 3-Not Sure 2-Disagree 1-Strongly Disagree)

Statements	5	4	3	2	1
Helps in professional development (identifying strengths and weaknesses in performance, implementing strategies for improvement)					
Helps in identifying systemic factors that are barriers to effective performance.					
Aids the development of reward systems.					
validates administrative decisions, eg compensation, promotion, placement, etc.					
Aids the determination of organisational training and development needs.					

Any other comments

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Appendix 3

**KWAME NKRUMAH UNIVERSITY OF SCIENCE AND TECHNOLOGY,
KUMASI**

INTERVIEW GUIDE

**TOPIC: EFFECTIVENESS OF PERFORMANCE APPRAISAL SYSTEM: A CASE
STUDY OF KNUST**

Introduction: This study is examining the effectiveness of performance appraisal system at KNUST. Respondents are assured that this just an academic exercise and that every information will be treated as confidential. Thank you for assisting.

1. Background Information

Position.....

College.....

2. Nature of Performance Appraisal

Has the college got a performance appraisal system (Yes/No).....

What are the key performance criteria in the appraisal

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How were these criteria developed?

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What are the assessment tools used?

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Who is in charge of the appraisal process?

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3. Objectives of the Appraisal System

What are the objectives for instituting the appraisal system?

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How were these objectives arrived at?

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Were these objectives set with the involvement of staff?

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.....
.....

4. Effectiveness of Appraisal System

Are the objectives for instituting the appraisal system being met? (Yes/No).....

How has performance appraisal contributed to productivity?

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How has it affected employee professional development?

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How has it affected employee motivation?

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KNUST

5. Challenges of Appraisal System

What are the challenges facing the effective implementation of the appraisal system?

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How did these challenges evolve?

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How are the challenges affecting the implementation of performance appraisal?

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How are these challenges being addressed?

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KNUST

