



ST. MARY'S UNIVERSITY
SCHOOL OF GRADUATE STUDIES

**PERFORMAMANCE MANAGEMENT SYSTEM AND ITS
APPLICATION IN ETHIOPIAN HIGHER INSTITTION
(IN ACASE STUDY OF WACHAMO UNIVERSITY**

BY:
ABIYOU SHIFA

December, 2017
Addis Ababa, Ethiopia

**PERFORMAMANCE MANAGEMENTSYSTEM AND ITS
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(IN ACASE STUDY OF WACHAMO UNIVERSITY)**

**A THESIS SUBMITTED TO ST.MARY'S UNIVERSITY,
SCHOOL OF
GRADUATE STUDIES IN PARTIAL FULFILLMENT
OF THE REQUIREMENTS FOR THE DEGREE OF MASTER OF
GENERAL BUSINESS ADMINISTRATION**

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DECLARATION

Here with I, declare that, this thesis is prepared for the partial fulfillment of the requirements for MBA Degree in **GENERAL BUSINESS ADMINISTRATION**. This work is prepared with my own effort and this work is original in nature. I have made it independently with the close advice and guidance of my advisor and all source of material used for the thesis have been duly acknowledged.

Declared By: ABIYOU SHIFA

Signature _____

Date _____

Acknowledgement

My sincere thank goes to Dr.ChalachewGetahun whose able guidance and kind cooperation helped me to complete this project work. I'm deeply indebted to my parents, for their moral and material support. My special appreciation also goes to my class mates whose genuine advice and support encouraged me to succeed in my academic progress. Last but not least, my special appreciation goes to academic staffs of Wachamo University who sacrificed their precious time to fill the study questionnaire and to those who cooperate in giving me the necessary information without which successful completion of the study would have been difficult.

ENDORSEMENT

This thesis has been submitted to St. Mary's university, school of Graduate Studies for examination with my approval as a university advisor.

ChalachewGetahun(PhD)

Advisor

Signature

St. Mary's university, Addis Ababa

January, 2018

ACCRONIMS /ABRIVIATIONS

PM Performance Management

PA Performance Appraisal

KPI Key performance indicator

CHAPTER ONE

INTRODUCTION

The HRM is said to be a nervous system of any organization. It coordinates and controls each and every activity either directly or indirectly for the purpose of organizational development and growth. Among all the tools of HRM, performance management is a system that ensures and maintains the proper flow of life blood in every section and unit of organization, which is human capital (person's knowledge, skills, experience, and abilities). Performance management does not only evaluate the employees' performances but achieve organizational goals through improving employee performance, employee development, employee engagement and retaining them (*Mansoor, 2010*).

Performance management is a process of establishing shared understanding about what is to be achieved and how it is to be achieved and an approach to managing and developing people that improves individual, team and organizational performance (Michael, 2009).

Achieving effective performance of human resources is primary goal of every organization. In this regard, performance management practice of human resource management provides the sound basis of evaluating and developing employee performance in order to get enhanced organizational success. Similar to any organization, universities or higher education institutions evaluate their employees or teachers performance for effective human resource management.

All over the world, universities play a vital role for active participation in the knowledge societies which ultimately leads towards faster economic growth. This is because universities in any country develop human capital (students) for not only better contribution in different professions but, in society as whole. They are responsible for successful development of any open and democratic civil society; by giving their students deep insight of specific subject knowledge provide the social norm of communication and interaction (Danial,2011).

According to Ivancevich(1989),''It is important to remember that people do the workand create ideas that show the organizational service''. Therefore, it is agreed that resources remain unutilized unless the human element is involved.

The degree of human resources contribution should be evaluated in the development of the organization or business firm, and is called Performance Appraisal (PA).PA

istheidentification, measurement, and management of humanPerformance in anorganization (Gomez, 2001).

Performance Appraisal (PA) benefits both Employees and Employers. Employers benefit from understanding their employees' weaknesses and strength. Understanding the employees' helps to make basic enforcement for weakly performing employee by giving training and development in order to improve his/her Performance if not punish. It also helps to make remuneration and promotion readily available for those who performed well. PA is not only important to employee's problem identification, but also important to the organization for effective utilization of manpower, to bring effectiveness and efficiency. Employees benefited by getting feedback about their Performance of certain period in time, to improve themselves on their poor performance or to be motivated for their good performance.

An organization's Performance management system helps it to meet its short and long term goals and objectives by helping management and employees do their jobs more efficiently and effectively, and performance appraisal is one part of this system (bacal,1999).

The ultimate objective of performance appraisal is identifying, measuring, and managing of human performance in an organization and to give feedback to employees who may improve their performance on job and also organizations' or business firms 'success. Additionally, information obtained during the appraisal process can be used as a basis for personnel management, merit increment, termination, carrier planning and promotion, and layoff, succession planning, transfer, bonus, and criteria for selection procedure validation by using different appraisal methods.

Performance appraisal has become a term used for a variety of activities through which organizations seek to assess employees and develop their competence, improve performance, and allocate rewards (Fletcher,2001). Grote (2002) identified the following purposes of performance appraisal:

- 1, providing feedback to employees about their performance.
- 2 Facilitating decisions concerning pay increases, promotion, layoffs.
- 3 Encouraging performance improvement.
- 4 Setting and measuring goals.
- 5 Determining individual and organizational training and development needs.
- 6 Confirming that good hiring decisions are being made.
- 5 Provide legal support for personnel decisions.

8 Improving overall organizational performances.

Benefits of performance appraisal

Widespread attention is given in recent years to the function of the formal appraisal process because of the idea that a well designed and implemented appraisal system can create many benefits for organization. Mohrman et al.,(1989) found that the appraisal process can: a) provide for a managerial instrument for goal setting and performance planning with employees, b) improve employee motivation and productivity, c) encourage interaction concerning employee growth and development, d) make available a basis for wage and salary changes, and e) generate information for a variety of human resource decisions. Murphy Cleveland (1995) defined four ways in which performance appraisal can help organizations. First, performance appraisal can improve organizational decisions including:

Reward allocation, promotion, layoffs, and transfers. Second, performance appraisal can improve individual carrier decisions and decision about where to focus ones time and effort.

A third way that Murphy and Cleveland (1995) suggest that performance appraisal can assist organizations is by providing a set of tools for evaluating the effectiveness of current or planned ways of operating. Finally, performance appraisal can impact employees views and commitment to their organization.

Difficulties with performance appraisal

The challenges associated with the design, implementation, and functional use of appraisal systems are well documented, and they continue to be frustrating to both academics and practitioners (Longenecker and Nykodym, 1996). In one review appraisal literature, the authors found that regardless of an appraisal programs stated purpose, there were few studies that showed positive effects (Bernadin, et al., 1998).

Therefore, this study will be focussed on public higher education institutions in general and specifically emphasizes on wachamo University to assess performance management practice of academic staffs with more focussed on performance planning , performance assessment, and the uses of assessment results in the University.

BACK GROUD OF THE ORGANIZATION

Wachemo University

Wachemo University (WCU) is one of the public higher educational institutions, which was founded in 2009. It is located 230 km southwest of Addis Ababa, at Hosanna town in the area of over 200 hectares.

The University commenced its function in 2012 admitting 538 students in 12 departments under 4 faculties. Currently, the University has admitted over 18,000 students in regular and continuing education programs in 48 departments under 6 Colleges, namely 1) Engineering and Technology, 2) Natural and Computational Sciences, 3) Medicine and Health Sciences, 4) Agricultural Sciences, 5) Business and Economics, and 6) Social Sciences and Humanities. In addition to these, the university has launched 4 new programs at MSc level in 2016/17 academic year.

Wachemo University is committed to excellence in teaching, research, and service for the benefit of the citizens of Ethiopia and the world, and is dedicated to the discovery, development, communication, and application of knowledge in a wide range of academic and professional fields; it provides the highest quality programs gearing towards developing new understandings through research and creativity, and it also prepares students to assume roles in leadership, responsibility, and service to the society and the country at large.

MISSION

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Programs

Currently the university is delivering the learning-teaching process in the following 6 faculties and 27 programs.

Faculty of Engineering and Technology

- • Civil Engineering
- • Electrical & Computer Engineering
- • Mechanical Engineering
- • Chemical Engineering
- • Construction Technology and Management
- • Computer Science
- • Information Technology

Faculty of Natural and Computational Sciences

- • Mathematics
- • Biology
- • Physics
- • Sport Science
- • Chemistry
- • Statistics

Faculty of Medicine and Health Science

- • Public Health Officer
- • Medicine
- • Nursing
- • Midwifery

Faculty of Agricultural Science

- • Plant science
- • Animal science
- • Natural resource management

Faculty of Business and Economics

- • Business Management
- • Economics
- • Accounting & Finance

Faculty of Social Sciences and Humanities

- • Geography and Environmental Studies
- • English language and Literature
- • Psychology
- • Sociology

1.1 STATEMENT OF THE PROBLEM

According to Clinton (1992) as cited by Richard et.al. (2010), performance appraisal programs sometimes yield disappointing results. The primary reasons include, lack of top management information and support, unclear performance standards, rater bias, too many forms to complete and use of the program for conflicting purposes. The same study identified that, performance appraisal used in Universities is not effective and they exist just as a matter of formality.

Hence, Wachamo University is a newly emerging public higher education institution in Ethiopia. In this University there is a number of complainants presented by academic employees and students when the researcher made during preliminary interview. The employee and the student said that the Institution is not doing its job well in terms of appraising staff performance. An organization's performance management system helps to meet its short and long term goals and objectives by helping management and employees do their job more efficiently and effectively, and performance appraisal is one part of this system (Bacal, 1999).

The reason for focusing on Wachamo University is to assess the practice of performance planning, assessment and uses of assessment results in the Institution.

An effective performance appraisal system is one of many methods that are useful for assessing and improving productivity (Mani, 2002).

However, little research exists on the assessment of staff performance (Seldin, 1988). Higher education has devoted little effort to appraisal and climate surveys for administrative personnel (Cox & Downey, 2002). Winston and Creamer (1997) stated that in most Colleges and Universities, employees report show that performance appraisal is a weakness in the overall employment practices. Evaluation is becoming a significantly more important instrument for policymakers' efforts to implement control over higher education productivity, but there is little empirical work on the performance and effectiveness of higher education administrative employees who contribute to this productivity (Heck et al. 2000).

Based on preliminary interview with employees and students in Wachamo University there is a gap in the performance appraisal process especially in the monitoring and evaluation stages. Employees have stated that there is lack of awareness about their evaluation criteria, the purpose of the evaluation has not been clear as it is not followed by motivational rewards or proper training need fulfillment.

Therefore, addressing this gap it has its own benefit for both employees the organization in the following way: a) improve staff performance, b) identify staff with high performance, c) identify under performers, d) align individual and organizational objectives, e) provide the basis for personal development, f) enable people to know where they stand, g) used for training need assessment, h) used for promotion, i) provide basis for pay decision.

Performance appraisal has become a term used for a variety of activities through which organizations seek to assess employees and develop their competence, improve performance, and allocate rewards (Fletcher,2001).Grote (2002) identified the following purposes of performance appraisal:

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- 4 Setting and measuring goals.
- 5 Determining individual and organizational training and development needs.
- 6 Confirming that good hiring decisions are being made.
- 5 Provide legal support for personnel decisions.
- 8 Improving overall organizational performance.

1.2 Research questions

- ✓ Does the university have clear goals and objectives which are the basis of staff evaluation?
- ✓ Is there alignment between the performance evaluation criteria and the university's overall goals?
- ✓ Is there staff participation in performance planning?
- ✓ What are the sources of information for staff evaluation and the validity of information?
- ✓ Do the staff evaluation criteria contain all performance facets (teaching, research and community service) of staff responsibility?
- ✓ What are the uses of staff evaluation in Wachamo University?

1.3 DEFINITION OF TERMS

Performance: It can be regarded as simply the record of outcomes achieved. On an individual basis, it can be a record of the person's accomplishments (Michael, 2009).

Performance Management: is a process that enables employees to perform their roles to the best of their abilities with the organizations objectives. It can be regarded as a strategic management technique that supports the overall business goals of the firm through linking each individual's work goals to the overall mission of the firm (David and Geoffrey 2009).

Performance planning is the process of setting performance goals in relation to the key accountabilities associated with your role (Kirkpatrick, 2006).

Key performance indicators (KPIs): define the results or outcomes that are identified as being crucial to the achievement of high performance.

Performance standards are management approved expression of the performance threshold (s), requirement(s), or expectation(s) that employees must meet to be appraised at particular levels of performance (United States Office of Personnel Management, January 2001).

Alignment is defined as the extent to which employees are similarly connected to or have a consistent line of sight to the vision and direction of the organization and its customers, often encapsulated with in its current strategy (W. Smither and M. London 2009).

1.4 OBJECTIVE OF THE STUDY

The general objective of the study is to assess the practice of performance planning

assessment and the uses of the evaluation results; the proper implementation of which can align the activities and objectives, give confidence to the instructors, make them glad to give their dedications

1.4.1 Specific objectives

The specific objectives were to:

- ✓ Determine whether the university's goals and objectives (bases of staff valuation) are clear for staff members.
- ✓ Investigate whether there is an alignment between the staff evaluation criteria and the university's overall goals.
- ✓ Identify the extent of staff participation in performance planning which can give them an opportunity to know what is to be measured and how they deliver the objectives.
- ✓ Explore whether the staffs assessment criteria currently in use capture the entire range of their responsibility
- ✓ Identify the sources of information used in assessing the staff's and validity of the information for decision purpose.

1.5 Scope and Limitation of the study

The major focus of the study is on performance planning, assessment and the application of the evaluation results. Eventless, these are not the only components of performance management system. In this study the remaining phases are not treated in sufficient detail. As a result, the study is limited to some elements of the total system. Furthermore, earlier performance evaluation results were not well documented. And access to such information was limited.

The target respondents were also too busy to fill the questionnaire because of handling classes in different campuses. However, the researcher exerted maximum effort to overcome the problem and addressed the research objectives.

Although higher education institutions depends up on both teaching and non-teaching staffs working in it, yet major responsibility comes upon teachers who are the source of student's knowledge, learning and development. This compels such institutions to have systematic

performance appraisal systems, to evaluate and enhance teacher's performance (Muhammad , et al.2011). Therefore, the study is carried out to assess performance management practices of academic staffs in Wachamo University. It is emphasized on performanceplanning, assessment and the application of the assessment results.

1.6 Significance of the study

The study therefore helps Wachamo University to identify important elements that have to be considered during performance planning, assessment and the uses of the evaluation result so as to make the system effective in measuring the contribution of the academic staff. Moreover, it will also help interested future researchers being as a reference material and by indicating future research direction regarding what criteria should be used to evaluate the performance of knowledge workers whose performance seems difficult to quantify.

Finally, the study is also serves a partial fulfilment for the award of a master's degree in General business administration.

1.7 Organization of the study

The study will be organized into five chapters. The first chapter deals with the introductory idea about the topic, statement of the problem, specific research questions, definition of terms, the research objectives, the scope and limitation of the study. The second chapter is literature review where detailed interrelation. The third chapter includes the methodology of the study. The fourth chapter includes analysis of the study. The final chapter is devoted to conclusion and recommendation.

CHAPTER TWO

LITERATURE REVIEW

2.1. Definition of Performance

According to Michael, (2009) there are different views on what performance is. It can be regarded as simply the record of outcomes achieved. On an individual basis, it can be a record of the person's accomplishments.

The oxford English Dictionary defines performance as: 'The accomplishment, execution, carrying out, working out of anything ordered or undertaken. This refers to outputs /out comes (accomplishment) but also states that performance is about doing the work as well as being about the results achieved. Performance could therefore be regarded as behaviour –the way in which organizations, teams and individuals get work done. Similarly (Campbell et al. 1993),defined performance as behaviour or action relevant to attainment of the organization's goals that can be scaled or measured.

Job performance is a function of two different things: what the person accomplishes and how the person goes about doing the job. Probably all of us have encountered people who were excellent at one and fail at the other. Thus, for an organization to be successful, both behaviours and results are important(Dick 2002).

Almost all definitions given above in one way or another are concerned about the same thing: behaviour and result. That is why(Michael 2009), said a more comprehensive view of performance is achieved if it is defined as embracing both behaviour and outcomes.

Thus performance means both behaviours and results. Behaviours emanate from the performer and transform from abstraction to action. This definition of performance leads to the conclusion that when managing the performance of teams and individuals both inputs (behaviour) and out puts (results) need to be considered.

2.2. Definition of Performance management

Performance management can be described as a strategic and integrated approach to delivering sustained success to organizations that focuses on performance improvement and employee development (Michael 2009).

According to Aguinis, (2009) Performance management is a continuous process of identifying, measuring, and developing the performance of individuals and teams and aligning performance with the strategic goals of the organization (James and Manue, 2009).

Performance management is a process that enables employees to perform their roles to the best of their abilities with the organizations objectives. It can be regarded as a strategic management technique that supports the overall business goals of the firm through linking each individual's work goals to the overall mission of the firm (David and Geoffrey 2009).

2.3. Performance Management process

Many of the pertinent models on performance management involve a simple four or five step process. These models tends to be based on the assertion that all work performance systems from and is driven by the corporate objectives. These models tend to be based on the assertion that all work performance systems from and is driven by the corporate objectives. Individual objectives shoot out from these and all are monitored and reviewed on an ongoing basis with a formal review or appraisal conducted at least annually David and Geoffrey, (2009).

According(Torrington, and Taylor 2008), a typical performance management system, include both development and reward aspects, the main stages of which are: definition of business roles, planning performance, delivering and monitoring performance, and formal performance assessment.

Armstrong, (2009), described that performance management system operates as a continuous and self-renewing cycle that closely resembles the cycle of continuous performance in which performance appraisal or review is almost always a key part of the system (Torrington, et al. 2008).

In his attempt to clarify the activities to be carried out in this key part (appraisal) of the system and the responsibilities of the company, the manager, and the employees, (Amy 2007), Put the following summary table.

Table 2.1: Summary of performance appraisal responsibilities

| Responsibilities in performance appraisal system | |
|--|---|
| The company | <ul style="list-style-type: none"> • Creates the strategic plan • Provides support and resources |
| The manager | <ul style="list-style-type: none"> • Identifies job requirements • Observes and documents employee • Provides support and resources |
| The manager and the employee together | <ul style="list-style-type: none"> • Identify job goals • Create action plans for how to meet requirements and goals • Engage in ongoing dialogue about employee performance |
| The employee | <ul style="list-style-type: none"> • Listens to and acts on feedback from the manager • Performs by meeting requirements and goals • Provides feedback to the manager about the work environment |

Source: Amy Delpo,(2007) The Performance Appraisal Handbook Legal & Practical Rules 2ndedn.

From all of the above stated performance management processes and activities one can understand that, there is a variation of PM steps among different authors. Some authors emphasized only on major activities and compressed the appraisal process into few steps. Others are concerned with specific and very detailed activities which make the process to have a little bit longer steps than the others. Despite the slight variation in the process the basic activities to be carried out in PM process are one and the same.

For the Purpose of this study a four-phase model identified by (Dick2002), is used. According to the author his model is developed based on real experiences of performance appraisal he had over many years. Hence, the model presents a comprehensive and practical guide to effective performance management system. He stated that in organizations that take performance management seriously and use the system well, the appraisal process involves

four phases namely performance planning, performance Execution, Performance assessment, and performance review. To enable the researcher in assessing the current practices of the performance management system in Wachamo university each of the phases are discussed at some length with the central theme of the paper being performance planning, assessment and application of the system. Discussions of the phases are as follows:

2.3.1 Performance Planning: The process by which, the manager and individual get together to discuss up on what the person will achieve over the next period (the key responsibilities of the person's job and the goals the person will work on) and how the person will do the job (the behaviours and competencies the organization expects of its members). They typically also discuss the individual's development plans. According to (Smither and M. London 2009), performance planning is the stage where the supervisor and the employee meet to discuss, and agree on, what needs to be done and how it should be done.

2.3.2 Performance Execution: Over the course of the year the employee works to achieve the goals, objectives, and key responsibilities of the job. The manager provides coaching and feedback to the individual to increase the probability of success. He /she creates the condition that motivates and resolves any performance problems that arise.

This is the stage where employee strives to produce the results and display the behaviours agreed on earlier as well as to work on development needs.

Although employees have a primary responsibility and ownership of this process, the supervisor also needs to do his or her share of the work.

Performance Assessment:- The manager reflects on how well the subordinate has performed over the course of the year, assembles the various forms and paperwork that the organization provides to make this assessment, and fills them out.

In the assessment phase, both the employee and the manager are responsible for evaluating the extent to which the desired behaviours have been displayed, and whether the desired results have been achieved.

2.3.3 Performance Review: The manager and the subordinate meet, usually for about an hour to review the appraisal form that the manager has written and talk about how well the

person performed over the past period. It involves the meeting between the employee and the manager to review their assessments.

Having seen the overview of each step, since the central theme of the paper is on performance planning, assessment and the uses of the evaluation results, each one of them deserves a more detailed discussion as follows.

2.4.1. Performance planning

“Some managers object that performance planning takes too much time; these managers are wrong because that period is the most valuable time the manager spends in “people management” activities during the entire year. A minute devoted to planning prevent hours spent on correcting and responding to an anguished reaction during a performance appraisal discussion i.e., is that what you wanted me to do? Why didn’t you tell me?”(Dick 2002).

One of the primary reasons that performance appraisal discussions are so awkward is that they are conducted in a vacuum. If the manager and the individual haven’t had a good discussion about requirements and expectations, if they haven’t talked about goals, if they haven’t had a meaningful dialogue about core competencies, then it will be impossible for the manager to honestly and ethically assess how well the individual has done in meeting those un discussed objectives.

Performance planning is the bedrock of an effective performance management system. The performance planning discussion gives the manager the chance to talk about her/his expectations and what she/he sees as genuinely important in the individual’s job. It gives the individual a clear operating charter so that he can go about doing his job with the full certainty that he’s working on the highest priority responsibilities and operating in a way that the organization expects.

Performance planning typically involves a meeting between an appraiser and an appraisee.

The agenda for this meeting includes four major activities:

1. Coming to agreement on the individual’s key job responsibilities
2. Developing a common understanding of the goals and objectives that need to be achieved
3. Identifying the most important competencies that the individual must display in doing the job.

4. Creating an appropriate individual development plan (Dick, 2002).

A clear understanding of what is expected of employee is essential. If there is no such understanding; the manager is likely to assess performance on the basis of what she/he expects of the employee, which may be very different from what the employee understood to be the job duties and responsibilities. To avoid this problem, there are two requirements that must be met.

The employee must understand both what is expected and how well the job is expected to be performed. These two requirements are called “Significant Job descriptions that cover the duties and responsibilities of jobs. Standards of performance are an important and often neglected element in performance appraisal.

While significant job segments describe what needs to be done, standards of performance describe how well it must be done.

Two of them together clarify what’s expected of the employee. This clarification is necessary to guide the behaviour of the employee as well as to provide a basis for appraisal (Donald 2006).

Responsibilities of the supervisors and employees in performance planning

Dick (2002), in his book named The Performance Appraisal Question and Answer Book explicitly stated the responsibilities of the manager and the employee in performance planning.

a. Responsibilities of the supervisor in performance planning

The supervisor has six primary responsibilities:

- Review the organization’s mission statement, or vision and values, and the department’s goals.
- Read the individual’s job description. Think about the goals and objectives the person needs to achieve in the upcoming appraisal period.
- Read the individual’s job description. Think about the goals and objectives the person needs to achieve in the upcoming appraisal period.
- Identify the most important competencies that he/she expects the individual to demonstrate in performing the job.
- Determine what he/she consider to be fully successful performance in each area.

- Discuss and come to agreement with the employees on the most important competencies, key position responsibilities, and goals.
- Discuss and come to agreement on the employee's development plan.

b. Responsibilities of the employees in performance planning

- Review the organization's mission statement and their department's goals.
- .Review their job description and determine their critical responsibilities.
- Think about their job description and identify the most important goals they should accomplish in the upcoming appraisal period.
- Think about what they consider to be fully successful performance in each area.
- Discuss and come to agreement with their appraiser on the most important competencies for their job, key position responsibilities, and goals.
- Discuss and come to agreement on their personal development plans.
- Make full notes on a working copy of the performance appraisal form. Keep the original of the form and give a copy to the appraiser.

2.4.1.1. Components of Performance Planning

Performance planning is the process of setting performance goals in relation to the key accountabilities associated with your role. Commonly, setting performance goals involves having an understanding of your key accountabilities, setting goals in relation to these accountabilities, and deciding how you will measure the achievement of your goals (Kirkpatrick,2006).

According to (Smither and M. London 2009), performance planning discussion includes a consideration of (1) results, (2), behaviours, and (3) development plan. Results refer to what needs to be done or the outcomes an employee must produce. A consideration of results needs to include the key accountabilities, specific objectives that the employee will achieve as part of each accountability, specific objectives that the employee will achieve as part of each accountability and performance standards (yardstick) used to evaluate how well employees have achieved each objectives. A consideration of behaviours includes discussing competencies, which are measurable clusters of knowledge, skills, and attitudes (KSAs) that are critical in determining how results will be achieved. Development plan should include

identifying areas that need improvement and setting goals to be achieved in each area. Usually development plans include both results and behaviours.

To show the difference between result and behaviour (Dick 2002) identified that, results include actual job out puts, countable products, measurable outcomes and accomplishments, and objectives achieved. It deals with what the person achieved. Whereas behaviour includes competencies, skills, expertise and proficiencies, the individual’s adherence to organizational values, and the person’s personal style, manner, and approach. Behaviours deal with how the person went about doing the job.

Table 2.2: The difference between result and Behaviour

| Elements | Focus |
|------------|--|
| Results | <ul style="list-style-type: none"> • WHAT the individual achieved • Actual job out puts • Measurable out comes and accomplishments • Objectives achieved • Quantity /Quality/Cost/Timeliness) |
| Behaviours | <ul style="list-style-type: none"> • HOW the individual performed • Adherence to organizational values • Competencies/Performance factors • Traits /attributes/characteristics/proficiencies • Personal style, manner, and approach (Knowledge /Attitudes/Skills/Habits) |

Source: Dick (2002) The performance Appraisal Question and Answer Book, PP: 28

In general according to Armstrong (2009), performance planning among others include: agreement on goals/objectives, performance standards, performance measures, key result areas, and agreement on personal development needs.

i. Goals/objectives

Some literatures suggested that there is a slight variation between goals and objectives but, for the purpose of this research the two terms are used interchangeably. Armstrong (2009), pointed out that Setting goals /objectives (i.e. describing what we want to achieve and how it can be achieved) is the most important activity during the performance planning and agreement stages of performance management.

Dick (2002), also identified that goal setting is one of key elements of performance planning. In addition to identifying the key responsibilities of the individual's job and the element is setting appropriate goals for the upcoming year.

Setting goals produces several important results:

- It forces the identification of critical success factors in the job.
- It mobilizes individual and organizational energy.
- It forces concentration on highest priority activities.
- It increases probability of success.
- It generates increases in productivity.

Characteristics of effective goals/objectives

If goal setting isn't a part of the performance management process, then it will be easy to get caught in the activity trap—spending time on activities that don't generate a lot of return but are done because they're familiar. If we have set clearly stated and measurable goals and objectives we are less likely to work on low-priority tasks because we will be aware of what our high-priority responsibilities are (Dick, 2002).

In general effective goals/objectives should be:

SMAR

- **Specific:** clear, unambiguous, straight forward, understandable and challenging.
- **Measurable:** the manager and the employee must have some way of determining whether the employee met the goal (quantity, time, money).
- **Achievable:** challenging but within the reach of a competent and committed person
- **Relevant:** the goal must make sense in terms of what the employee and the department are trying to accomplish.
- **Time bound:** there must be a time limit on how long the employee has to accomplish the goal (Dick 2002).

ii. **Performance standards**

Performance standards are management approved expression of the performance threshold (s), requirement(s), or expectation(s) that employees must meet to be appraised at particular levels of performance (United States Office of Personnel Management, January 2001). Standards of Performance are different from objectives. Objectives should be set for an individual, rather than for a job. Therefore, a manager who has several employees who do the same job will have one set of standards for the job but may have different objectives for each person (outstanding), based on that person's experience, skills, and past performance.

Characteristics of effective Standards

There are eight characteristics of effective standards (Donald (2006):

- They are based on the job and the person(S) in the job—Standards of performance should be established for the job itself regardless of who occupies the job.
- They are understood—The standard should be clear to manager and employee alike.
- They are agreed on—Both manager and employee should agree that the standard is fair.
- They are as specific and as measurable as possible—Some people feel that standards must be specific and measurable. They insist that they must be stated in numbers, percentages, dollars, or some other form that can be quantifiably measured. .
- **They are time oriented**—it should be clear whether the standard is to be accomplished by a specific date or whether it is ongoing.
- **They are written**—Both manager and employee should have a written copy of the standards that are agreed on.
- **They are subject to change**— Because standards should be achievable and agreed on, they should be periodically evaluated and changed if necessary.

iii. **Performance measures**

In addition to identifying what the responsibilities of a position are; the manger and the individual need to discuss how the person's performance will be measured and evaluated. There is a difference between output measures and outcome measures. An output is a result that can be measured quantifiably, while an outcome is a visible effect that is the result of effort but cannot necessarily be measured in quantified terms. According to (Dick, 2002), there are four general measures of outcome

include: changes in behaviour, completion of work/project, acquisition and effective use of additional knowledge and skills etc.

- iv. **Key performance indicators (KPIs):** define the results or outcomes that are identified as being crucial to the achievement of high performance.

2.4.1.2. Employee participation in performance planning

Getting employees involved in the planning process will help them understand the goals of the Organization, what needs to be done, why it needs to be done, and how well it should be done (Dick, 2002).

Employee participation is a very important element for successful performance evaluation systems. Employees must play a key role, participating in everything from writing job descriptions, to identifying their own goals setting; the goals they set are higher and more demanding than goals that managers set alone. Employees will push the envelope, often demanding more of them work. It gives the employee and the manager a sense of working together rather than being on opposite sides of the fence. Participation in goal setting improves performance, because participation by itself is inherently motivating, because it provides the employee with an increased understanding of expectations and strategies for goal accomplishment (Armstrong 2009).

Smither and M.London(2009), also pointed out that, employees need to have active input in the development of the job descriptions, performance standards, and the creation of the rating form.

2.4.1.3. Alignment and Performance Management: Alignment is defined as the extent to which employees are similarly connected to or have a consistent line of sight to the vision and direction of the organization and its customers, often encapsulated with in its current strategy (W. Smither and M. London 2009).

The aim is to focus people on doing the right things in order to achieve a shared understanding of performance requirements throughout the organization. Thus Integration should be achieved by ensuring that everyone is aware of corporate, Functional and team goals and that the objectives they agree for themselves are consistent with those goals and will contribute in specified ways to their achievement (Armstrong 2009).

Low alignment results in waste of time and energy. When individuals (or teams or units) are not well aligned with the vision, organizational goals, or what customers

need and want, extra energy is required to reach the goals because time is often diverted to low-or no-value-added activities. Furthermore, it results, in frustration of individuals or teams involved, poor performance, turnover etc. because; they may feel that their efforts are not creating success.

The role of performance management in here is by cascading strategic goals down the organization, it promotes the alignment of individual objectives with organizational objectives.

To summarize, Performance planning is completed when the manager and the individual have come to an understanding (ideally, an agreement) on the individual's key job responsibilities, the goals that the person will achieve over the next year, the competencies that the organization expects of its members, and the development plans the individual will pursue (Dick,2002).

2.4.2. Performance Assessment

Performance assessment involves evaluating just how good a job the individual has done and filling out the appraisal form. Employee Performance assessments require the ability to judge performance, and good judgment is a matter of using clear standards, considering only relevant evidence, combining probabilities in their correct weight and avoiding projection (ascribing to other people one's own faults).

Responsibilities of the supervisors and employees in performance assessment

Responsibilities of the supervisor

- Review the original list of competencies, goals, objectives, and key position.
- Prepare a preliminary assessment of the employee's performance over the entire year.
- Review the individual's list of accomplishments and the self appraisal.
- Prepare your final assessment of the employee's performance.
- Write the official performance appraisal using the appraisal form.
- Review the appraisal with your manager and obtain concurrence.
- Determine any revisions needed to the employee's key position responsibilities, goals, objectives, competencies, and development plans for the next appraisal period.
- Prepare for the performance review meeting.

Employee's responsibility in the performance assessment phase

- Reviewing ones own personal performance over the year
- Assessing performance and accomplishments against the development plan
- Preparing a list of accomplishments and achievements and sending it to appraiser
- Write a self-appraisal using the appraisal form
- Consider any revisions needed to key responsibilities, goals, objectives, competencies, and development plans for the next performance review cycle.
- Prepare for the performance review meeting.

2.4.2.1 Methods of Employee Performance Appraisal/Evaluation

Virtually all performance rating systems can be grouped into one of two general categories: absolute and relative. Absolute systems such as behaviourally anchored rating scales (BARS), weighted checklists, and behavioural observation scales (BOS) involve making judgments about people in relation to descriptions of job-related behaviours and /or traits. Under such systems, all individuals are independently assessed against the same standards, and it is conceivable that multiple individuals could attain essentially the same rating in relation to either specific behaviours and traits or overall performance.

Relative rating approaches require raters to assess individuals in relation to one another. The criteria used for making those comparisons might (and typically does) include job-related behaviours and traits, but ratees' assessment results are determined by where they are positioned in relation to others in a given peer group. In other words, the main objective is not just to determine whether a particular person is a highly effective, adequate, or poor performer but to be able to say who is best, who is next best, right on down, in some cases, to who is worst (W. Smither and M. London, 2009).

Although different authors (e.g. Cascio and Aguinis, 2005) identified different categories (objective/subjective, traditional/modern) and the corresponding sub-techniques of appraisal, the followings are presented to give the highlights of some of the techniques.

- a. **Behaviourally Anchored Rating Scales (BARS)** – are graphic performance – rating scales with specific behavioural descriptions defining points against each scale (i.e. 'behavioural anchors'), which represents a dimension, factor or work function considered important for performance.

They are designed to reduce the rating errors that it was assumed are typical of conventional scales. It is believed that the behavioural descriptions in such scales

discourage the tendency to rate on the basis of generalized assumptions about personality traits by focusing attention on specific work behaviours. But BARS take time and trouble to develop and are not in common use.

- b. Weighted Check lists:** The basic purpose of utilizing check-list method is to ease the evaluation burden up on the rater. In this method, a series of statements (questions) with their answer are prepared by the concerned officials. The check-list is, then, presented to the rater to tick appropriate answers relevant to the appraisee. Each question carries a weight age to prepare the final scores for all appraisees.
- c. Behavioural Observation Scales (BOS)-**are summated scales on statements about desirable or undesirable work behaviour. The assessor records the frequency with which an employee is observed engaged in a specified behaviour on a five-point Likert scale. Behavioural observation scales were regarded as the most practical rating method by users and they produce fewer rating errors than other methods as long as raters have been trained in their use. However, the problem of this method is that a given occurrence rate interval does not, in fact, connote a constant level of performance satisfactoriness for all job behaviours.
- d. Forced Ranking (forced distribution)-**is a recently developed management procedure that requires managers to assign employees into predetermined groups according to their performance, potential, etc. It can be described as an indicative range or quota system. Employees subjected to forced distribution have to be allocated to sections of the curve in accordance with performance assessments or rankings. For example, 15percent of the curve represents the highest-level performers, the middle 70 percent average performers and the remaining 15 percent represent low performers. Its primary advantage is that it controls leniency, severity, and central tendency biases. It assumes however, that rates conform to a normal distribution, and this may introduce a great deal of error if a group of rates, as a group is either superior or substandard (Armstrong, 2009).It assumes however, that rates conform to a normal distribution, and this may introduce a great deal of error if a group of rates, as a group is either superior or substandard (Armstrong, 2009).

2.4.2.2. Problems Encountered during Performance Assessment/Rating error

Rating errors are mistakes in judgment that result from allowing extraneous factors to influence our decisions about the quality of someone's job performance. Armstrong (2009) in his performance management hand book listed the following rating errors.

- **Contrast effect:** the tendency of a rater to evaluate people in comparison with other individuals rather than against the standards for the job.
- **First impression error:** The tendency of a manager to make an initial positive or negative judgment of an employee and allow that first impression to color or distort later information.
- **Halo or horns effect:** Inappropriate generalizations from one aspect of an individual's performance to all areas of that person's performance.
- **Similar-to-me effect:** The tendency of individuals to rate people who resemble themselves more highly than they rate others.
- **Central tendency:** The inclination to rate people in the middle of the scale even when their performance clearly warrants a substantially higher or lower rating.
- **Negative and positive skew:** The opposite of central tendency: the rating of all individuals as higher as or lower than their performance actually warrants.
- **Attribution bias:** The tendency to attribute performance failings to factors under the control of the individual and performance successes to external causes.
- **Recency effect:**-The tendency of minor events that have happened recently to have more influence on the rating than major events of many months ago.
- **Stereotyping:** - The tendency to generalize across groups and ignore individual differences. Because objective measures of performance are not always available, subjective errors are inherent in performance evaluation. There is no easy, practical solution to such problems associated with ratings. However one approach to minimize the problem is, to ask supervisors to share, discuss, and justify their ratings of employees with others (for example, the supervisor's manager or a panel of peers). This approach might help calibrate ratings made by different supervisors and lessen unjustifiable leniency in ratings.

2.4.2.3. Performance Appraisal Forms

While the specific design and construction of the form varies from one organization to another, five elements should appear in every performance appraisal form (Grote, 2002):

- **Organizational core competencies:**-should include specific competencies that the organization expects all of its members to display.
- **Job family Competencies:-** Consists of competencies needed for different job families (e.g. professional) technical, managerial/supervisory job families)
- **Key job responsibilities**– The key job responsibilities section of the appraisal form focuses more specifically on what the individual is expected to do.
- **Projects and goals:**-These are the individual's activities that are beyond the specific tasks and duties outlined on a job description.
- **Major achievements:** help the manager to identify the major accomplishments that the individual was responsible for over the course of the year.

2.4.2.4. The Uses of Performance Appraisal/Evaluation

(Grote2002) identified the following benefits:

Providing Feedback:-Providing feedback is the most common justification for an organization to have a performance appraisal system. The employees learn how well they did the task over the past and then use that information to improve their performance in the future.

Facilitating Promotion Decision- Performance appraisal makes it easier for the organization to make good decisions about making sure that the most important positions are filled by the most capable individuals.

Facilitating Lay off or Downsizing Decision- When economic realities force an organization to downsize, performance appraisal helps make sure that the most talented individuals are retained and that only the organization's marginal performers are cut loose.

Encouraging Performance Improvement-A good performance appraisal points out areas where individuals need to improve their performance.

Motivating Superior Performance- performance appraisal motivates people to deliver superior performance by helping them learn what the organization considers to be superior, and to demonstrate their actual performance.

Setting and Measuring Goals-The performance appraisal process is commonly used to make sure that every member of the organization sets and achieves effective goals.

Counselling Poor Performers-Performance appraisal forces managers to confront those whose performance is not meeting the company's expectations.

Determining Compensation Changes-Performance appraisal provides the mechanism to make sure that those who do better work receive more pay.

Encouraging Coaching and Monitoring- Performance appraisal identifies the areas where coaching is necessary and encourages managers to take an active coaching role.

Supporting Manpower planning—performance appraisal gives companies the tool they need to make sure that they have the intellectual horsepower required for the future.

Determining Individual Training and Development Needs- if the performance appraisal procedure includes a requirement that individual development plans to be determined and discussed, individuals can then make good decisions about the skills and competencies they need to acquire to make a greater contribution to the company.

Determining Organizational Training and Development Need- By reviewing the data from performance appraisals, training and development professionals can good decisions about where the organization should concentrate company-wide training efforts.

Validating Hiring Decisions- only when the performance of newly hired individuals is assessed can the company learn whether it is hiring the right people.

Providing Legal Defensibility for personnel Decisions- A solid record of performance appraisals greatly facilitates legal defensibility when a complaint about discrimination is made.

Improving Overall Organizational Performance-A performance appraisal procedure allows the organization to communicate performance expectations to every member of the team and assess exactly how well each person is doing. When everyone is clear on the expectations and knows exactly how he is performing against them, this will result in an overall improvement in organizational success.

2.5. Performance Evaluation in Educational Institutions

Today teachers are involved in so many activities like planning updating course, developing learning environment, facilitating discussion, creating interactive environment where students can suggest solutions, preparation of tests, assignment setting, providing feedback and proper consulting of students. Similarly, university teachers are not only responsible for giving their students proper insight of subject but also responsible to make their overall personality and vision in order to make the students successful professional. Such varied and widespread responsibility demands a systematic teacher's evaluation system (Danial, 2011).

Teachers must be oriented to the evaluation instruments and to the specific procedures to be used in their performance evaluation.

In particular they must be made aware of the evaluation components, competencies and indicators for measuring effective teaching performances. The intent is to make teachers aware of those competencies that are to be assessed and those competent of class room performance and professional conduct that must be meet the institution standards and are viewed as essential to successful teaching (Scott, 2008).

2.5.1 Responsibilities of Academic Staffs (proclamation No. 650/2009)

As per Ethiopian higher education proclamation (art.19) unless specifically established otherwise, the core business of any institution shall be to offer education and training through regular programs, conduct research, and render community services. Accordingly, every academic staff member of an institution shall have the responsibilities to

Teach, including assisting students in need of special support, and render academic guidance or counselling and community services.

- ❖ Undertake problem-solving studies and researches and transfer knowledge and skills that are beneficial to the country.
- ❖ Participate in curriculum development, review, and enhancement; and the required professional standard in curriculum delivery, student assessment, grading, counsellingin professional ethical standards in general.
- ❖ Uphold, respect and practice the objectives of higher education and the guiding values of the institution..... that is consistent with the applicable provisions of this proclamation.
- ❖ Counsel, assist and support students in acquainting themselves with the mission and guiding values of higher education.

- ❖ Perform other additional responsibilities that may be provided for by the senate statutes.
- ❖ Devote his full energy, working time and attention to the institution.

This implies that staff evaluation should be based on the key functions of the institution and the evaluation criteria should reflect the entire activities for which the staffs are responsible.

On the same proclamation, art.31 (f) academic staffs have the right to participate in formulations of institutional direction, plans, regulations, and in curricula development and make comments on the quality and appropriateness of the teaching-learning process. Sub-article (g) of the same article guaranteed that “staff should be informed of his/her performance evaluation results and of any records kept in his personal file. They should also be informed on the plan, development, direction, condition and performance of the institution (art 31/I).

2.5.2. Aims and Objectives of Teacher’s evaluation

Teacher evaluation has typically two major purposes First, it seeks to improve the teacher’s own practice by identifying strengths and weaknesses for further professional development – **the improvement function**. Second, it is aimed at ensuring that teachers perform at their best to enhance student learning –**the accountability function**.

Teachers evaluation for improvement (formative evaluation) focuses on the provision of feedback useful for the improvement of teaching practices, namely through professional development. It involves helping teachers learn about, reflect on, and improve their practice.

This typically occurs with account of the school context so professional development opportunities of an individual teacher are aligned with the school development plan. Without a link to professional development opportunities, the evaluation process is not sufficient to improve teacher performance, and as a result, often become a meaningless exercise that encounters mistrust- or at best apathy-on the part of teacher being evaluated.

The accountability function (summative evaluation) of teacher evaluation focuses on holding teachers accountable for their performance, and as a result, often become a meaningless exercise that encounters mistrust-or at best apathy-on the part of teachers being evaluated.

The accountability function (summative evaluation) of teacher’s evaluation focuses on holding teachers accountable for their performance associating it to a range of consequences for their career. It seeks to set incentives for teachers to perform at their best. It typically

entails performance-based career advancement and/or salaries, bonus pay, or the possibility of sanctions for underperformance.

Combining both the improvement and accountability function into a single teacher evaluation process raises difficult challenges. When the evaluation is oriented towards the improvement practice with in schools, teachers are typically open to reveal their weaknesses, in the expectation that conveying that information will lead to more effective decisions on developmental needs and training. However, when teachers are confronted with potential consequences of evaluation on their career evaluation model rather they use a unique combination that integrates multiple purposes and methodologies (OECD Reviews December, 2009).

Methods of evaluating Personnel in Education

There are basic types of evaluation: summative, normative, norm-referenced, and criterion-referenced.

Summative evaluation- is evaluation that is conducted at the end of the activity or period of time and is designed to assess terminal behaviours or overall performance. It is used to make personnel decisions regarding such matters as contract renewal, tenure, merit pay assignment to levels of carrier ladders, and termination. The person being evaluated is not involved in summative evaluation process and only be informed of the result of the decision.

Formative evaluation-is an on-going evaluation designed to provide feedback to the person being evaluated for the purpose of self-improvement. The formative evaluation involves the person being evaluated because its purpose is the improvement of performance.

Norm-referenced evaluation- is evaluation that compares the individual's performance with that of other employees or with the average of the larger group.

Criterion- referenced evaluation—compare employee's performance not to any other person/s but to an established standard and allows for tracking of an employee's attainment of specific objectives (Dean W. and Scott N.1999).

2.5.3 Assessment Criteria of Academic Staffs.

Like most public and non-profit institutions, institutions of higher education need to define measures of success in the process of managing their performance. They often don't have fully defined mission statements and their business goals are intangible and vague, making it difficult to identify critical success factors and performance indicators. However, based on the nature of their activities, performance is measured through the use of numerous qualitative indicators, which are difficult to quantify (Ana Maria 2010).

The "products" of the university should flow from the mission statement of the university. They are multi-dimensional and include: an educated workforce (through teaching), additions to the body of knowledge via **research; and community service**.

Attempts to measure the educational product focus on the measurement of the teaching process (using student evaluation, peer evaluations, self-evaluations etc.).

The product of research is much easier to evaluate and quantify. It is evidenced by the number of publications. Some methods are as simple as number counts, the use of weighted indices to identify refereed and non-refereed journals or books, ranking journals by reputation, and counting the number of citations given to a published work. Although all methods have their own limitations, they at least provide a more general guide to measure research responsibilities.

Service can be defined as the use of professional expertise in activities which further the goals of the university. Service is divided into two components: internal (serving on campus) and external (off-campus service) such as taking on responsibility in a professional organization (Melissa, 1999).

According to (Ana Maria, 2010) understanding, planning, measuring and evaluating performance of an organization and its processes is impossible without identifying critical success factors, performance indicators and, especially, the key performance indicators. Key performance indicators are a set of measures focused on those aspects of organizational performance that are most critical for current and future success of the organization. Therefore, teacher evaluation procedures require setting up evaluation criteria to determine the level of performance of individual teachers for each of the aspects assessed. This typically implies the development of indicators and/or standardized forms to record teacher performance (OECD Reviews, 2009).

They are influenced by extraneous factors such as student's characteristics e.g. (race, sex, age, academic, material, biases towards the course and the teacher) teacher characteristics:- e.g. race, gender, rank, experience, weight, dress etc and other environmental characteristics:- e.g. physical attributes and the atmosphere of the classroom (Din et al, 2006).

Although there is variation in research findings it is believed that student evaluations should be only used for faculty development (formative purpose) and not for summative purposes. A valid student evaluation system should use criteria based on weighted measures of identified characteristics relating to student learning outcomes and must be properly administered, examined and controlled for bias. (Dean W. and Scott N.1999), also added that, in developing and using student evaluation care should be taken to ensure questions are only asked about topics for which the students are expected to have answers and be directly related to the teaching-learning process or to

Schools and teachers objectives that the students can reasonably expected to know about.

- c. **Peer review**- the process by which an employee performance is judged by colleagues. As a result of their observation, colleagues can provide judgmental information on teacher's performance. The evaluation also includes examination of instructional materials prepared by the teachers. A number of reservations do exist about the use of peer review. It has a problem of validity and reliability. Therefore, the evaluation should not lead to major decisions like promotion and salary increments unless faculty members invest much more time in observation of performance. Generally those institutions who adopted colleague evaluation for teaching improvement but not for personnel decisions have been successful in improving teaching capabilities of their teaching faculty.
- d. **Self-evaluation**:-self-evaluation is essential in teacher Performance assessment as it provides chance for exploring his/her weak areas in teaching and to improve it. However (Bayley1967) cited in (Danial 2011), argues that it lead teachers to self-delusion that he is the best, and maybe hides his weak areas and acquires defensive behaviour instead of being open and realistic about his teaching. But if data is carefully gathered in harmonized format and interpreted judiciously, self -evaluation can authentic source of information in evaluation process. To ensure the maximum value derived from self-evaluation the supervisor Should discuss self- evaluation with the employee without placing value judgment on it but, rather focusing on the basis for the employees

judgments. If there is a difference in perception of performance between the employee and the supervisor, data that lead to conclusion should be discussed in a non-confrontational manner (Dean W. and Scott N. 1999).

E. department head evaluation

The department head is responsible for his/her department staff performance and development. Usually, he/she writes performance report which includes data from all resources, and his own observation. Based on the summarized data he/she makes proper decisions concerning an individual faculty member.

Other methods like observation of teacher actual teaching, portfolios (collection of sample of individual's best work), assessment centers (location where staffs participate in serious of activities) and etc, can be used as a source of information for evaluating personnel in education. Multiple sources build on the strengths of all sources, while compensating for the weakness in any single source.

2.5.4 Standards of Sound Evaluation System

A sound evaluation system must meet technical and legal standards. Technical standards (validity, reliability, utility and propriety are concerned with accuracy the measurements and insuring the evaluation system in ethical and faire to all parties. Whereas legal standards are intended to insure the system meets substantive and procedural due process requirements and is free from discrimination.

Technical standards

Validity – is the most important attribute of assessment system. It is concerned with the extent to the evaluation measures the performance it is intended to measure. The clarity of criteria, Standards, data collection procedures and the competency of the evaluations all affect Validity.

Reliability- refers to the consistency of measurements across evaluators and observations. To overcome reliability problems it is important to use multiple sources of data.

Utility and feasibility- Related to both reliability and validity and refer to realistic consideration that must be addressed to ensure each.

Propriety- evaluation should conduct ethically and with regard for staff, students and other clients.

Legal standards

Substantive due process- concerned with the objectivity of the criteria (consistent with the institutional requirement, communicated well, uniformly applied, developed in cooperation with employees etc. Standards, the evidence collected from multiple sources, sufficient in quantity, credible etc), and the results.

Procedural due process standards – are concerned with fairness of evaluation process.

The evaluation should be conducted in uniform and consistent manner, provide opportunity to remediate deficiencies, provide opportunity to react to unsatisfactory evaluation etc. (Dean W. and Scott N. 1999)

CHAPTER THREE

3. THE RESEARCH METHODOLOGY

In this chapter, the practical method used in order to answer the research questions and to meet the objective of this research will be presented. Like, the research approach, the research design, the research method, sampling techniques, data collection techniques and data analysis and presentation techniques.

3.1 The Research Approach

In this study both quantitative and qualitative research methods will be applied. The quantitative method is used by considering 190 populations by simple random sampling method in the University under the study employees, and questionnaires have been distributed to the respondents.

The qualitative method is used by conducting interview with one college dean, department head, and human resource department head.

3.2 Research Design

There are two types of research design. Like exploratory and descriptive research design. Therefore, the researcher will be used the descriptive research design.

(C.R. Kothari 2004), identified that to describe the characteristics of a particular Phenomena, descriptive research is preferable. It is concerned with specific predictions, with narration of facts and characteristics concerning individual, group or situation. According to (Best 1970), cited in (Louis Cohen et al. (2007), descriptive research is concerned with: conditions or relationships that exist, *practices that prevail*, beliefs, points of views, or attitudes that are held, *processes that are going on*, effects that are being felt, or trends that are developing.

(Geoffrey Marczyk et al. 2005), added that by gathering data on a large group of people, descriptive research enable the researcher to describe the average member, or the average performance of a member, of the particular group being studied.

3.3 The Research Methods

In this part sampling techniques, data collection techniques and procedures, data analysis and presentation techniques will be presented.

3.3.1 Sampling Techniques

There are two types of sampling techniques. These are probability and non-probability sampling techniques. In this research the researcher will be used probability sampling of

simple random sampling because, it will give equal chance to all participant to be selected or ,in addition, the selection of any unit does not affect the selection of the others.

For interview purpose: one college dean, one department head, and human resource head

Selected through purposive sampling method.It is used in order to assess “knowledgeable people”.

The sample size is calculated by using (YemaneTarro’s) sampling techniques. The target population of the research are employees of academic staffs in Wachamo University which are 600 and the precision level is 5%.

Using the table (Yemane, 1967) the sample size for the research are 190 employees.

$$n = \frac{N}{1 + N(e)^2}$$

Where:

n=sample size of the population

N=total no of the target population

e=precision level

3.3.2 Data Collection Techniques and Procedures

The data for this research will be obtained from both primary and secondary sources. The primary sources will be including: instructors, department head, faculty head, and human resources head of Wachamo University employees to get adequate information on

performance appraisal practices. The Secondary data is gathered from instructors –

evaluation form, books and reputable journals. From primary sources information is collected through questionnaire (close-ended and open-ended) and also semi-structured interview.

From instructors, information about goal clarity, staff participation in performance planning, and the use of appraisal is collected through five point rating- scale questionnaire.

3.3.3 Data Analysis and Presentation Techniques

The researcher used descriptive statistics. The data is collected through questionnaires are analysed by using descriptive statistical techniques using mean, percentage and frequency distribution. Mean analysis is used to recap information to better understanding the subject matter. Percentage and frequency is used to arrange data both in tabular and graphical formats. The frequencies and percentages is used to analyse the demographic variables, and

to display the total number of observations for the overall performance appraisal. The qualitative data that is collected from unstructured interviews were analysed by description of facts in qualitative terms.

3.3.4 Ethical Consideration

The researcher will treat all the information given by customers and kept confidentially without disclosing the respondent's identity and would not be used for any personal interest. Furthermore, the questionnaires will be distributed only to voluntary participants. Lastly, all secondary sources will be quoted to keep the rights of ownership of all materials.

3.3.5 Validity and Reliability

According to the definition of Kothari (1990) Validity is the most critical criterion and indicates the degree to which an instrument measures what it is supposed to measure.

Reliability estimates the consistency of the measurement or more simply, the degree to which an instrument measures the same way each time it is used under the same conditions with the same subjects. Robert Raeside and David White (2007)

In order to ensure the validity and reliability of the research, the researcher will distribute some questionnaires to the sample of the intended population and subject area experts as a pilot test before a full-fledged study of the research. Also, questionnaires of previous researchers in the area will be used with some modification that helped the respondents to understand easily.

CHAPTER FOUR

This chapter deals with a detail presentation and analysis of the data .to collect the data required for the purpose of the study, a total number of 190questionnaires were distributed. Out of these 11(5.8%)them were not returned. Therefore, the analysis presented hereafter is based on the response of 179(94.2%)respondents.

4.1Demographic characteristics of the respondents

This part is concerned with summarizing the biographic data of the respondents.

Table 4.1 Respondents sex distribution and their college

| | | College | | | | | | Total |
|-------|--------|------------|-------------|------------------------|-----------------|---------------------|----------------|-------|
| | | Technology | Agriculture | Business and Economics | Natural Science | Medicine and Health | Social Science | |
| Sex | Male | 48 | 11 | 20 | 46 | 11 | 29 | 165 |
| | Female | 8 | 0 | 0 | 2 | 4 | 0 | 14 |
| Total | | 56 | 11 | 20 | 48 | 15 | 29 | 179 |

Source: Own survey, 2017

Respondent's sex distribution by their college shows that the majority of the respondents (92.2%) were male and the remaining (7.8%) were female. In terms of their college 48,11,20,46,11,29 respondents were belongs to institute of technology, college of agriculture, business and economics, natural science, medicine and health and social science respectively.

Among the remaining fourteen female respondents, 8 belongs to technology, 2 to natural science, and 4 of them belongs to college of medicine and health science.

Table 4.2: Respondents work experience and their academic rank

| | | Employees Academic Rank | | | | | | | |
|-----------------|-----|-------------------------|---------------------|---------------------|-----|----------|-------------------|--------------------|-------|
| | | Professor | Associate Professor | Assistant Professor | PhD | Lecturer | Assistant Lecture | Graduate Assistant | Total |
| Work Experience | 1-3 | | 0 | | 3 | 40 | 34 | 40 | 115 |
| | 4-6 | 0 | | 0 | 0 | 59 | 3 | 0 | 63 |
| | 7-9 | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 1 |
| Total | | 2 | 2 | 1 | 1 | 99 | 34 | 40 | 179 |

Source: Own survey, 2017

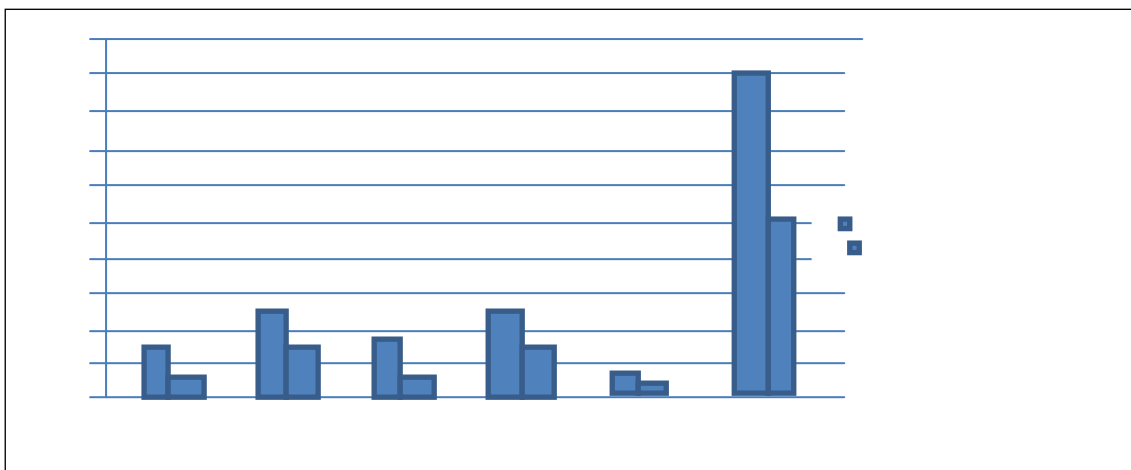
Respondents work experience in the university indicated that the majority of them i.e 115(64.2%) respondents have 1-3 years of experience, 63(35.2%), of them have 4-6 years of experience and only 1(0.6%) respondent has 7-8 years of experience. In terms of their academic rank; the respondents were comprised of ; 2(1.1%) professor,2(1.1%), associate professors,1(0.6%) assistant professor,1(0.6%)PHD,99(55.3%),lectures,34(19%) assistant lectures and 40(22.3%),graduate assistants. The researcher believed that these combinations of respondents were good enough in revealing accurate information about the issues under investigation. Because, as a result of their experience and academic rank; respondents came across many performance evaluation events. This might have helped them to clearly understand the current performance management practices of the university and they can easily identify the weaknesses and strengths of the evaluation system as it actually occurs in their department

4.2 Performance Planning

The second part is about performance planning where employees' response regarding their participation in performance planning, the existence of clear goals and other related variables were analyzed. For the purpose of reporting the findings the values of strongly agree and agree were added up to represent employees agreement for the statement and the values of strongly disagree and disagree together represent employees disagreement. Moreover, some tables mean scores were calculated. In this case, for the purpose of interpretation the mean of the values of scale was used as a reference point and the values below the reference point represent negative response and the values above the point shows positive response.

Figure 4.1: Employees awareness of strategic objectives of the university.

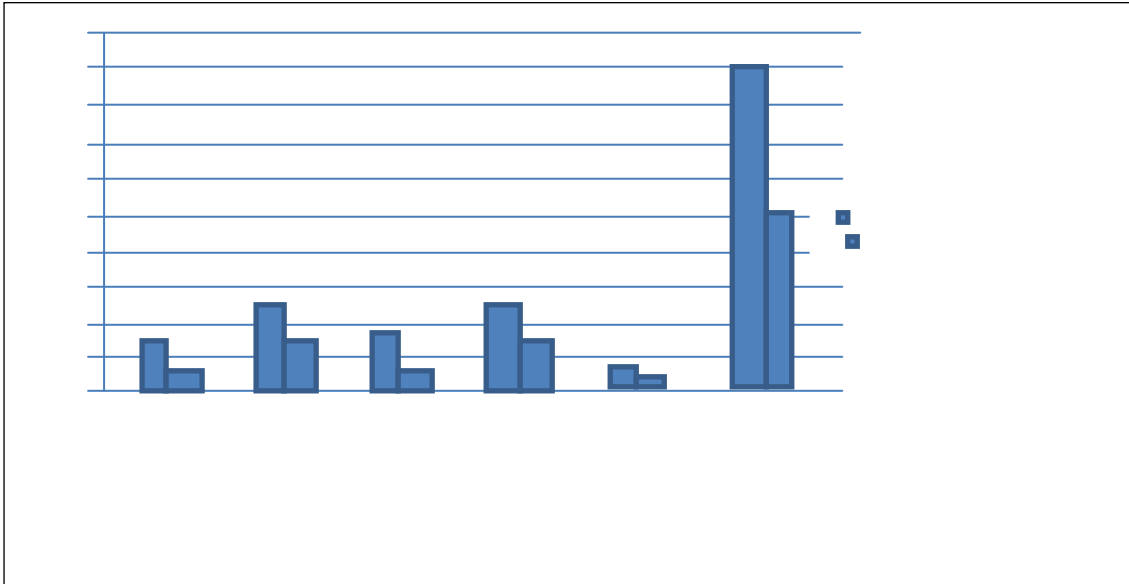
Fig 4.2 Employees awareness of performance evaluation objectives and processes



The graph shows 66% of the respondents agreed that they know the strategic objectives of the university; whereas 17% of the respondents were neutral and the remaining 17% replied that they are not aware of the universities' strategic objectives. Even though, above average respondents are clear about the strategic objectives of the university, this is not enough for the institution to make its employees more focused on its key activities .

The employee's lack of awareness about the strategic objective might be due to communication gap in the university as a whole or due to gap at departmental level. since organizations operate as a system each and every of its member should have a shared understanding about the strategic objective

Fig 4.2 Employees awareness of performance evaluation objectives and processes



SD=strongly agree, D=disagree, NAD=neither agree nor disagree, A=agree, SA=strongly agree

As shown in the graph 33.5% agreed that the objectives of performance management system were clearly described to them. This implied that, the process and objectives of evaluation were not well communicated in the university. But, for the institution to use the system as an effective means of managing performance, participants (employees) must be aware of the performance evaluation processes and objectives .otherwise, they do not see any importance in it and don not take a sense of ownership to effectively implement the system.

Ta40ble 4.3 Employees Participation in Performance Planning

| Item | Response | | | | | | | | | | Total | | Mean |
|---------------------------------------|----------|------|----|------|----|------|----|------|----|------|-------|-----|------|
| | SD | | D | | NA | | A | | SA | | C | % | |
| | C | % | C | % | C | % | C | % | C | % | | | |
| Joint goal Setting Process | 38 | 21.2 | 45 | 25.1 | 45 | 25.1 | 36 | 20.1 | 15 | 20.1 | 179 | 100 | 2.69 |
| Participation in Performance planning | 40 | 22.3 | 49 | 27.4 | 40 | 22.3 | 38 | 21.2 | 12 | 6.7 | 179 | 100 | 2.63 |

Source: Own survey, 2017

To examine the role of employees in goal setting process and their participation in performance planning , respondents were asked to indicate their level of agreement regarding the extent to which goal setting process is carried out jointly by the employees and their supervisors and the degree of their participation in performance planning. With respect to joint goal setting process 28.5% of the respondents agreed that there is a joint goal setting process in the university,25.1% were indifferent, and the rest 46.3%replied that goals are not set jointly. According to the literature if goal setting isn't a part of the performance management process, it will result in spending time on activities that don't generating a lot of return but are done because they are familiar. This is because; it provides them with an increased understanding of the expectations and strategies for goal accomplishment. Regarding participation 27.9% agreed that they participate in performance planning,23.3% were neutral and the majority 49.7% indicate that they were not given opportunity to participate in performance planning. however according to literature performance planning is not an exclusive activity of the supervisor rather, it is a process by which the manager and the individual get together to discuss upon what the person will achieve over the next period and how the person will do the job.as we can see from the respondents' response, this is not the case in the university. In search of additional evidences about the issue of participation in performance planning interviewees were asked the question, do staff participate in performance planning. their response was NO they do not

participate in performance planning, but they have part in the evaluation because they have to evaluate their colleagues and their bosses.

Table 4. 4: Respondents agreement on the extent to which their department goals are SMART.

| Item | Response | | | | | | | | | | Total | | Mean |
|-----------------------------------|----------|------|----|------|----|------|----|------|----|------|-------|-----|------|
| | SD | | D | | NA | | A | | SA | | C | % | |
| | C | % | C | % | C | % | C | % | C | % | | | |
| 1 Specific and time related goals | 10 | 5.6 | 22 | 12.3 | 43 | 24 | 79 | 41.1 | 25 | 14 | 179 | 100 | 3.49 |
| 2 Realistic and achievable goal | 9 | 5 | 15 | 8.4 | 32 | 17.9 | 84 | 46.9 | 39 | 21.8 | 179 | 100 | 3.72 |
| 3 Setting challenging | 24 | 13.4 | 52 | 28.5 | 48 | 26.8 | 37 | 20.7 | 19 | 10.6 | 179 | 100 | 2.87 |

Source: Own survey, 2017

To analyze the extent to which goals set in the university are specific, measurable, attainable, realistic, time bound and challenging, respondents were asked to indicate their level of agreement on five point rating scale. accordingly with respect to goal specificity and time relatedness 17.9% present of the respondents replied that the goals set in the institution are not specific and time bound, 24%of respondents were neutral and the majority of 58.1%agreed that goals are specific and time related. As show ion the item two, 68.7% of the respondents answered that goals are realistic and achievable, 17.9%were indifferent and only 13.4%replied negatively. In both cases, item one and two, the mean score 3.49and 3.72 respectively are above average (the mean score of the scale i.e 3) which implies that department goals have the specified characteristics. Furthermore, respondents were also asked to indicate their agreement on whether the goals set in their department have a moderate level of challenge. their response for item 3on the same table shows 41.9% replied that their department goals are not challenging, 26.8%were neutral and the remaining 31.3%agreed that their department goals are challenging. the terms of the mean score 2.87is less than the

expected mean of 3 which shows a relatively large number of respondents believed that their department goals are not challenging. Literature recommends that, relatively challenging goals are necessary to stimulate high standards of performance and to encourage progress. In fact managers shouldn't set unreachable goals, and also shouldn't make things too simple. As long as the objectives they pick are reasonable and realistic, a moderate level of challenge is good for their employee and their company as a whole.

Table 4.5: clarity of job responsibilities

| | | Frequency | Percent | Cumulative percent |
|--|----------------------------|-----------|---------|--------------------|
| I'm clear with my job responsibilities | Strongly disagree | 2 | 1.1 | 1.1 |
| | Disagree | 11 | 6.1 | 7.3 |
| | Neither agree nor disagree | 8 | 4.5 | 11.7 |
| | Agree | 63 | 35.2 | 46.9 |
| | Strongly agree | 95 | 53.1 | 100.0 |
| | Total | 179 | 100.0 | |

Source: Own survey, 2017

As shown on the above table, a significant number of 88.3% of employees were agreed that they clearly know their job responsibilities, 4.5% were indifferent, and the remaining 7.2% were replied that they are not clear on what their job responsibilities are. Employees understanding of their main responsibilities are very essential in avoiding confusions and help employees focus on key activities rather than wasting time and energy on trivial activities

Table4.6: Clarification of performance expectations, ways of evaluation, standards and KPI

| Item | Response | | | | | | | | | | Total | | Mean |
|---|----------|------|----|------|----|------|----|------|----|-----|-------|-----|------|
| | SD | | D | | NA | | A | | SA | | C | % | |
| | C | % | C | % | C | % | C | % | C | % | | | |
| 1 Explanation of performance expectations | 16 | 8.9 | 34 | 19 | 41 | 22.9 | 63 | 35.2 | 25 | 14 | 179 | 100 | 3.26 |
| 2 Agreement on performance measures | 35 | 19.6 | 41 | 22.9 | 33 | 18.4 | 53 | 29.6 | 17 | 9.5 | 179 | 100 | 2.87 |
| 3 Supervisors explanation of performance standard | 34 | 19 | 43 | 24 | 32 | 17.9 | 56 | 31.5 | 14 | 7.8 | 179 | 100 | 2.85 |
| 4 Explanation of success criteria | 20 | 11.2 | 48 | 26.8 | 46 | 25.7 | 52 | 29.1 | 13 | 7.3 | 179 | 100 | 2.94 |

Source: Own survey, 2017

To assess the attempts made by the supervisors in explaining their performance expectations, employees were asked to indicate their level of agreement on whether supervisors clearly communicate their performance expectations. Accordingly, 49.2% agreed that supervisors explained their expectations, 22.9% remained neutral and 27.9% replied that their supervisors didn't explain what he/she expects from them. Responses of relatively large employees was positive response which might refers to the practice that department heads usually did, to offer courses and to discuss upon different issues through department meeting. However, performance expectation of the institution as a whole should be equally communicated to all employees. Participants of the study were also asked whether they reached an agreement with their supervisors on how their performance was measured(evaluated).On the same table item number two shows 39.1% of the respondents agreed on how their performance was measured, 18.4% remained neutral, and the remaining 42.5% replied they didn't agreed up on

how their performance was measured. However, among the legal standards of sound evaluation discussed in the literature substantive due process is concerned with the objectives of the criteria i.e. they should be consistent with the institutional requirement, communicated well, uniformly applied and developed in cooperation with employees. But, the employee's response indicates that, the evaluation procedure is against this standard. Item three is about whether the performance evaluation standards were communicated to employees. In this regard, 39.3% of the respondents agreed that their supervisors explained the evaluation standards, 17.9% were indifferent and 43% negatively replied i.e the evaluation standards were not communicated to them. Clarification of performance standards to employees is necessary to guide the behavior of the employees as well as to provide a basis for appraisal. But the institution is lacking this element. Item four is designed to reveal whether departments have a success criterion that helps them to keep track of the desired results and behaviors. As shown in the table, 36.4% replied that the success criteria were indicated, 25.7% were indifferent and 38% replied that success criteria were not indicated in performance planning of their departments. An effective performance management program should assist in the establishment of key result indicators. This is because; they are the basis of performance monitoring and measurement system.

Table 4.7: Extent to which department goals are congruent with university's goals

| Item | Response | | | | | | | | | | Total | | Mean |
|---|----------|-----|----|------|----|------|----|------|----|------|-------|-----|------|
| | SD | | D | | NA | | A | | SA | | C | % | |
| | C | % | C | % | C | % | C | % | C | % | | | |
| 1 Individual goals support strategic objective | 6 | 3.4 | 13 | 7.3 | 40 | 22.3 | 82 | 45.8 | 38 | 21.2 | 179 | 100 | 3.74 |
| 2 Agreement on performance measures | 4 | 2.2 | 19 | 10.6 | 41 | 22.9 | 73 | 40.8 | 42 | 23.5 | 179 | 100 | 3.73 |
| 3 Supervisors explanation of performance standard | 2 | 1.1 | 13 | 7.3 | 51 | 28.5 | 76 | 42.5 | 37 | 20.7 | 179 | 100 | 3.74 |

the departments and all departments are expected to act within the strategic themes identified, however the researcher observed that the practice is not as promised.

The internal analysis of the university identified that prior to the formation of this strategic plan, the institution has problems like weak human resource planning, recruitment, selection, assignment and appraisal mechanism, weak human resource handling mechanism and problems of aligning day to day activities with strategy. Hoping to alleviate these problems the current strategic plan was developed on the basis of BSC concepts. There is no doubt that the system helps the institution to align the corporate and departmental objectives. But the researcher believed that what matters most is putting the system into practice.

It is indicated on the plan that the university needs to accurately measure the true performance of the organization. For this to happen, all measures, targets, and KPI should be well known by all participants. In this regard the good thing is measures and targets are clearly specified as important aspects of strategic plan and they are clearly documented. Under this section measures and targets at the level of the whole organization are specified. even they holds common to all measures are numerically stated as, less than 95%of the targets in the strategic plan refers to un satisfactory result, 95-98%(satisfactory), 98-100%(excellent) and more than 100%extra ordinary performance, achievements of which could result in special reward for the performers.

In contrast the employee's response regarding agreement on measures, standards and explanation of success criteria shows negative response, meaning they are not clear with such issues. Thus it can be said that a communication gap.

4.3 Performance Assessment

The analysis under this part is concerned with the practice of performance assessment in the university. To grasp important information

That enable the researcher to examine the basis of employee evaluation, its accuracy, information sources for evaluation and employees credence of each sources; employees were asked some questions related to the area of the research interest.

The analysis of the responses on those variables of interest is presented as follows.

Table 4.8: Basis of performance assessment

| | Item | Response | | | | | | | | | | Total | | Mean |
|---|--|----------|------|----|------|----|------|----|------|----|------|-------|-----|------|
| | | SD | | D | | NA | | A | | SA | | C | % | |
| | | C | % | C | % | C | % | C | % | C | % | | | |
| 1 | Assessment is based on the agreement reached jointly | 28 | 15.6 | 46 | 25.7 | 35 | 19.6 | 50 | 27.9 | 20 | 11.2 | 179 | 100 | 2.93 |
| 2 | Assessment covered what is required from employee to do their job | 12 | 6.7 | 26 | 14.5 | 31 | 17.3 | 81 | 45.3 | 29 | 16.2 | 179 | 100 | 3.50 |
| 3 | Employee's assessment is based on the entire range of their responsibility | 8 | 4.5 | 31 | 17.3 | 50 | 27.9 | 62 | 34.6 | 28 | 15.6 | 179 | 100 | 3.40 |

Source: Own survey, 2017

Item one of table 3.8 indicated that 39.1% of the respondents replied that their performance assessment was based on the joint agreement they reached with their supervisors, 19.6% were indifferent, and 41.3% replied that assessment is made based on things that they didn't agree jointly with their supervisors. The mean score (2.93 < 3) implies that employees have limited opportunity to mutually agree on the basis of the evaluation.

However from the literature point of view if both of them haven't had a meaning full dialog about what is expected, it will be difficult for the manager to honestly and ethically assess how well the individual has done the task.

Item two is about whether employee's assessment covered the relevant inputs that employees need to accomplish their task successfully. One of the total participants 21.2%, 17.3%, 61.5%, replied disagree, neutral and agree with the statements respectively.

On item three 21.8% of the respondents asserted that employee assessment didn't consider what they are responsible for, 27.9% were indifferent, and 50.2% claimed that employee assessment covered all responsibilities that an employee should carry out in the university. The interview response in relation to this was, staff assessment covers their responsibilities but it is not **exhaustive**. What can be said from item two and three is that since the mean score 3.50, 3.4 respectively are more than expected mean score (

3) of the scale. It shows that more than average respondents believed that their assessment covered those things that employees need to do their task effectively. In other word it means the assessment reflects those elements in their job description. With respect to above points, to get some additional information, instructors' evaluation forms were reviewed as a secondary source.

Contents of the form in fact reflect what instructors are supposed to do in terms of both behavior and results. But there are also some criteria that that the researcher believed that, it is difficult to evaluate some one such ground. For example on peer evaluation form, staffs are expected to evaluate their peer on whether she/he attempts to free him/herself from habits of alcoholic drink and other addicts. Since such behaviors are hardly observable in the work environment, it would be difficult to judge some in this respect, plus it seems controlling some ones personal affairs outside the work environment. Moreover on student evaluation form there is a criterion that deals with whether instructors provide sufficient teaching aids for their students. Even if that may not be the case all time, reservation of the researcher in here is how it could be possible for the instructor to provide sufficient materials when in fact they are not available in the institution itself. Such related issues were also raised by respondents on the open ended section left for their comment.

Table 4.9: The Focus of Performance Evaluation

| | Item | Response | | | | | | | | | | Total | | Mean |
|---|---------------------------------------|----------|-----|----|------|----|------|----|------|----|------|-------|-----|------|
| | | SD | | D | | NA | | A | | SA | | C | % | |
| | | C | % | C | % | C | % | C | % | C | % | | | |
| 1 | Rating based on how well work is done | 6 | 3.4 | 39 | 21.8 | 45 | 25.1 | 63 | 35.2 | 26 | 14.5 | 179 | 100 | 3.36 |
| 2 | Rating based on how much work is done | 13 | 7.3 | 36 | 20.1 | 40 | 22.3 | 66 | 36.9 | 24 | 13.4 | 179 | 100 | 3.29 |

Source: Own survey, 2017

Item one and two on the above table were aimed to highlight whether employees assessment takes in to account the quality and quantity of task

accomplishment. Item one shows that 25.2% responded rating is not based on how well

Work is done, 25.1% remained indifferent and the rest 49.5% acknowledged that performance rating is based on how well work is done. With respect to the quantity of work accomplishment ,27.4%claimed performance rating does not consider the quantity of the work done,22.3%were neutral and 50.3%affiremde that performance rating considers the quantity of work done. In this regard, literatures also suggest that, performance assessment requires consideration of both behavior and result. For quantifiable results we have to assess both quality and quantity. For this that cannot be quantified, outcomes measure like changes in behavior; acquisition and effective use of additional knowledge and skills have to be assessed.

Table 4.10 : Accuracy of Performance Rating

| | Item | Response | | | | | | | | | | Total | | Mean |
|---|--|----------|------|----|-------|----|------|----|------|----|------|-------|-----|------|
| | | SD | | D | | NA | | A | | SA | | C | % | |
| | | C | % | C | % | C | % | C | % | C | % | | | |
| 1 | Performance rating is a waste of time | 32 | 17.9 | 38 | 21.32 | 53 | 29.6 | 32 | 17.9 | 24 | 13.4 | 179 | 100 | 2.88 |
| 2 | Accuracy of the rating received | 28 | 15.6 | 41 | 22.9 | 44 | 24.6 | 52 | 29.1 | 14 | 7.8 | 179 | 100 | 2.91 |
| 3 | Consistent application of rating criteria across employees | 16 | 8.9 | 39 | 21.8 | 53 | 29.6 | 57 | 31.8 | 14 | 7.8 | 179 | 100 | 3.20 |
| 4 | Raters reflection of personal like/ dislike in evaluation | 11 | 6.1 | 28 | 15.6 | 61 | 34.1 | 54 | 30.2 | 25 | 14 | 179 | 100 | 3.30 |
| 5 | Student evaluation reflects teachers popularity than their performance | 12 | 6.7 | 23 | 12.8 | 39 | 21.8 | 40 | 22.3 | 65 | 36.3 | 179 | 100 | 3.69 |

Source: Own survey, 2017

On item one of table 3.10, respondents were asked whether they consider performance rating as a waste of time. In this case, 31.3% agreed that the current performance rating is a west of time, 29.6% were middle -of -the road, and relatively large respondents 39.1% replied negatively.

As we can also see from the table the mean score 2.88 is below average showing that most of the respondents disagree with the statement. Here, since the item is stated negatively the negative response of the respondents indicates that rating is not a waste of time, meaning it does have some importance.

Regarding the accuracy of the rating received 36.9% agreed that it was accurate, 24.6% were not taking sides and 38.5% of the participants claimed that the rating they received was not accurate. In the open ended section left for comment, respondents raised that the way the evaluation is conducted is not appropriate in some instances. They have mentioned for example the case of administering students" evaluation of teachers during

exam time. This might be the reason behind their response on the accuracy of the rating received.

With respect to consistent application of rating criteria, 30.7% replied there is inconsistency, 29.6% remain neutral, and 39.6% indicated that rating criteria are consistently applied across employees. Of course, similar rating criteria should be used as long as employees perform the same job. But, the concern of those who replied negatively might be inconsistency of interpreting those criteria by different raters. Here the researcher has also another reservation, on the application of the same rating forms for professors, senior lecturers, etc and for fresh instructors (graduate assistants). As pointed out many times staffs have many responsibilities some of which could be difficult for the beginners to exercise them immediately after joining the institution. For example, conducting problem solving research, participating in community services are higher order tasks that requires the beginner staff to be accustomed first to the working system the institution. But, the practice now is, fresh instructors are being equally evaluated with lecturers on the same criteria. However, some literatures recommend the evaluation forms to be different.

Item four was aimed to reveal whether the raters personal like or dislike is reflected in the rating of the person being rated. In this case 21.7% replied such bias is not the case, 34.1% were not taking sides, 44.2% claimed that employees rating in part reflect such problems. This may support the idea on item two of the same table where most of the respondents claimed about the inaccuracy of the rating received.

Part five was designed to examine whether students evaluation reflects the actual performance of teachers or not. The response shows 19.5% replied that students evaluation reflect teachers teaching performance, 21.8% were indifferent, and more than average 58.6% claimed that evaluation from student side reflects teachers popularity in terms their promise of inflated marks, grades and their intimacy with the students. To elicit information's about the overall weaknesses of performance evaluation an open ended question was asked.

What most of the respondents wrote for this question was as they are surprised of student's evaluation. They wrote that, instructors who toil much, thinking that their students should master the course by doing

projects, class assignments and by taking many tests are candidates for receiving low student rating. In contrast, those who simplify the things and tried to please the students will receive high student rating.

Similarly the result from interview question: How much valid are students evaluations of instructor's performance? How could they be improved? The interviewees replied that, "as long as many students are involved in the evaluation and the average is taken, its reliability and validity is assumed to be good. But the problem is that students align evaluation with grade they score. A teacher who is with "A" and "B" grading tendency scores more evaluation result than those do not. The other is that evaluation is at the end of the semester; hence students believe that the evaluation will change nothing on their benefits except their grade. The better way is that making the evaluation progressive and at least two times a semester. In addition taking feedback about the teacher's performance from active and academically strong students may minimize the problems". In general regarding the accuracy of rating, it may not be possible to be accurate all the time. This is because of the lack of objective measure of performance. Nevertheless raters have to try their best to objectively evaluate the employees" actual performance.

Table 4.11 staff credence/ acceptance of information sources for evaluation

| Activities | Sources of evaluation | Response | | | | | | | | | | Total | |
|-------------------|-----------------------|----------|------|----|------|----|------|----|------|----|------|-------|-----|
| | | NR | | LC | | SC | | MC | | GC | | C | % |
| | | C | % | C | % | C | % | C | % | C | % | | |
| Teaching | Dept. head | 0 | 0 | 22 | 12.3 | 44 | 24.6 | 71 | 39.7 | 42 | 23.5 | 179 | 100 |
| | Colleagues | 0 | 0 | 18 | 10.1 | 47 | 26.3 | 71 | 39.7 | 43 | 24 | 179 | 100 |
| | students | 0 | 0 | 32 | 17.9 | 44 | 24.6 | 55 | 30.7 | 48 | 26.8 | 179 | 100 |
| Research | College dean | 43 | 24 | 41 | 22.9 | 44 | 24.6 | 29 | 16.2 | 22 | 12.3 | 179 | 100 |
| | Dept. head | 22 | 12.3 | 32 | 17.9 | 50 | 27.9 | 49 | 27.4 | 26 | 14.5 | 179 | 100 |
| | colleagues | 18 | 10.1 | 37 | 20.7 | 46 | 25.7 | 53 | 29.6 | 25 | 14 | 179 | 100 |
| Community service | College dean | 47 | 26.3 | 26 | 14.5 | 46 | 25.7 | 41 | 22.9 | 19 | 10.6 | 179 | 100 |
| | Dept. head | 24 | 13.4 | 22 | 12.3 | 53 | 29.6 | 56 | 31.3 | 24 | 13.4 | 179 | 100 |
| | colleagues | 27 | 15.1 | 34 | 19 | 43 | 24 | 55 | 30.7 | 20 | 11.2 | 179 | 100 |

Source: Own survey, 2017

NR = Never received, LC = little credence, SC = some credence, MC = Moderate amount of credence

GC = Great deal of credence

As repeatedly mentioned in the literature there are numerous activities that academic staff in higher institution should have to undertake. The major activities are teaching, research, and community service with other specific activities subsumed under each. Evaluation of staffs on these activities requires the collection of information from multiple sources. Thus, items in the table above were designed to examine the degree of credence/acceptance employees" given to the specified sources of information with the value of never received being one to the value of great deal of credence being five. Responses like little credence, some credence do not imply that those sources received these value shouldn't be used in evaluation. Instead it simply reflects the degree of trust employee have with those source of information, in revealing their actual perform

For the purpose of simplifying the interpretation only the responses that received the highest frequency in terms respondents are presented as follows.

Accordingly in teaching evaluation more employees 39.7% for head, again 39.7% for peer, and 30.7% for students gave a moderate amount of credence to each source. For example, in evaluation of teaching performance out of 179 participants 30.7% of them given moderate acceptance to the source.

Similarly, for evaluation of research related activities, 24.6% given some credence for dean evaluation, 27.9% given some credence for department head evaluation, and 29.6% given moderate acceptance to evaluation of peers. When it comes to service 26.3% replied no evaluation is received from dean, which shows college deans were not involved as such in service evaluation, 31.3%, and 30.7% given moderate amount of credence to service evaluation by heads and peers respectively.

In addition to the employees, interviewees were also asked about the sources of information and their respective weights to evaluate the overall performance of instructors. They replied that, the sources constitute three parties: student's evaluation, peer evaluation and department head evaluation. Their respective weight is 50% for students, 15% peer evaluation, and 35% head evaluation. The evaluation of the three parties added together to reflect, the overall performance of the staffs. As we can see here students evaluation carries more weight but, on table 10 more respondents claimed that student's evaluation do not reflect teachers actual performance.

Regarding the sources of information what matters the quality of information is the raters concern with the ultimate decisions to be taken based on the evaluation they give. For example if the raters know that their evaluation will influence some ones promotion/pay decision; regardless of that persons performance they will give high or low rating depending on the relationship they have with person.

The researcher, concern here is not to mean they shouldn't know the purpose of the evaluation. Rather it is to mean that, depending upon the type of the decision to be taken on the basis of the evaluation result, appropriate weight should be give to each sources.

3.1.4. The uses of performance management

As clearly discussed in the literature part, performance evaluation has several benefits, both for employees and the organization. Therefore, this part deals with the application (uses) of performance evaluation in the university.

Table 4.12: The uses of performance evaluation results

| | Uses of performance | Response | | | | | | | | | | Total | | Mean |
|----|---|----------|------|----|------|----|------|----|------|----|------|-------|-----|------|
| | | SD | | D | | NA | | A | | SA | | C | % | |
| | | C | % | C | % | C | % | C | % | C | % | | | |
| 1 | Improve staff performance | 16 | 8.9 | 25 | 14 | 29 | 16.2 | 54 | 30.2 | 55 | 30.7 | 179 | 100 | 3.6 |
| 2 | Identify staff with high potential | 24 | 13.4 | 63 | 35.2 | 22 | 12.3 | 44 | 24.6 | 26 | 14.5 | 179 | 100 | 2.92 |
| 3 | Identify under performers | 29 | 16.2 | 51 | 28.5 | 26 | 14.5 | 48 | 26.8 | 25 | 14 | 179 | 100 | 2.94 |
| 4 | Align individual and organizational objectives | 13 | 7.3 | 20 | 11.2 | 42 | 23.5 | 65 | 36.3 | 39 | 21.8 | 179 | 100 | 3.54 |
| 5 | Provide basis for personal development | 13 | 7.3 | 27 | 15.1 | 41 | 22.9 | 56 | 31.3 | 42 | 23.5 | 179 | 100 | 3.49 |
| 6 | Enable employees to know their current level of performance | 13 | 7.3 | 23 | 12.8 | 35 | 19.6 | 62 | 34.6 | 46 | 25.7 | 179 | 100 | 3.39 |
| 7 | Used for training need assessment | 14 | 7.8 | 27 | 15.1 | 37 | 20.7 | 64 | 35.8 | 37 | 20.7 | 179 | 100 | 3.46 |
| 8 | Used for training need assessment | 5 | 2.8 | 16 | 8.9 | 23 | 12.8 | 74 | 41.3 | 61 | 34.1 | 179 | 100 | 3.95 |
| 9 | Used for pay decision | 17 | 9.5 | 20 | 11.2 | 41 | 22.9 | 59 | 33 | 42 | 23.5 | 179 | 100 | 3.50 |
| 10 | It is a matter of formality | 35 | 19.6 | 34 | 19 | 38 | 21.2 | 34 | 38 | 38 | 21.2 | 179 | 100 | 3.03 |

Source: Own survey, 2017

To elicit the required information employees were asked to rate the above listed benefits of performance management on scale of five with the value of strongly disagree being one and the value of strongly agree being five. For the purpose of the interpretation the expected mean score of the scale i.e. 3 is taken as a reference point and the mean value of the response below the expected mean shows the majority of the respondents replied negatively for positive statements and positively for negative statements. Whereas, the mean value above 3 shows the respondents agreement with the statement.

In light of these, the mean score of item 1, 4, 5, 6,7,8,9 are more than three which implies the respondents' agreement that, the performance evaluation is used for the stated benefits. On the other hand, the mean score of item two and three are below three, meaning most of the respondents affirmed that performance evaluation in the university is not used for the stated benefits. In case of item 10 more respondents 40.2% acknowledged that evaluation is a matter of formality. In here formality is not to mean that evaluation has no importance rather it is used to mean evaluation is considered as annual or semiannual requirement to be fulfilled for certain personnel decisions to be taken (e.g. promotion) without being used in strict sense for the benefits it was designed for. Had it been used in strict sense it would have been possible to identify the high flyers and underperformers.

With respect to the idea presented in the literature regarding the types of teachers evaluation, the evaluation being used in the institution seems summative evaluation which is conducted at the end of each activities to assess terminal behaviors and make personnel decisions like pay, promotion etc. Such evaluations do not involve the person being evaluated (self evaluation) which is the case in wachamo university. However, literatures recommend a unique combination of summative and formative (used for developmental purpose) evaluation of teachers performance.

CHAPTER FIVE

5.1 SUMMARY OF FINDINGS, CONCLUSION, AND RECOMMENDATION

This chapter is devoted to the discussion of the research findings, summary of some important points of the study, and the possible remedies for the problems or gaps identified in the current performance management practices of the institution.

5.1.1 Findings

Based on the data analysis presented in chapter three, summary of different findings are presented here. Analysis of the data resulted in both positive and negative findings. The positive findings (e.g. employees' awareness of the universities goals, their responsibilities, their feeling that they are contributing to the objectives the institution etc.) show the areas where the institution is good at and expected to further strengthen them. Whereas, the negatives indicate the weak areas that need to be improved. Thus, more emphasis was given to summarize the weak areas as they deserve some possible recommendations.

- More employees claimed that they were not aware of the objectives and the processes of performance management.
- Employees asserted that, there was a limited opportunity to participate in performance planning.
- Respondents replied that, goals were not set on the basis of mutual negotiation, and they are not challenging.
- It was identified by more respondents that employees and their supervisors didn't jointly agree on performance measure.
- Employees claimed that performance evaluation standards and key performance indicators were not well communicated to them.
- Respondents affirmed that, their performance assessment was not based on what the supervisors and employees jointly agreed.
- Employees acknowledged that, the rating they received was not accurate.

□ With respect to the evaluation sources study participants have moderate level of acceptance for teaching evaluation received from heads, students, and peers. For research related activities they have given some credence for dean and head evaluation, and moderate credence for information that comes from peers. In case of service moderate level of credence was given for heads and colleagues as sources of information.

□ Regarding the uses of evaluation, the analysis indicated that, despite its usage for promotion, pay decision etc it was not used to identify high performers and low performers.

5.1.2 Conclusion

The general objective of the study is to assess the practice of performance planning assessment and the uses of the evaluation results; the proper implementation of which can align the activities and objectives, give confidence to the instructors, make them glad to give their dedications. Questionnaire was the main source of data. These questionnaires are distributed for 190 employees of wachamo University. Among them, 179 questionnaires were collected and used to analyse the data. An interview was also conducted with one college dean, one department head, and human resource head selected through purposive sampling method

Based on the evidences obtained from the analysis part, in chapter four employee's claimed that they are not participating in performance planning. That is why employees are not aware of the performance evaluation objectives, performance standards, and KPI as summarized under the findings. Regarding performance assessment practice, though some of its aspects are good, problems like rating employees based on the things that they were not informed about(not well communicated), inaccuracy of the rating received, inability of student's rating to reveal teachers actual performance and other related issues were identified. Lastly, despite its usage for certain purpose, the evaluation system is not in a position to distinguish high performers from underperformers.

As clearly mentioned under the scope and limitation of the study, giving generalization about the whole performance evaluation system of the institution is beyond the scope of the study. However, it is possible to predict the impact of these basic components on the total performance management system. Performance planning is identified as bedrock of an effective performance management system. Thus, failures in this step will have consequence on the other subsequent steps.

5.1.3 Recommendation

□ To help employees understand the objectives and the processes of the performance evaluation, the institution in general and the departments in particular should communicate with employees about, why the evaluation is needed, what purpose does it serve, and the evaluation procedures before asking them to rate someone. Moreover, staffs must be oriented to the evaluation instruments and its components. Such conditions will clarify the procedures and thereby enable employees to develop a sense of ownership of the evaluation system.

□ Employee's participation is a very important element for successful performance evaluation system. Thus, the institution should create a platform through which employees participate in performance planning process. Performance planning should not always be a sole activity of supervisors and higher officials, rather active involvement of the employees (implementers) should be encouraged.

Employees need to have input in the plan and must discuss it with their supervisors. This will simplify the evaluation process and will increase the employee acceptance of the result.

□ The institution should create an opportunity through which goals will be set on the basis of mutual negotiation. This is to mean employees must agree on the goals they are expected to accomplish. The act of jointly setting goals will provide a clear direction in the form of focusing attention, increasing effort, persistence towards goal accomplishment, and have some motivational benefits. It might be difficult to involve all employees in goal setting process, but at least at departmental level, it is possible to take some inputs from employees to frame goals or asking employees to discuss over the proposed goals and making necessary adjustments on the basis of their comment.

□ The institution should clarify to its employees, the available performance measures, standards, and key performance indicators as they are critical requirements to assess employees level of progress towards the overall goals. Knowledge of such critical variables helps the employees to distinguish acceptable level of performance from unacceptable one and thereby refine their performance according to the expectations.

□ Regarding performance assessment employees must know what is to be assessed and how it is to be assessed. The things to be assessed must be within the control of the job holder. Thus, employees' assessment in the institution should be based on what the employees and their supervisors agreed during the planning stage. Reaching an agreement on what is to be measured and the how aspect helps both participants. For one thing, it helps the supervisors to deal with employees' defensive behavior not to accept the evaluation results, because the evaluation is based on what they are accountable for. Second, it helps the employees to deliver the result because; they are clear with what their supervisors expect from them.

□ With respect to the rating accuracy though some elements of personal biases are inevitable, other problems may result from misunderstanding of the evaluation procedures, purposes and inappropriate timing of the evaluation. Therefore, as much as possible the departments should make the evaluation criteria very objective and conduct the evaluation at the right time.

□ Regarding information sources, it is known that each of them have their own limitations, however, the university can minimize the problems by using appropriate mix of the sources for the right purpose. For instance, colleague evaluation is better to be used for teaching improvement than for personnel decisions like pay increase. Similarly, in using student evaluation care should be taken to ensure questions are only asked about topics for which the students are expected to have answers and must not be administered during exam sessions. Generally, literatures suggested that multiple sources build on the strengths of all sources, while compensating for the weaknesses in any single source.

□ Finally one quality of good evaluation system is its ability to distinguish high performers from under performers. Therefore departments should use the system for: 1) identifying and rewarding those who are performing at an acceptable level of performance, 2) identifying those who deviate from the expected behavior and results for which providing feedback and coaching are necessary so as to bring them to the expected performance standards.

APPENDECES

Appendix Questionnaires

Saint marry University

School of post graduate studies

Dear respondent

This questionnaire is designed to collect information about Performance Management System and its Application in higher institution. Specifically is aimed to assess the practice of performance planning, performance assessment,(instructors evaluation) as it actually occurs in your department and what purposes the evaluation results are being used. The questionnaire has been designed in such away, that minimum time is required for the completion. Your response will be treated as strictly confidential and will be used only for academic purpose i.e. in partial fulfilment of the requirement for masters of General Business Administration. Since successful completion of this study depends on your genuine response. I am kindly requesting your cooperation to respond to all of the following questions.

Direction: The questionnaire should be filled only by instructors having ≥ 1 years of teaching experience by those performance has been evaluated.

Part I: respondent's information (profile)

1 Sex Male Female

2 Your institute or college

a. Techno d. Natural science
b. Agri e. Medicine and Health
c. FBE f. Social science

3 How many years have you worked for this University?

a. 1-3years c. 7-9
b. 4-6 years d. ≥ 10

4 Your present rank?

a. Professor e. Lecture
b. Associated Professor f. Assistant lecture
c. Assistant Professor g. Graduate assistant
d. Doctor

Part II: Questions about performance planning

Note: performance planning refers to a process through which the supervisor and the employee meet to discuss, and agree on, what needs to be done and how it should be done. Having this in mind , please indicate the extent to which you agree with the following statements.

| S.No | 1=Strongly disagree,2=disagree,3=neither agree nor disagree,4=agree,5=strongly agree | 1 | 2 | 3 | 4 | 5 |
|------|---|---|---|---|---|---|
| 1 | I know what the strategic objectives of the University are. | | | | | |
| 2 | The process & objectives of performance management are described clearly to me | | | | | |
| 3 | In my institution goal setting process is carried out jointly by the employees & their immediate supervisor. | | | | | |
| 4 | My supervisor gives me a chance to participate in performance planning | | | | | |
| 5 | My department goals are specific and time related. | | | | | |
| 6 | My department goals are challenging. | | | | | |
| 7 | My department goals are realistic and attainable. | | | | | |
| 8 | I am clear on what my job responsibilities. | | | | | |
| 9 | My supervisor clearly explains to me what he/ she expects from my performance. | | | | | |
| 10 | My supervisor reached an agreement with me on how my performance will be measured. | | | | | |
| 11 | My supervisor clearly explains to me the standards that will be used to evaluate my work | | | | | |
| 12 | My departments performance plan indicates success criteria (how the individual & the manager will know that the desired results have been achieved) | | | | | |
| 13 | The goals set for me supports the strategic objectives of the University | | | | | |
| 14 | I am clear about how my role fits in to the University's strategic goal | | | | | |
| 15 | Performance objectives of my department are aligned with the University's goals | | | | | |

Part III-Questions about Performance assessment

Note: Performance assessment (appraisal) is a process of evaluating the extent to which the desired behaviours have been displayed, and whether the desired result have been achieved. It is about evaluating the extent to which the goals stated in performance planning stage have been achieved. Please indicate your level of agreement with the following statements

| | 1=strongly disagree,2=disagree,3=neither agree nor disagree,4=agree,5=strongly agree | 1 | 2 | 3 | 4 | 5 |
|----|---|---|---|---|---|---|
| 1 | My performance was measured based on the agreement reached with my supervisor. | | | | | |
| 2 | My performance assessment covered those issues which were very important in performing my job | | | | | |
| 3 | The performance setting I received was very accurate | | | | | |
| 4 | I think the current performance rating is a waste of time | | | | | |
| 5 | The rating I get is a result of my rate's applying performance rating standards consistently across employees. | | | | | |
| 6 | Rater's gives performance rating that reflect in part their personal like or dislike of employees | | | | | |
| 7 | My performance rating is based on how well I do my work | | | | | |
| 8 | My performance rating reflects how much work I do | | | | | |
| 9 | The performance rating I received is based on many things I am responsible for at work | | | | | |
| 10 | Students evaluation of staff members indicates more about teachers popularity(e.g. giving inflated marks, grades etc.) than their teaching performance. | | | | | |

11. Higher institutions in Ethiopia among others are responsible for three major activities:

Teaching, research, and community service. Staff evaluation regarding these performance dimensions may be received in a variety of ways from different sources. Using the scale 1 to 5, check the answer that is best corresponds with the degree of credence/ acceptance you give to each of the following sources of information where

1= Never received

4=A moderate amount of credence

2=Little received

5=a great deal of credence

3=Some credence

Evaluation of teaching by:

1 2 3 4 5

a. your department head

--- --- --- --- ---

b. your colleagues(peers)

--- --- --- --- ---

c. your students

--- --- --- --- ---

d.others

..... ..

Evaluation of research by:

1 2 3 4 5

E

..... ..

f. your department head

..... ..

g. your colleagues

..... ..

h. others

..... ..

Evaluation of service by:

1 2 3 4 5

i. Your dean

..... ..

j. your department head

..... ..

k. your colleagues

..... ..

l. others

..... ..

Part IV: Questions about the uses of performance management

Note: Performance Management is useful to encourage employees to raise their performance, develop their abilities, increase job satisfaction and achieve their full potential to the benefit of the individual and he organizations as a whole. Please indicate your level of agreement on the extent to which the performance evaluation of this institution is useful for the following purpose.

| | 1=strongly disagree,2=disagree,3=neither agree nor disagree,4=agree,5=strongly agree | 1 | 2 | 3 | 4 | 5 |
|----|--|---|---|---|---|---|
| 1 | Improve staff performance | | | | | |
| 2 | Identify staff with high potential | | | | | |
| 3 | Identify underperformers | | | | | |
| 4 | Align individual and organizational objectives | | | | | |
| 5 | Provide the basis for personal development | | | | | |
| 6 | Enable people to know where they stand | | | | | |
| 7 | Used fir training need assessment | | | | | |
| 8 | Used for promotion | | | | | |
| 9 | Provide basis for pay decisions | | | | | |
| 10 | It is simply a matter of formality | | | | | |

11. What do you feel are the short comings of the performance evaluation system being followed in your institution? Please specify

Thank you once again!

Interview questions

1. Does staff evaluation form constitutes the entire range of their responsibilities (teaching, research, community service, etc)
2. Do staffs participate in performance planning?
3. Do you think there is a full alignment between staff performance and the universities' mission?
4. What are the sources of information to evaluate staff performance and how much weight is given to each source?
5. How valid are student evaluations of instructor's performance? How could they be improved?
6. What are the uses of staff evaluation? Do you use them as basis for staff development?

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