

**PERFORMANCE APPRAISAL OF LECTURERS IN THE TECHNICAL
COLLEGES IN THE NORTH WEST PROVINCE**

BY

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DECLARATION

I ELLEN KEABETSWE PHIRI, declare that the dissertation for the degree of Masters in Educational Planning and Administration at the University of the North West hereby submitted, has not previously been submitted by me for a degree at this or any other university, that it is my own work in design and execution and that all material contained herein has been duly acknowledged.



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ABSTRACT

PERFORMANCE APPRAISAL OF LECTURERS IN THE TECHNICAL COLLEGES IN THE NORTH WEST PROVINCE

The purpose of this study is to determine the set-backs and developments surrounding the performance appraisal of lecturers, to examine through empirical investigation whether there is an appraisal system in Technical colleges in the NWP, how does the appraisal system work, the perception of lecturers about it and the problems that they experience with the appraisal system. Little has been documented about appraisal systems of lecturers in Technical colleges, especially in South Africa.

The survey method was employed to conduct this study. The population involved in this study was confined to lecturers, heads of departments and principals of Technical colleges in the NWP. 190 subjects were identified to participate in the study. Results of 125 respondents were analysed.

The empirical investigation conducted revealed that only few Technical colleges in the NWP have a formal performance appraisal system. The study also revealed that even though the appraisal system is not in operation in other colleges, there are problems that caused the appraisal system to collapse. Problems which were identified in the empirical study were: inconsistency of the appraiser's remarks and criteria used, personal biasness and prejudice, conflicting objectives, professional relationship, fear of criticism, classroom discipline, artificial behaviour of students because there is a stranger in the classroom and fear of intimidation. Suggestions made by the respondents on how to improve the problems they experience are also expounded. The respondents put more emphasis of job description, criteria for appraising lecturers and feedback to be given at all times.

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CHAPTER 1

ORIENTATION

1.1 INTRODUCTION

There is a growing need for systematic lecturer appraisal schemes in South Africa. It is therefore important that there be a focus on developing the lecturers to increase the effectiveness of their teaching. This can be done by introducing performance appraisal instruments which will lead to the professional development of lecturers, heads of department and principals. Appraisals of some kind have been used in Technical colleges but there was no uniformity. An appraisal system is needed to provide a formal opportunity to complement the work of lecturers both indirectly and directly by taking interest in their work and also by praising work which they have done well. Appraisal in Technical colleges should be seen as providing the occasion to negotiate certain targets to either raise performance up to an acceptable level or to take on a new challenge.

The democratisation of the education system in South Africa has put appraisal on the political agenda which has in turn created a high level of concern among teachers, lecturers and unions. The study therefore focusses on the appraisal of teachers/lecturers in Technical colleges with the view of finding solutions to improve the problems experienced by lecturers.

Chapter 1 provides an orientation of the study, followed by a statement of the problem to facilitate an understanding of the set-backs and developments under investigation. The research design is given and terms which are relevant to the study were defined.

1.2 STATEMENT OF THE PROBLEM

The set-backs and developments surrounding the appraisal of lecturers in education need more attention. Technical colleges are faced with set-backs such as: lack of consistency regarding appraisal system, prejudice; personnel do not understand criteria on which their performance is appraised (Walker, 1991:96).

A move has already been taken by both the Department of Education (Nationally and Provincially) and teachers' unions to implement the performance appraisal programmes in primary and secondary schools in South Africa. Technical colleges in South Africa, especially in the North West Province are no exception. It is therefore imperative that all heads of department and principals should perceive performance appraisal as an aid to create and maintaining a satisfactory level of performance by lecturers in their present position.

Teacher appraisal, head teacher appraisal, whole-school review, school development plans, curriculum planning and INSET planning are all related and if linked in a coherent and coordinated strategy, would transform the school's capacity for change. But to reach the point where these activities are integrated, will for some schools involve considerable changes in ethos or culture (Bollington et al., 1993:98).

Literature has shown that the most effective way of linking teacher development to appraisal is through the use of data gathering methods that have a developmental focus. Issues such as lack of consistency regarding appraisal systems should be considered as important and a clear documentation should be made available, preferably in the same format, to all those involved regardless of phase or seniority (Bollington et al., 1993:98).

One of the best ways of overcoming resistance that seems to be aroused by almost all schemes is to involve the managers (who are to implement the scheme) in the planning and phase. Those responsible for putting the scheme into effect should participate in decisions about (Bolton,1980:20):

- * other objectives of the scheme;
- * the format or design of the scheme especially what it will assess and how the assessing will be done;
- * the person who will make the appraisals and the information on which they will base their judgments; and
- * the ways in which the scheme itself should be evaluated.

Bollington et al., (1993) believe that a properly constructed and presented appraisal system can improve the professional development of teachers and headteachers and the management of schools. They regard appraisal as one of a number of current initiatives, such as school development plans, the National Curriculum and records of achievement, which taken together, can significantly improve the quality of education. In their view appraisal can help teachers and headteachers order their priorities, improve their planning and contribute to professional development.

It is important that the role of the appraiser and appraisee be taken into consideration because they are both primarily to act together to ensure that the purposes of the scheme operate successfully, and that the appraisee gets as much benefit as possible from the process involved. Most schemes to date have focused on a professional development model, where the appraiser acts as a consultant to the appraisee, to assist the appraisee to review and explore current practice (Goddard & Emerson, 1992; Fidler & Cooper, 1992).

In such schemes it is essential that the appraiser does not see their role as telling colleagues what they are doing wrong and how they should be doing it right! Rather, the appraiser and appraisee are intended to share ideas. The discussion that takes place is one between equals, working in collaboration (Fidler & Cooper, 1992:219).

According to Walker (1992:149) the performance appraisal is often ineffective because, even if a content valid instrument is used, the wrong person or persons often make the appraisal. The appraisers are frequently unaware of the aims and objectives of the person's job, they seldom see the person performing on the job, and they are incapable of discerning competent behaviour.

In the United Kingdom a number of National Pilot appraisal schemes for further education and colleges were introduced and implemented and the nature of appraisal did not turn out to be what it appeared to be on paper. During the Pilot period a number of perceptions were aired from a variety of quarters. Another teacher appraisal pilot study was conducted in England and Wales and it began in 1987. The intention was to phase in the scheme over a quarter of the year period, so that from the early 1990's all teachers and headteachers would be appraised regularly as part of their job (Turner & Clift, 1988).

Appraisal in the pilot study has been regarded as a systematic, cyclical process. Advisory, Conciliation and Arbitration Service (ACAS) reported that appraisal was seen to serve a number of purposes:

- * planning the induction of teachers;
- * planning the participation of individual teachers in in-service training;
- * planning new or modified roles for individual teachers;
- * identifying the potential of teacher for career development;

- * identifying and helping teachers experiencing performance difficulty; and
- * contributing to staff appointments and references.

Each cycle of the process is seen as a series of stages, which typically include a preparation phase (i.e. initial review meeting, self-appraisal, data gathering including classroom observation), an interview and a follow-up phase (appropriate in-service training and support, and monitoring of targets (Bollington & Hopkins, 1989:8-9).

Pilot appraisal schemes were also introduced in some parts of the U.S.A, including Dekalb, Georgia and Palm.

Little has been said on appraisal schemes in SA apart from the current scheme, which was introduced by the Department of Education (Nationally and Provincially) for primary and secondary schools. The pilot started in 1995 and ended in 1996 September (Makgalane & Carrim, 1997).

According to Chetty et al., (1993:13) the descriptions of current research in South Africa made it evident that the appraisal of teachers is uneven, unreliable, and unacceptable to many. They further explained that not only are the methods and resources for appraisal systemically and regionally idiosyncratic; the process is also imbricated in a wider system of management and administration which is top-down and inefficient. Such inherent limitations, in the context of deep resistance to all aspects of the present system of education, indicate that the nature of inspection and supervision in South Africa has to undergo change consistent with those in other areas of educational policy development and its implementation.

This study was guided by the following questions:

- * What are the set-backs and developments surrounding performance appraisal system in Technical colleges in the North West Province?
- * Do lecturers benefit from performance appraisal?
- * What is the perception of lecturers concerning the performance appraisal system in place?
- * What are the problems faced by lecturers when preparing for and during performance appraisal?

1.3 AIMS OF STUDY

The aims of this study was to determine the set-backs and developments surrounding a performance appraisal system of lecturers in Technical colleges with a view of finding solutions to problems experienced by lecturers.

The aims can be operationalised in the following:

- * **Aim 1:** To determine from the literature the nature and scope of performance appraisal;
- * **Aim 2:** To determine from literature the perceptions of lecturers about performance appraisal and the problems that are experienced in performance appraisal;
- * **Aim 3:** To determine empirically, the problems which are faced by lecturers when preparing for performance appraisal, during performance appraisal process and their views on

how to eliminate such problems.

1.4 RESEARCH METHODOLOGY

1.4.1 Literature study

In a review of literature, a thorough study of primary and secondary sources was made with the view of gathering information about lecturers' performance appraisal.

1.4.2 Empirical Investigation

1.4.2.1 Questionnaire

A structured questionnaire with open and close-ended questions was developed and pretested. The aim of the questionnaire was to gather information from principals, heads of department, heads of divisions and lecturers, on their views and opinions of a performance appraisal system in Technical colleges.

1.4.2.2 Interviews

Semi-structured interviews were conducted with all principals (n = 9) of Technical colleges in the NWP. The aim of the interview was to get their views on set-backs and developments surrounding performance appraisal systems in Technical colleges.

1.4.2.3 Population

The population in this study was confined to lecturers, heads of department and principals of the Technical colleges in the NWP. There are nine Technical colleges. All nine principals were included

in the study ($n = 9$). A stratified sampling was used to select lecturers and heads of department ($n = 181$).

1.5 DATA ANALYSIS

With the help of statistical consultants, computer aided statistical analysis was employed. The computation of frequencies (f), percentages, and means was conducted.

1.6 DEFINITIONS

* Personnel appraisal

Andrews (1988:294-295) defines personnel appraisal as:

"... the personnel activity by means of which the enterprise determines the extent to which the employee is performing the job effectively".

"... judgment about the behaviour and effectiveness of its' staff"

"... a coaching device to help men on all levels of management to improve their performance"

"... any systematic attempt to gauge how well a person is doing his job".

In this study, personnel appraisal refers to a means of promoting, through the use of certain techniques and procedures, the organisation's ability to accomplish its mission of maintaining or improving what it provides while at the same time seeking to maintain or enhance staff satisfaction and development.

* **Technical college**

"**Technical college**" means a state technical college or a state-aided technical college (Bill for RSA Technical colleges, 1996:3).

- * "**Rector**" means a person appointed in the post of principal at a technical or community college, or a person acting in that position (Bill for RSA Technical colleges, 1996:3).

* **Head of department**

A person appointed to head a section at a technical or community college (Bill for RSA Technical colleges, 1996:4).

"**College**" means a technical college or community college (Bill for R.S.A. Technical colleges, 1996).

1.7 CHAPTER HEADINGS

1. Orientation
2. The nature and scope of performance appraisal
3. Research Methodology
4. Data analysis and interpretation
5. Summary, recommendations and conclusion

1.8 SUMMARY

This is an introductory chapter with a brief orientation to the study. It outlines the problems to be investigated, and formulates the aims of the study. The major focus of the study is to find out ways on how problems of performance appraisal can be addressed in Technical colleges in the NWP.

CHAPTER 2

THE NATURE AND SCOPE OF PERFORMANCE APPRAISAL

2.1 INTRODUCTION

According to literature, the appraisal of an educator's performance has been identified with many titles: teacher evaluation, teacher observation, administrator and teacher's progress reporting, merit rating, most recently, performance appraisal (Evans & Tomlinson, 1989:65). However, regardless of the title used, these titles fit one meaning: the judgement by one or more educators, usually the immediate supervisor, of the manner in which another educator has been fulfilling his/her professional responsibilities to the school district over a specified period of time. Appraising teachers is based upon the sound basis that both administrator and teacher realize the benefits of knowing how well the teacher is performing. The administrator benefits from having a current record of teacher's effectiveness in order to make intelligent decisions concerning tenure and promotion. The teacher is in a better position to develop his abilities when he/she knows when he/she performs well, when he/she does not perform well, and how he/she needs to develop to become more valuable to himself and the school system (Lewis, jr, 1973:23).



On the contrary, performance appraisal is one of the most frequent sources of dissatisfaction in the entire human resource system, neither supervisors nor subordinates look forward to appraisal, and neither is likely to be totally satisfied with the appraisal systems in their organisation. The reason for the widespread dissatisfaction with performance appraisal in organisations is that the system used by organisations do not help them or their employee to meet important goals (Murphy & Cleveland, 1995:5).

For personnel evaluation system to serve the purpose of performance improvement, it is necessary for each individual to know how he/she is doing in his work, to understand what he/she needs to do in order to improve him/herself. Whatever appraisal system is used in a college it should aim at assisting the continued growth and development of the lecturers in a college, and again lecturers should be involved in the setting up of such a system.

This chapter provides an overview of performance appraisal of lecturers/teachers in Technical colleges. The chapter will further devote itself to the definition of terms such as: performance appraisal, evaluation, and performance appraisal system. The rest of the chapter will be devoted to the major components of performance appraisal systems.

2.2 FURTHER DEFINITION OF THE CONCEPT PERFORMANCE APPRAISAL

A great deal of confusion has been generated in the past when discussing performance appraisal systems because of a lack of clear definitions for the terms used. The terms "appraisal", and "evaluation", are frequently used to mean the same things (Baker,1988:2). The terms are defined as follows:

2.2.1 Performance appraisal

Performance appraisal is a special form of evaluation involving a comparison of the observed performance of an employee with a performance standard which describes what the employee is expected to do in terms of behaviour and results (Baker;1988:3).

Castetter (1992:270) defines performance appraisal as a process of arriving at judgments about an individual's past or present performance against the back-ground of his/her work environment and about his/her future potential for an organisation. The appraisal process is an activity designed to assist

for an organisation. The appraisal process is an activity designed to assist personnel to achieve individual and group as well as organisational benefits.

The meaning of performance appraisal is further explained by Myland (1992:33-34) as follows:

- * Performance appraisal is a systematic means of ensuring that managers and their staff meet regularly to agree on past and present performance issues, and to agree what future action is appropriate on both sides. Discussion is based on a clear and mutual understanding of the job in question and would normally be on a one-to-one basis between employees and the immediate managers.
- * Appraisal should be a continuous process, formalised on a regular basis so that the review period can be summarised and the months ahead planned constructively. There must be no surprises in an appraisal meeting. Performance is a matter which needs to be considered both in terms of results achieved and behaviour demonstrated.
- * The focus of an appraisal should be a two-way discussion, with the appraiser acting as a facilitator in reaching agreement. The appraisal form will be an agreed account of the discussion from which a picture of current performance and future actions must be clearly discernible and lastly,
- * Discussion about the future in an appraisal must be realistic. Promises must not be made which the organisation will fail to keep. The individual's particular needs and aspirations must be considered and the future planned appropriately.

Jones and Mathias (1995:16) see performance appraisal as an activity which is central to the effective management of the teaching/learning situation. They see appraisal as a right to all teachers, something which is done with people rather than to them. It is therefore important that both appraisee and appraiser be actively involved in the process. Rather than adding to the already considerable pressures faced by teachers, appraisal of performance aim to channel the energies of staff towards the essential rather than the superficial. The principal aim of performance appraisal is to enhance and maximize the educational opportunities of pupils through the professional development of teachers, thus leading to both institutional and individual growth.

2.2.2 Evaluation

Evaluation is used as a general term to describe the process of comparing what is to be evaluated to some standard (Baker;1988:3). The purpose of this comparison is to identify discrepancies in what is being evaluated.

2.2.3 Performance appraisal system

Baker (1988:3) defines performance appraisal system as a series of actions that are carried out in sequence by supervisors and employees to:

- * Plan what employees are to do;
- * Insure that employees understand what is expected of them;
- * Assist employees to perform up to standard, and
- * Provide information for making managerial decisions.

In this study performance appraisal is defined as a means of promoting, through the use of techniques and procedures, the organisation's ability to accomplish its mission of maintaining or improving what it provides while at the same time seeking to maintain or enhance staff satisfaction and development.

development.

Definitions of performance appraisal are many and only a few were outlined. The term evaluation was also defined because in most cases it will be used interchangeably with the term performance appraisal.

2.3 THE PURPOSE OF PERFORMANCE APPRAISAL

What tends to make the issue of teacher appraisal a controversial one is that particular schemes are often intended to serve several purposes. In the U.S.A. for example, a recent survey by the Educational Research Service revealed that the majority of school districts had four main purposes in mind when developing schemes (Turner and Clift, 1988:9-10). These are:

- * to recommend probationary teachers for tenure or continuing contract status;
- * to help teachers improve their teaching performance;
- * to decide on renewed appointment of probationary of teachers; and
- * to recommend dismissal of unsatisfactory tenured or continuing contract teachers.

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Broadly speaking these purposes fall into two categories: formative and summative appraisal.

According to Peterson (1995:53) the distinction between formative and summative evaluation is very important because very often different techniques, and even personnel must be used according to the intended purpose. The two will be discussed as follows:

2.3.1 Formative appraisal

Formative appraisal serves the purposes of professional development, the improvement of practice by identifying strengths, weaknesses, needs and interests (Turner & Clift, 1988:59; Seyfarth, 1996:150; Castetter, 1992:288, Acheson and Gall, 1987:209-10). Research reveals that in the United Kingdom (UK), emerging schemes in schools seem to be almost exclusively geared to professional development (formative). In North American schools a move has emerged from linking appraisal largely with questions of qualifications and tenure, and show an increasing concern for professional development and growth. In short the contemporary advice from North America is to go for a developmental appraisal system (formative).

2.3.2 Summative appraisal

Summative appraisal is geared to career decision-making and is concerned with the selection, promotion, redeployment and dismissal of teachers (Seyfarth, 1996:150; Castetter, 1992:228). In the USA staff appraisal has developed mainly along summative lines as a basis for initial certification of teachers and for the renewal of contracts (Turner & Clift, 1988:59, Seyfarth, 1996:156).

In practice most schemes tend to serve both purposes to varying degree, and schemes are perceived by participants also to have purposes of a more specific nature. The success of an appraisal scheme has to be judged in terms of how far it achieves the purpose or purposes for which it is established (Turner & Clift; 1988:59).

In most cases, people who are involved (i.e. appraisers and appraisees) perceive the purpose of appraisal differently. Management may see it in terms of their need to manage staff whilst teachers at junior level in the hierarchy might see appraisal more in terms of their own professional

development. This usually brings confusion as to what purposes an appraisal scheme is meant to serve, and teachers may well be appraised without fully understanding the rationale for the scheme in use. It is therefore imperative that the scheme be agreed upon by all involved before it is implemented (Evans & Tomlinson, 1989).

2.4 ESSENTIALS FOR EFFECTIVE APPRAISAL

Everard & Morris (1996:79-80) identified the following essentials for effective appraisal:

- * Objectivity

The basis for a constructive discussion is prior agreement on the criteria for effectiveness. A preliminary to appraisal is therefore a job description with criteria and clear objectives of the type discussed during induction. The focus should then be on results achieved against the criteria and objectives.

- * Willingness to listen

The manager's approach should not be to tell the staff member what is right or wrong but to ask for his or her views first. Many good systems will ask the employee to draft his or her answers to the appraisal form on to a separate form before interview and to use this as a basis for the discussion.

- * Openness to criticism

Not just a junior staff member, but also a mature manager will listen very carefully to any criticism and use it as a basis for improvement. To silence criticism is to demonstrate insecurity.

- * Counselling not judgement

What can be done to improve the situation or the results?

- * Action planning

New objectives and development plans carried forward, progressed and reviewed systematically at the next appraisal.

2.5 PERFORMANCE APPRAISAL IN SELECTED COUNTRIES

The literature has shown that teacher appraisal has only recently become a significant educational issue in Britain, and that it has already been well established in parts of the United State of America, Australia and South Africa (Turner & Clift, 1988:9). It is also clear from the literature that teacher appraisal in Britain seems to be taking a very different form from that in the U.S.A. for a number of historical reasons. It has been noted that the U.S.A. staff appraisal has developed out of approaches to evaluating beginner teachers by institutions charged with initial training (Turner & Clift, 1988:19).

In the U.S.A. and United Kingdom (UK) appraisal schemes were the responsibility of the Local Education Authorities inspectors (LEA) but today many schools and colleges are increasingly developing their own internal schemes. The primary aim of such schemes seems to be formative, they are designed to promote job satisfaction, indicate training needs and guide future professional development (Evans and Tomlinson; 1989). South Africa needs an appraisal system that will focus on the future professional development and job satisfaction. The heads of department, divisional heads and principals in Technical colleges are responsible for the promotion of job satisfaction, identifying training needs and giving guidance for future professional development.

Bollington et al., (1993:2) cited three factors that led to the introduction of appraisal in the UK. Firstly, appraisal can be regarded as a response to the desire to bring a greater degree of accountability into public service. To further explain the first factor, the introduction of appraisal was seen to reflect a climate in education, characterized by concern for improved quality, a greater degree of accountability and more efficiency, particularly in terms of the use of resources. Within this climate has come the call for "systematic performance appraisal, designed to bring about a better relationship between pay, responsibilities and performance, especially teaching performance in the classroom.

Second, appraisal can be seen as the culmination of a series of moves designed to improve the professional development of teachers and to identify more precisely their in-service training needs. Teacher appraisal can be seen as arising from moves to develop teachers as professionals. In this context, appraisal can be seen as both a form of in-service training and a means of identifying further inservice training needs (Bollington et al., 1993:2).

Third, appraisal is also linked to attempts to develop the management of schools. In the UK, Guidelines for Review and Internal Development in Schools (GRIDS) was used to facilitate the introduction of teacher appraisal (Bollington et al., 1978:12).

Existing methods of teacher appraisal in the U.S.A are: assessment of pupil performance, observation of teachers, assessing teacher knowledge and appraisal interviews.

The Scottish Education Department (SED) announced its plan for appraisal in school and further education colleges towards the end of 1990. Appraisal was to be phased over a four-year period beginning, as in England and Wales, in 1992-1993, with half the teaching force to be within the appraisal arrangements by the beginning of the 1994-1995 session, one year more than in England and Wales.

In Scotland schools were actually charged in the guidelines with making formal arrangements within their appraisal schemes indicating how relevant information from appraisal procedures will be fed into the other process (Poster & Poster, 1993:200-201).

Chetty et al., (1993:2) report that South Africa's system of appraisal has been largely inspectorial and bureaucratic. It shares with all other aspects of the education bureaucracy a top-down, closed, hierarchical and authoritarian character. Before the democratisation of South Africa, appraisal has been concerned with bureaucratic efficiency and social control rather than professional development especially in the case of black teachers. It should be remembered that South Africa had a different educational system altogether. Each system was operating in a different way. In the black educational system, the scheme was not negotiated by all stakeholder (e.g. unions, parents, students and teachers). The structures of the nine departments differed and the qualifications of teachers and experience also differed. As a result of lack of uniformity, the department of education was faced with a lot of problems in implementing staff appraisal. Questions such as: why appraise? what are the benefits of appraisal? What is the perception of teachers in appraisal? etc. were always a concern.

Chetty et al., (1993:20) further believe that if teachers are to be appraised effectively, the problems and weaknesses in the bureaucracy and inspectorate need to be addressed. They have suggested the main requirements for a new system of teacher appraisal to be used in South Africa and these are:

- * a process of teacher appraisal which is democratised, developmental, sensitive to context, teacher-centred and capable of delivery;
- * a resourcing, training and action plan;
- * a process for reconsidering recruitment procedures and job definitions of

inspectoral staff;

- * a pilot run and testing period of the system finally adopted.

2.6 PERFORMANCE APPRAISAL OF TEACHERS/LECTURERS

Performance appraisals can be discussed under various topics. In this section a few topics were selected and will be discussed as follows:

2.6.1 Why appraise?



Although appraisal is done in schools or colleges, it is not always done in a proper or acceptable manner. The worst form of staff appraisal are casual judgments based upon knowledge gained by chance on random occasions and kept secret from those who have been appraised (Trethowan, 1987:2). This is evident from the old methods used by South African schools where a panel of inspectors would come to a school to appraise teachers without any pre-conference with the teacher and even keep the result secret, without any feedback. Such judgements cannot only distort development in the teacher's present school but, when included in a confidential reference, have a similar sinister effect upon promotion applications to other posts (Trethowan; 1987:2).

Jones & Mathias (1995:17) identify the following reasons why appraisal is done:

- * To inform the teacher of current performance, and to provide feedback and recognition;
- * To stimulate improved performance, where necessary;
- * To encourage the acquisition of new skills to improve performance;
- * To assess the professional skills present within the school;
- * To aid planning;
- * To identify strengths and weaknesses;

- * To help satisfy the demands for greater accountability; and
- * To aid the development of the institution and individual within it.

The above reasons can be used for staff development, and can also help in improving communication within colleges and providing individual lecturers with feedback, reassurance and motivation.

2.6.2 What will be appraised?

Appraisal should be based on an established job description. A major focus will, of course, be on classroom practice. However, the appraiser is entitled to deal with all the professional duties undertaken by the teacher, including temporary responsibilities. The appraisal is likely to be more purposeful if it focuses on specific areas of work (Goddard & Emerson, 1992:41).

2.6.3 The job description

Appraisal should be firmly based on the teacher/lecturer's job description. Unfortunately, for many teachers, job description may be non-existent, or may be available only in a rudimentary form. When an appraisal system is being developed in a school, one of the first areas which may need attention is the creation or amendment of job descriptions. All teachers\lecturers ought to be in possession of a clear job description which accurately reflects the duties and responsibilities laid on them (Gaddard, and Emerson (1992:78), Poster & Poster (1993:39-40), Jones & Mathias (1995:25).

The format of the job description can vary, but the following are the essential contents:

The title of the post;

The person(s) to whom the post holder is responsible;

- # The objectives of the post;
- # The areas in which the job will operate; and
- # The detailed duties associated with each area (Goddard & Emerson, 1992:78; Jones & Mathias, 1995:25).

2.6.4 Establishing performance appraisal criteria

It is important that the views and perceptions of the people centrally involved in appraisal, should be taken into account when establishing performance criteria to be used when appraising teachers/lecturers.

A criteria is a standard or a gauge. This standard makes up the frame of reference against which the performance of an individual is measured (Bondesio & de Witt, 1991:262).

The first stage in the appraisal process is to define a teacher's job. According to Bell (1988:22) it would be a mistake to conceive of an appraisal system as applying to unchange arrangement and unchanging requirement upon teachers. Performance criteria should be specific rather than in broad terms because the assessment may mean different things for different teachers and in different schools. The criteria should be negotiated with the teacher before an appraisal period begins. Negotiation of the criteria with an individual teacher should be conducted within the context of the general practices and policy of the school. The criteria should be objective rather than subjective. In most cases those passing an opinion on teachers' classroom competence look at the following aspects:

- * The behaviour and experience of pupils (whether what they are doing is worthwhile, whether they appear to be absorbed in their task or misbehaving, the extent to which the task matches the pupils' ability and previous experience);

- * The behaviour of the teacher (professional skills such as the ability to explain new concepts, ask appropriate questions, manage the badly behaved, prepare lessons organise a classroom, assess and monitor progress);
- * Outcomes of teaching (what pupils appear to have learned, including the knowledge, skills, attitudes and values they acquire as a direct or indirect result of whatever the teacher has done) (Wragg, 1987:8-9).

Other aspects that could be used as criteria for performance appraisal are:

- * Knowledge of subject
- * Preparation of planning
- * Implementing managing instruction
- * Students' records
- * Classroom discipline
- * Record keeping
- * Examination results (Bell, 1988:24).

2.6.5 How often does appraisal take place

Most school-appraisal systems in the U.S.A are based upon the academic year with targets set for the beginning of the year in September and appraisal at the end in July. There may be interim reviews at mid-year or termly.

2.6.6 Who appraises (Appraisal panel)

Appraisal is most commonly undertaken by a manager of a subordinate. In most cases it becomes difficult to say who should appraise when the number of staff increases because the control span becomes increasingly

wider making it more difficult to have the necessary depth of knowledge of the teachers' work to conduct appraisals successfully.

In any system the point may be reached when the appraising becomes less meaningful because the appraiser is not sufficiently in touch with the work of the teacher. Appraisals then need to be delegated by the Principal to another senior member of staff who remains accountable to the Principal.

Since teachers have such a strong affinity to their academic departments, it seems natural that their appraisers should be their departmental heads. In the case of Technical colleges, these departmental heads are Principal lecturers (Wragg, 1987:25).

Castetter (1996:286) pointed out that to determine the appropriate agent to make the appraisal, depends on the purposes of the appraisal. For example, if the purpose of the appraisal is for formative appraisal, it should involve both internal and external personnel on the panel.

Research findings indicate that:

- * Peer evaluation and self-evaluation work best in formative appraisals, under conditions of high interpersonal trust, highly specialized skills, and highly visible among peers;
- * External appraisal personnel are useful on occasions, especially where specialists are needed to assess performance effectiveness of executives;
- * Committees are employed infrequently but have the advantage of reviewing personnel performance when appraisal judgments are questioned, or for offsetting biasness that may exist on the part of an appraiser;

- * The immediate superior is responsible most frequently for preparing summative appraisals. Occasionally, external personnel are involved in this type of personnel action.

Appraisal of teachers by anyone other than educational professionals is a contentious matter. People such as parents, members of the school council, members of the Student Representative Council are all representatives on councils and education committees. They are quite rightly involved in decisions about education but judging the worth of individual teachers in their classroom and schools is a different matter.

In the U.S.A there has been an example of students ratings forming the basis of lecturers' merit awards. Some academic staff tried to curry favour by awarding generous marks to their classes so that the students can rate them high, but in general this was usually spotted (Wragg, 1987:13-15).

2.6.7 Confidentiality of performance appraisal reports

The success of an appraisal interview depends largely upon the trust which exists between the teacher and his/her appraiser. The performance discussion must be "full and frank" with the participants free to identify weaknesses and reveal feelings. In these circumstances, appraisee or appraiser may well reveal information which neither would want passed on to others. If teachers are to be frank, open and forthcoming in the appraisal process, they must be reassured that the contents of their appraisal discussions will not be reported except in strictly controlled circumstances. In the U.S.A appraisal statements are kept in the school, not at LEA offices, and are available only to the appraisee and the appraiser (Evans & Tomlinson, 1989:19, and Trethowan, 1987:111-112).

The question of confidentiality brings about the issue of closed and open appraisal. When closed appraisal is conducted, the people being appraised do not see any written report or grade and are not made fully aware of any adverse criticisms of them, though they may be given a verbal overview of the general tone of a report. Open appraisal is when the people being appraised see the report written about them and are given the opportunity to comment about the remarks of the appraiser.

The question of open and closed appraisal must be discussed early in the process of establishing an appraisal system, as must the related matter of the form of any written paper and the "ownership" of it (Wragg, 1987:20).

2.6.8 Appraisal interview

Depending upon the approach and strategy decided upon, either the appraiser or the appraisee should go through the pre-interview checklists in an orderly sequence as the basis of analysing performance. The job description and performance targets should be reviewed to bring out those areas where the staff member has performed well and where improvements are needed. As this is done, staff training and development needs should be identified and agreed upon (Field, 1987:676).

Field (1987) further explains that during the process the appraiser should also take particular note of the interviewee's interests and career aspirations. The appraiser will need to consider what actions the college should take to encourage the staff member.

The outcomes of the appraisal should be agreed by both parties, including:

- * changes in job description;
- * changes in tasks and performance targets;
- * staff training and development needs.

2.6.9 Pre-interview preparation for the appraisee

The appraisee/interviewee needs to be prepared for the appraisal interview. The document provided for the member of staff must be closely linked to the appraisal form being used. It should provide a framework which helps the individual to:

- * think about performance;
- * identify strengths and weaknesses;
- * identify training and development needs;
- * suggest where improvements can be made in the college's system; and
- * point out where management action can support and improve staff performance (Field, 1987:677).

Appraisal takes both time and administrative support if the system is to be sustained at an effective level. It is therefore imperative that both parties, that is the appraiser and appraisee be actively involved in the preparation of the interview.

2.6.10 Teacher's perception of Appraisal in U.S.A

In the U.S.A many teachers feared appraisal. The fear seems to be born of all those frustrating and difficult experiences during training, and to lie in the fear of the unknown and untrusted. A study was conducted by Turner and Clift (1988:157-7) on the teachers perception about appraisal and the study revealed that some teachers were uncertain in their view and others had mixed feelings. It was also revealed that many teachers were receptive to the introduction of appraisal from the very beginning whilst others were hostile.

The perception of teachers were classified into positive and negative views. Of those teachers who adopted a positive view of appraisal, many saw it as

merely formalizing what was already happening in an explicit system of appraisal, such as improvements in communication between staff at different levels in the hierarchy, especially in large schools, and a system of support.

Teachers who had positive attitudes to appraisal tended to stress the opportunity provided by a formal scheme for facilitating teachers' self-appraisal. Many teachers stressed that they were in favour of having appraisal as long as it was conducted in a positive way. That appraisal should be constructive in the sense of helping teachers to solve problems.

Many teachers on the other hand expressed a negative view of appraisal. The common negative perception was that appraisal was a threat to teachers. It would be used in order to find fault, to spot weaknesses, to catch people out and would induce fear.

Some teachers were reluctant to be appraised because they believe it could have negative outcomes: what was said in an appraisal might be held against them at some time in the future. Others believe that appraisal would be open to manipulation and that particular individuals would come out of it well, not because they were good teachers but because they could "charm" the appraiser.

A further concern was that, despite the attempt to make appraisal a more systematic process, it would still operate in a very subjective way and even give more weight to subjective opinion.

2.7 BENEFIT FROM APPRAISAL

It is important that the appraisal of lecturers' performance should not be done for the sake of achieving organizational goals only, but lecturers should also benefit from it. Trethowan (1987:6-10) identified two categories of benefits: namely: benefits for the teacher and benefits for the school:

2.7.1 Benefits for the teacher

*** Role classification**

According to Trethowan (1987:6) the target-setting and appraisal system clarifies with and for the teacher what is expected from teacher performance. The first point of clarification made necessary by appraisal and target setting is who is directly responsible for the teacher's performance and for giving the teacher day-to-day support? In Technical Colleges the appraiser is the lecturer's departmental head, divisional head and principal.

*** Task clarification**

The appraisal target-setting system also requires that each teacher be given a clear job description in the basic task of teaching. The job description should be accepted by both appraisee and appraiser as the standard performance.

It is important that staff understand what is required of them so that they can perform to the best of their ability (Trethowan,1987:6).

*** Participation in target setting**

The most effective form of appraisal of professionals lies in the joint setting of targets, identified, monitored, and achieved by agreement between the teacher and the appraiser.

Another teacher benefit is the chance to discuss career prospects and to set a target which develops personal and professional skills.

* **How did I do? Feedback between the appraisee and appraiser**

Appraisal creates that special occasion when time is devoted to the teacher and his or her performance. Appraisal allows teachers to know how well they are doing, offering a fair and objective method of evaluating teacher performance. It is a means of giving credit for good performance, and a chance to acknowledge achievements and enter into "celebration" of a valued contribution to the school (Trethowan, 1987:7).

* **Teacher stress**

The reduction of stress amongst teachers can be a further important result of an appraisal programme. In order to reduce stress, it is important that teachers be given regular feedback on their performance, and this can be done through appraisal schemes (Trethowan, 1978:8).

* **References and institutional judgement**

Another benefit is that references can be written from a more informed viewpoint. They are likely to be more open, in that more readily predict the contents, since he or she is aware of what can be placed to his or her credit. The appraisal process can greatly enhance the level of institutional awareness.

2.7.2 Benefits for the school

* **Teamwork**

The advantage of teamwork is that one teacher can be asked to help another in the team with teaching problems, for example, a lecturer having problems in the presentation of a lesson to a personnel management class may ask another lecturer to help or present the lesson. As team members the staff

may also identify gaps in team performance and fill them through the targets they set (Trethowan,1987:9).

* **Awareness and problem solving**

Appraisal encourages openness in problem solving with staff feeling free to signal their awareness of difficulties because they expect the problems to be dealt with. The judgement of people in all positions in the school hierarchy is respected with opportunity for its development in identifying and resolving problems (Trethowan,1987:9; Montgomery & Hadfield,1989:27-28).

* **Developing a caring school**

Appraisal is also an opportunity to show that the appraiser cares-not only about school-related problems-but about his/her teachers. Exercising a caring concern means more than listening, even though that can be much appreciated, it means taking action to help in the teacher's development, career progress and personal problems. Caring schools take action to help their pupils, and exercise an active caring concern for staff as well (Trethowan,1987:10).

* **School succession planning and handover information**

Montgomery & Hadfield (1989:27-28) also believe that successful schemes do have results which are often remarkably beneficial, for individuals, departments and the whole school.

* Lecturers benefit from appraisal because it brings about renewal of motivation, more effective classroom teaching, improved relationships with pupils and colleagues, more openness and sharing of ideas and problems, and a general improvement in the atmosphere of the school.

- * Another valuable benefit is that a well-conducted appraisal offers teachers the opportunity to have their contributions valued and appreciated. Their self-esteem is boosted and to them recognition is considered to be as important as financial reward.
- * The appraisal process offers teachers the opportunity to discuss and reflect, on a one-to-one basis, their individual concerns.
- * The appraisal process can increase the sense of belonging to a school or department, especially if the process is two-way and the teacher feels that he/she has a valued contribution to make toward policy making.
- * References can be written from a more informed viewpoint (Montgomery & Hadfield; 1989:28, Trethowan, 1987:8).



According to Montgomery & Hadfield (1987:28) and Trethowan (1987:9-10) appraisal process from the school or management point of view is that, the appraisal process can greatly enhance the level of institutional awareness. Information about staff feelings, achievements, strengths and difficulties, constraints and problems can mean increased sensitivity to the working atmosphere and improvement in decision-making and communication. The training needs of staff are more clearly apparent and this has implications for the provision of courses, resources and in-service initiatives.

Jones & Mathias (1995:17), describe the benefit of appraisals as follows:

- * Staff is encouraged to contribute to the discussions of school aims and goals;
- * Staff is offered a measure of how well they are doing;
- * The knowledge and abilities of staff are known and utilized;
- * Staff is encouraged to identify weakness and problem areas and supported in seeing practical solutions;

- * Staff is offered the opportunity of discussing both short and long-term plans; and
- * Staff is offered support in realizing ambitions and aspirations.

These benefits can only work if appraisers can freely discuss matters with appraisees and are willing to offer praise. When due, it is also important that the appraiser should be frank and open to the appraisee.

Goddard & Emerson (1992:23) also believes that appraisal is capable of bringing a number of benefits to the school and to individual teachers.

In summary, appraisal is not just a threat as most teachers/lecturers perceive it. It is evident from the literature that teachers/lecturers can benefit a lot from appraisal. These benefits will arise only where the school is managed in an open participatory way.

2.8 PROBLEMS OF PERFORMANCE APPRAISAL IN EDUCATION

There are many problems associated with the introduction of the performance appraisal systems. These include the time required to design and introduce systems, followed by the costs involved and the time needed to satisfy the needs of the system. The most important problems fall into the psychological area. Staff often consider the techniques to be threatening as they know that the appraisal may have a bearing on their future career and promotion prospects (Field, 1987:661).

According to Field (1987:661) everyone want an above average assessment with the result that poor ratings can have an adverse effect on self-esteem and discourage future efforts.

He further cited that those responsible for appraisal often feel uncomfortable with the procedure because of the potential conflict. They dislike having to

defend statements on areas of poor performance; they fear the conflicts which can result from differences of opinion. Because these conflicts may effect personal relationships. Those responsible for carrying out the appraisal often try to duck their responsibilities to spell out the content of their judgements on those they have appraised. It is not so much the judging which they find unpleasant, but rather the passing on of these judgements. Any negative comments, no matter how minor or how carefully passed on, can cause resentment (Field, 1987:661).

Peterson (1995:51) pointed out that the major problems of teacher evaluation are not only technical in nature but also include the human social and political context of evaluation activity.

Sociological problems concern the group dynamics of evaluation activity. These include expectations, roles, relationships, rewards, recognition, and sanctions in the social group in which teachers work (Peterson, 1995:51). Other problems occur during the recording of the assessment.

2.9 IMPROVING THE UNSATISFACTORY PERFORMANCE

The first stage in any improvement programmes is the recognition that the problem exists. Usually, in a sensitive atmosphere of trust, staff members are willing to discuss their weaknesses as they see them. This discussion of the teacher's performance may:

- * confirm problems known to the teacher/lecturer and the appraiser;
- * uncover weaknesses which the teacher sees as problems but which are not seen as such by the school;
- * expose weaknesses of which the school is aware of, but the teacher/lecturer is not aware of (Trethowan, 1987:87). These problems are categorized as follows:

- * In a trusting, positive atmosphere various courses of action to improve performance can be explored and formulated. Action may be needed by the appraiser or appraisee or both and a range of possibilities should be explored. The teacher is more likely to follow an improvement plan which he/she has helped to formulate, and more so if it is the teacher who is anxious to follow it and who is responsible for the outcome (Trethowan, 1987:87).

- * The second category of problem - the lecturer sees a problem where the school does not- requires patience and sensitive listening skills. The appraiser must be able to see the teacher's point of view and understand it, even if the appraiser does not agree with it. A teacher may, for example, feel that his/her discipline needs to be improved because of a comparison with the more authoritative style used by the teacher next door. Clarifying the criteria by which the college would assess good and bad discipline may reassure the lecturer that there is no organizational problem at all.

- * In the category of interview, the greatest problem is to have the teacher acknowledge and face the problem. Here the teacher is genuinely or apparently unaware that his/her performance is of concern. It is perfectly possible that a teacher believes that the standard of discipline or the quality of administrative work which he/she is producing is what the school requires. Effective induction techniques for new staff and regular appraisals would make it difficult to accept that any member of staff would be left for long in that state of blissful ignorance (Trethowan, 1987:89).

Having identified an aspect of unsatisfactory or poor performance, the next step is to isolate the cause of that performance and the final aspect is to agree on a solution. Much depends on whether the teacher is not performing well because of inability or because of unwillingness.

Trethowan (1987:90) pointed out that the cause for inability may be the following:

- * Lack of knowledge

This may be of an aspect of a subject discipline. Perhaps the teacher is not teaching his/her specialism or has not kept up to date with changing knowledge. Maybe the problem could be swiftly resolved if the teacher knew to whom to return for help in the college;

- * Lack of skill

Teaching, testing, or controlling and motivating the students. Maybe the missing skill is a personal one, such as an inability to prepare effectively, and to organize work;

- * Not enough personal challenge

This results in an unmotivated teacher. If there are little prospect of inservice training or of promotion the staff feel increasingly demotivated by the task. Motivation would come from prospects of improved status, promotion and personal growth;

- * Finance

Another example may be that of badly paid teachers. Without the prospect of promotion they are hard to motive because their efforts may be directed towards supplementing their salary through non-school work;

- * **Illness**

Some teachers have illnesses they do not wish others to know about. Some have known illnesses and feel able to continue working, but unofficially adjusting the level of performance. This adjustment may be in the form of increased absence or being less effective in the classroom or less efficient with school administration;

- * **The working environment**

Some teachers perform badly because they lack the appropriate materials, equipment or other resources to do better. Lack of resources can make the task more difficult and frustrating for both the student and the teacher.

If the appraiser and the lecturer agree that there is an unsatisfactory performance and the lecturer now wants to raise the performance to reach an agreed satisfactory standard, then the next step is to work together on the cause of the poor performance (Trethowan, 1987:90-92).

Trethowan (1987), Montgomery & Hadfield (1989) suggested guidelines for actions to be taken to improve performance. They are:

- * **Give feedback often**

Formal appraisal interviews may be taking place only once or twice a year. Feedback based on actual instances given as they arise will have best effect. Small changes in the short term add up to a big change in the long term;

- * **Teachers are people**

Understand their personal circumstances, their personal values, but accept that you have the right to change their school performance. However, it is essential to self-improvement that the teacher retains his/her self-respect. Build it, do not destroy it;

- * **It is not a personality change**

Concentrate on behavior which people can control. Neither appraisal nor counselling is intended to change personality. Focus on performance, not traits. Focus on ineffective job behaviour, based on incidents of which the head has specific examples which are legitimate and potentially fruitful areas for change;

When a programme is agreed upon, use all the target-setting criteria to ensure that there is no misunderstanding about what is intended to be achieved. Agree upon the dates of any follow up meeting and make it clear that the appraiser is giving time, energy and expertise to support the lecturers' improvement. Once the improvement process has begun, frequent positive feedback is essential (Trethowan, 1987:92-93).

2.10 THE INTERVIEWER'S ROLE IN THE APPRAISAL PROCESS

It is important that before the appraisal interview, the person responsible for conducting it should meet the member (interviewee) of staff being appraised to discuss the date of the meeting, its objectives and the system of pre-interview preparation to be used by both parties. Where pre-interview checklists or questionnaires are being used these should be gone through to ensure that they are fully understood. All doubts about the system should be removed at this pre-meeting (Field, 1987:675).

In the following section an overview of some teacher appraisal models will be discussed. These models can be used by the colleges interchangeably to suit the situation.

2.11 AN OVERVIEW OF SOME TEACHER APPRAISAL MODELS

There are several models of teacher appraisal in use in schools and colleges. The assumption about teaching, and about appraisal of teaching in particular, vary from one model to another. According to Seyfarth (1996:155) there are three models that are in widespread use in schools/colleges and these are: remediation, goal-setting, and portfolio. The major points about each model include the purpose, objectives, assumptions and typical methods of operation.

2.11.1 Syfarth model of appraisal

A brief summary of the major points in Seyfarth's (1996) model of appraisal is outlined below:

2.11.1.1 Remediation model

Under the remediation model, teachers who fail to meet performance standards may be required to demonstrate improved proficiency in specified areas or face termination. Assistance is provided to help teachers expand their skills, and if no improvement is noted after a reasonable time, action is taken. In some programmes a committee of observers, including peers, evaluates the teacher's performance and makes a recommendation for continued employment or termination. In the U.S.A, in other districts the evaluation process is carried out in the usual way, with the principal observing and rating the teacher's performance and recommending appropriate action (Seyfarth, 1996;156).

The remediation model works best with teachers who have correctable problems, who are motivated, and who have the ability to profit from instruction. Classroom management is an example of a problem for which teachers can usually be helped by the remediation approach. The model is most successful when specific corrective techniques can be prescribed and when support is provided to help teachers expand their skills (Syfarth, 1996:157).

The model requires evaluators to spend a good deal of time observing teachers and providing feedback. Seyfarth (1996) further points out that a few spaced observations over the course of a school year are not sufficient for solving most problems. For severe problems, observations should be scheduled two or more times per week, but for mild deficiencies, biweekly or monthly visit should suffice. Because of these demands, the remediation model is usually not practical for use with more than a small number of teachers (Seyfarth, 1996:157).



2.11.1.2 Goal-setting model

Goal-setting models of teacher evaluation involve teachers in selecting the criteria for evaluation. In this approach, each teacher selects developmental goal and identifies strategies for achieving them. According to Darling-Hammond (1986) as quoted by Syfarth (1996) these strategies might include observing other teachers, coursework workshop attendance, or reading. This approach is used most often for formative evaluation purposes. Goal statements are prepared individually but usually reflect a current schoolwide or systemwide emphasis. A typical goal-setting plan requires a participating teacher to meet with the evaluator near the beginning of the school year to establish the year's goal. The principal may approve the proposed workplan as submitted or amend it by adding additional goals or by revising those submitted by the teacher (Seyfarth, 1996:157).

Once a statement has been agreed to by both parties, it becomes part of the teacher's personnel file and constitutes a contract between the teacher and the district. The principal meets with the teacher once or twice during the year to check on progress. If necessary, the goals may be amended or revised at these meetings (Seyfarth, 1996).

The goal-setting model presumes that teachers are able to identify their own development needs. This model is not well suited for teachers who are having difficulty with classroom management or instructional organization, and in some schools that use goal-setting plans, teachers with identified deficiencies do not participate (Seyfarth, 1996:157). The plan is most effective when teachers' efforts are coordinated. When all teachers in a school work together toward improving questioning techniques, for example, the impact on students is far greater than when each teacher works independently of colleagues.

Problems with goal-setting model

Seyfarth (1996) points out some problems that may be encountered in implementing a goal-setting evaluation plan:

- * One potential problem is disparities in the difficulty of the goals chosen by teachers. Some teachers select goals that require little or no effort, whereas others identify objectives so ambitious that they exceed the time and other resources available to accomplish them. Both cases require the evaluator to exercise critical judgement in reviewing proposed workplans.

- * A second problem may arise at the end of the year when teachers are evaluated on the attainment of their approved goals. Unless the evaluator and the teacher have agreed beforehand what will constitute evidence of achievement of goals, disagreements may occur.

- * Evaluating goal attainment is further complicated by questions of equity when a teacher who has set ambitious goals fail to attain them, while another teacher proposes and easily achieves a modest list of accomplishments. Should the evaluator rate the more ambitious teacher lower for failing to reach all of the proposed goals, or should the difficulty of the outcomes be taken into account in evaluating the teacher? (Seyfarth:1996:19).

Strength of the goal-setting model

- * The major strength of the goal-setting approach is that it gives teachers autonomy in identifying and working toward attainment of professional objectives (Syfarth, 1996:158). According to Seyfarth (1996: 158) autonomy is a key to building commitment.
- * Goal-setting plans involve considerably more teacher input than the remedial plan (described earlier) and allow for flexibility in the determination of the criteria upon which teachers are evaluated. Their success is dependent on whether teachers approach the program seriously. It is most likely to be successful when used with teachers who are experienced and used willing to assume responsibility for their professional development (Syfarth, 1996:158).

2.11.1.3 Portfolio model

Portfolios are used to document changes in students' academic performance over time, and the idea has been borrowed for use as a device in evaluating teachers. Teachers prepare a portfolio by assembling a variety of information pertaining to their teaching and presenting it to an evaluator. The evaluator usually the principal or head of department reviews the information, from a picture of the teacher's style and effectiveness, and prepares an evaluative report on the teacher (Syfarth, 1996:158).

According to Bird (1990) portfolio evaluation appeals to teachers because it gives them more control of the evaluation process, but many teachers find that collecting the information, they need to assemble a file is onerous. Bird (1990) further says the process is somewhat less burdensome if specific guidelines are available showing what to include and what to omit. In some portfolio plans, teachers receive a checklist or outline of the materials they are expected to include in the portfolio. Items on the list include the following (Bird,1990):

- * Lesson plans
- * Sample tests
- * Sample handouts
- * Sample of completed student work
- * Grade distributions
- * Student evaluations
- * Parent comments
- * Teaching licence or certificate
- * Professional development activities
- * Documentation of teaching practices , including video tapes of class sessions

Teachers may also be asked to prepare a résumé with information about educational background, professional experience, and professional leadership.

2.11.2 Goddard and Emerson's model of performance appraisal

Goddard & Emerson (1992:10) identified two models of appraisal, that is: the staff development model and the accountability model. The staff development model supports teachers in doing their job as far as possible, the accountability model checks that teachers are doing their job properly. The two models are almost certain to elicit diametrically opposed attitudes from teachers.

2.11.2.1 The staff development model of appraisal

Features of staff development model of appraisal

Step 1: It celebrates what the teacher is doing well

For most people, job satisfaction and motivation come from the notion of a job well done. Encouragement comes from positive feedback, reward comes from seeing the task fulfilled. So, where do teachers obtain their feedback? There is one obvious source - the pupils or students. Praise from someone who really understands is the sort of praise which is appreciated. Parents may praise or blame. Even test scores may be used to reflect on teachers' effectiveness. Teachers need to feel that their work is celebrated by the people whom they respect, their peers. The systems to provide this do not exist. Appraisal can supply them (Goddard & Emerson, 1990:12-13).

Step 2: Identifying areas where the teacher may be able to improve

Goddard & Emerson (1992:13) indicate that appraisal is not a substitute for effective management. As soon as managers perceive a cause for concern, they should take action. The concern may arise from their own observations, or from comments or complaints from other staff, pupils or parents. Whatever the source, the manager should move to investigate and solve the problem as quickly as possible. It is not permissible, according to this model to defer or refer the problem to appraisal. This would be a dereliction of duty by the manager, and a misuse of the appraisal system.

This is not to say that appraisal may not have a part to play in the process. In investigating a problem, a manager may feel that the appraisal system can focus on the aspect of the teacher's work which is causing concern. For instance, a teacher's classroom control and discipline might be weak. The manager would no doubt provide immediate assistance, but could also

suggest that this be one of the areas to focus on in appraisal. The teacher's difficulties in these areas could then be analysed in some depth and could be the subject of positive help and guidelines.

Appraisal is more concerned with areas of performance which are not a cause of immediate concern or action (Goddard & Emerson, 1992:13).

Step 3: Assisting the career development of the teacher

Appraisal provides the opportunity for self-analysis by the teachers being appraised. It gives them the opportunity to identify their own strengths and weaknesses and to test these against the opinions of an independent observer.

2.11.2.2 The accountability model of appraisal

The model has four steps.

Step 1: It identifies incompetent teachers

It has already been noted that appraisal is not a substitute for effective management, and that unsatisfactory performance by teachers should be dealt with through normal management procedures rather than awaiting appraisal. A senior management team that depends upon appraisal to identify incompetence may itself be incompetent. Appraisal to identify incompetence may therefore be of little significance. Teacher's perceptions are important. If they see appraisal as having this somewhat negative purpose, their own reactions to the scheme may well be negative (Goddard & Emerson, 1992:15).

Step 2: Identifying weaknesses in a teacher's performance.

Identifying weaknesses is a matter of emphasis and purpose. Identifying areas where the teacher may be able to improve, was one of the features of a staff development model of appraisal. The purpose of this identification was positive to give support and guidance to the teachers to bring about improvement. On the other hand, the purpose of identifying weaknesses is to help determine pay or to start disciplinary proceedings, it may be difficult to obtain teacher co-operation in the scheme (Goddard & Emerson, 1992:16).

Step 3: Assessing performance for purposes of pay and promotion.

Appraisal which is directed towards identifying good performance, and towards the setting and meeting of targets, seems ideally suited to contribute to performance-related pay.

There are three problems with this system.

First, linking appraisal to pay, significantly alters the attitude of teachers to the process. Teachers must now present themselves in the best possible light. They no longer expose problems in the hope of receiving help and support. Appraisal is no longer a partnership between the appraiser and appraisee discussing professional practice. Instead, teachers need to market themselves, whilst appraisers need to look carefully below the surface of what is being presented.

The second difficulty relates to the criteria to be used to award the performance-related element of pay. If the targets set during appraisal are to be the determinant, then there must be comparability of targets between

teachers.

The third difficulty concerns the operation of a performance-related scheme. A good school will have in place salary policies and structures which reward staff fairly and maintain appropriate differentials. The school will thereby hope to recruit, motivate and retain staff of high calibre. For most schools, there is little enough money within the available budget to provide such structures (Goddard & Emerson, 1992:16).

Step 4: Providing evidence for any disciplinary procedures

From the manager's point of view, it will seem perfectly logical to use any relevant evidence during disciplinary procedures. Appraisal results might seem particularly useful, since the processes will have concentrated in some depth on the teacher's performance (Goddard & Emerson, 1992:17).

The compatibility of the two models will depend upon the attitudes which teachers are likely to adopt in understanding appraisal in each of them.

In the staff development model, appraisal is a genuine two-way process between the appraiser and teacher. It takes place in an atmosphere of trust and confidentiality, and self-appraisal is at its heart (Syfarth, 1996:18; and Cyriland Poster, 1993:9). The accountability model fosters defensiveness. It encourages teachers to defend their own position, to hide any weaknesses, and to blame management or others for any deficiencies in their own performance (Goddard & Emerson, 1992:17-18).

2.12 SIMILARITIES AND DIFFERENCES OF THE PERFORMANCE APPRAISAL MODELS

Differences in the models for performance appraisals are many. Remediation for instance has the following, it requires smaller numbers of teachers in

order to make it a success. It has high demands and as a result it is not a practical model for bigger groups. Goal-setting as a model that encourages teachers themselves to choose developmental goals and come up with strategies that will assist to achieve those goals. Compared to remediation, it is used for formative evaluation purposes and it is used for observing other teachers, coursework, workshop attendance or reading.

Further, remediation is good for teachers with correctable problems and are motivated and can gain from instruction; whilst goal-setting is not well-suited for teachers with difficulty in classroom management of instructional organization. Teachers with identified deficiencies tend not to participate. Attention to severe problems requires extended time because evaluators have to spend more time observing and must provide feedback.

In comparison, the Portfolio model differs in the following manner to the already named models in that it is an approach of documenting changes in students' academic performance and it is now used for teacher appraisal. Here a checklist of items is drawn including drawing of a resume with information about educational background.

Teachers tend to find compilation of information and assembling of files being a burdensome job though less so if the right specific guidelines are adhered to.

It is found again that disparity or disparities in goals chosen by teachers, the evaluators have to review critically the different plans as submitted by teachers. The problem in goal-setting in this case is when attainments are evaluated at the end of the year, those that were not approved or agreed upon would raise misunderstandings between evaluators and teachers.

The other two models found or identified by Goddard and Everson (1992:10) namely staff development and accountability models. Staff models supports

teachers and accountability models check that teachers are doing their job properly.

Staff development model differs from the abovenamed models in that it directly reflects what a teacher does and celebrates a job well done. Emphasis is on job satisfaction and motivation, a notion of a job well done. Encouragement comes from positive feedback and reward from seeing the task fulfilled.

It identifies areas where the teacher may be able to improve and assists in the career development of the teacher.

The accountability model identifies an incompetent teacher, weaknesses in a teacher's performance, and assesses performance for the purpose of pay and promotion and providing evidence for any disciplinary procedures. It however has three-pronged problems, that is, linking appraisal to pay, totally changes the attitude of teachers to the process.

Remediation and staff development models share the similarities in that they are good for those teachers who are prepared to be developed, and their problems corrected. Remediation needs motivated teachers who can gain from instruction. A staff development model affords the appraisees the opportunity for self-analysis. It gives them the opportunity to identify their own strengths and weaknesses and to test them against the opinions of an independent observer.

Goal-setting model and staff development model have a similarity in that teachers are given a chance to choose developmental goals and also identify strategies in achieving them. A Remediation model like accountability model serves to identify incompetent teachers, hence one of the features under a staff development model was to identify those areas the teacher was able to improve.

The portfolio model, as does the staff development model, appeals to teachers. These models give them control of the evaluation process.

2.13 SUMMARY

Performance appraisal under these models can all be applied despite certain disadvantages and advantages in others. Some are overwhelmingly backed-up by teachers, for example, Staff development model.

Some models need understanding by teachers before they can be implemented, performance appraisal is still a feared aspect since it has not yet been entrenched in the minds of many teachers.

Like for instance under the Accountability model, teachers tend to find out about its negative and positive sides, if its purpose is negative their own reactions will obviously be negative and vice versa. Proper structures have to be put together in school or schools to make performance appraisal a success.

2.14 PERFORMANCE APPRAISAL IN COLLEGES IN U.S.A

In the negotiations that led to the salaries agreement in 1988, steps were taken to introduce staff appraisal into colleges on a formal basis for the first time. The lecturer's union, the National Association of Teachers in Further and Higher Education (NATFHE) approved the proposal which linked appraisal to staff development, while emphasising the importance of simultaneous institutional review (Bocock, 1988, NATFHE, 1989) as quoted by Block (1995:48-49).

Block (1995:49) recognised that many lecturers condemned cooperation with college management and regarded the introduction of appraisal schemes as a threat to the teaching profession. One fear was that salaries would eventually be based on individual performances monitored within local appraisal schemes, even though the national agreement specifically excluded

such procedures. Another concern raised by Block (1995:49) was that an institutional review would not be sufficiently linked into the appraisal process. Block (1995) acknowledged that the pilot schemes contained elements of good design, practice and outcomes giving benefits for appraisees, appraisers and the colleges, but also concluded that there were shortcomings.

2.15 COMPONENTS OF PERFORMANCE APPRAISAL

There are several components of staff appraisal in use. The components that have recently emerged and often been used in teacher appraisal are:

- * the initial meeting;
- * self-appraisal;
- * classroom observation;
- * the appraisal interview;
- * follow-up review meeting (cf. 1.2).

2.15.1 The initial meeting

The purposes of the initial meeting have been described in many ways. The main ones are summarised below:

- * to confirm the purpose and clarify the context of the appraisal;
- * to consider the teacher's job description;
- * to agree to the scope of the appraisal, in the context of school to departmental plans;
- * to agree to the scope of the appraisal, identifying areas of the appraisee's job on which the appraisal might usefully focus;
- * to agree on the arrangements for, and the scope of, specific self-appraisal and its relationships to the other components of the programme;

- * to agree on arrangements for classroom observation, subject to the requirement of the scheme;
- * to agree on the methods other than classroom observation by which data for the appraisal should be collected, subject to the requirements of the scheme;
- * to agree on a timetable for the appraisal process.

It is important for the success of the appraisal cycle that the appraisees and appraiser have a good professional relationship so that the appraisee feels confident about revealing possible areas of concern without being regarded as a poor teacher. A good relationship is important so that learning and development occur throughout the appraisal process (Horne & Pierce, 1996:31, Hopkins & Bollington, 1989:164, Poster & Poster, 1993:26, Evans & Tomlinson, 1989:32 & Jones & Mathias, 1995:7).

2.15.2 Self-appraisal



Hancock & Settle (1990:20-22) believe that it is fair to say every individual teacher undertakes some form of self-appraisal on a regular basis. They further say self-appraisal appears to be good in terms of self-development and the encouragement of personal growth, but can be poor for evaluative purpose. In essence the responsibility is placed upon the individual teacher who must establish short-and long-term performance goals for herself.

2.15.3 Classroom observation

The Advisory Conciliation and Arbitration Service (ACAS) report recommends that classroom observation should be the key element in the appraisal process as teaching is at the heart of the teacher's job. According to Horne and Pierce (1996:35), for years teachers have been able to close their classroom doors, build relationships with pupils and have a more or less

autonomous professional existence. The introduction of appraisal, alongside the insistence on schemes of work coupled with notions of staff development linked to school development plans, and insistence coherent monitoring and assessment procedures, has begun to change this perception.

Teacher's main fear of the classroom observation components of appraisal seemed originally to rest on the assumption that not only would they lose their autonomy but that some form of a standard checklist approach would be introduced (Horne & Pierce, 1996:36).

2.15.4 The appraisal interview

This component of the appraisal cycle is often referred to as the 'professional discussions'. An extended discussion between the appraiser and the appraisee is an essential and compulsory component of any appraisal scheme. During this process successes are identified and any developmental or training needs are agreed. At this stage professional targets for future action are set. These targets must be precise, realistic and capable of being monitored, whether they relate to individual needs or to the needs of the school. Ensure that when you set targets they are SMART:

- * Specific
- * Measurable
- * Achievable
- * Realistic
- * Time bound (Horne & Pierce, 1996:40)

The appraisal interview should provide an opportunity for genuine dialogue and must take place without interruptions (Horne & Pierce, 1996:40 and Poster & Poster, 1993:28). Poster & Poster (1993:28) take it further by saying, the appraiser's role, is to ensure that the agreed agenda is covered

and that skilful questioning and probing gives the appraisee the opportunity to do most of the talking and, through it, heighten her self-awareness.

Horne & Pierce (1996:40) say the following headings may be useful to help record the interview:

- * Teaching Activity Planning and Preparation
- * Classroom observation and Management
- * Teaching Skills
- * Relationships

2.15.5 Follow-up review meeting

This meeting can be as long or as short as is necessary, bearing in mind the relationships established and the time and financial constraints on school budgets. It does need to be formalised by agreeing on a time and a place. The follow-up review is then seen to be providing a formal opportunity to enhance the professional relationship developed between appraiser and appraisee.

It is important to review the progress made towards achieving the targets that were set out at the appraisal interview and outlined as part of the appraisal statement, as it may be necessary to modify or alter the targets, for reasons of both time and experience (Horne & Pierce, 1996:44-45).

After the review meeting, the appraisee and appraiser should look to the future and discuss how to improve the process.

2.16 TECHNIQUES FOR APPRAISING PERFORMANCE

Scribbins & Walton (1987:36-39) identified four main techniques for appraising performance as follows:

2.16.1 Rating scales

These involve deciding the most important qualities to be assessed and requiring the appraiser to mark each of them, plus over-all performance, on a scale such as:

- * Outstanding
- * Very good
- * Good
- * Fair
- * Not quite adequate
- * Unsatisfactory

Comparability is of course a debatable aspect of performance appraisal. If it is to be an objective, a rating scale technique is likely to be necessary, but the disadvantages of that system and particularly its potential for allegations of unlawful discrimination may well mean that comparability has little place as a performance appraisal objective (Scribbins & Walton, 1987:36).

They further outlined disadvantages of rating scales as follows:

- * making it easy to mark particular characteristics encourages subjectivity;
- * a tendency for appraisers to bunch people into categories 2 and 3, thereby reducing the effectiveness of the exercise;
- * the risk of marking being influenced by factors such as ethnic origin and marital status.
- * limiting the appraiser to a fixed range of assessment and not providing him\her with the chance to expand on a particular assessment;
- * failure to reflect the attributes necessary for effective performance in the job;
- * complex appraisal forms often covering many pages.

With the disadvantages likely to outweigh the advantages, rating scales on their own are unlikely to be a sufficient foundation for an effective

performance appraisal system for further and higher education (Scribbins & Walton; 1987:37).

2.16.2 Results-orientated appraisal

Under this the appraiser and person being appraised agree on work objectives for the forthcoming period and how these may be achieved. At the interview, performance during the period since the last appraisal will be discussed with particular reference to the targets set at the beginning of that period.

Advantages of results-orientated appraisal can be:

- * more objectively than the rating scale method;
- * motivation through goal-setting and task orientation, leading to greater participation in the appraisal by the appraisee;
- * by being job related, minimising the risk of infringing equal opportunities legislation;
- * improving the employee's view of his\her job;
- * collaboration with the employee in setting objectives;
- * useful feedback.

Disadvantages include:

- * no scope for comparing one employee with another;
- * possible difficulty in finding objectives which can be defined realistically;
- * risk of focusing on limited objectives to the exclusion of other aspects of performance appraisal;
- * objectives becoming irrelevant through rapidly changing circumstances;
- * setting objectives that are no more than the minimum performance requirements of the job.

Results orientated appraisal can in practice produce the type of Performance Review and Development (PR&D) system which would be appropriate for further and higher education institutions (Scribbins & Walton, 1989:38-39).

2.16.3 Essay methods

Here, the appraiser is required to produce a pen-picture of the person appraised, perhaps by reference to a checklist of relevant qualities. These may be more appropriate for persons in very senior posts.

Advantages are the simplicity of the method and the scope it affords to the appraiser. Disadvantages are the difficulty in comparing one assessment with that of another person at a similar level, the appraiser's ability and willingness to express him\herself in writing, and the highly subjective document which can result from use of the method (Scribbins & Walton, 1989:39).

2.16.4 Critical incidents methods

The appraiser is required continually to monitor an employee's performance and to record on a form or forms incidents of good and poor performance. The method has the advantage of being relevant to the job and to the employee's performance of it, but on its own it can engender distrust in an employee who may regard it as too much of a 'big brother' approach. Disputes about the matters recorded can follow.

The method can be useful when trying to persuade an inadequate performer to improve the standard required; the documentary record of the success or otherwise of the attempts to do so can form an important part of management's monitoring of the employee's progress, or lack of it (Scribbins & Walton, 1989:39).

2.17 RESEARCH FINDINGS ON PERFORMANCE APPRAISAL

In Britain, the Department of Education and Science (DES) commissioned the Suffolk Education department to examine appraisal schemes in operation in industry and commerce as well as in schools. The first results of the Suffolk's team findings and recommendations were published a year later under the title *Those Having Torches ... Teacher Appraisal: A study* (Graham, 1985). This has proved influential in promoting a positive approach towards the benefits and problems of introducing formal appraisal in schools (Montgomery & Hadfield, 1989:45).

The main conclusions of the findings were that while a national scheme of appraisal would be very costly in terms of time and training, it would be justified by results. Classroom observation was declared to be essential and should be followed by an interview where teachers could discuss their own performance and ways it could be improved. Both teacher and appraiser, it stated, need to see observation in a constructive light, and poor teachers should be offered support and training (Montgomery & Hadfield, 1989:45)

The Turner & Clift Survey for the Open University identified three factors which they considered were crucial in the operation of any appraisal scheme. These factors are:

- * The climate or "ethos" of a school is important in terms of how appraisal operates. Appraisal schemes depends on existing modes of organization and personal relationships to make them work, so it is not suggested that there is any single, good type of scheme, or that a particular scheme can easily be made to work in another institution.
- * How a scheme is introduced is important. The most successful schemes appear to be those which developed slowly, were set up in a non-threatening manner and were voluntary and oriented towards

professional development rather than assessment of performance.

- * The size of the institution also seems to be an important factor. Large schools tend to operate through their existing management structures. Most schemes operate in a hierarchical fashion, with appraisal being conducted by senior staff, but there are a few experiments with peer appraisal and more 'open' systems.

The research report found that the types of scheme could be placed in three main categories:

- * Appraisal interview by senior management;
- * Observation and interview by senior management; and
- * Departmental review (Montgomery & Hadfield, 1989:50).

Authors such as Hopkins & Bollington (1993), Poster & Poster (1993), support the notion that classroom observation is the most frequently requested form of appraisal. Another report recommended that teachers should be consulted and involved in the development of acceptable criteria and procedures for appraisal (Montgomery & Hadfield, 1989:41).

2.18 SUMMARY

This chapter examined performance appraisal systems in various countries. The main focus was on appraisal schemes of U.S.A, UK and Britain. The literature discussed in this chapter also revealed that little has been documented about performance appraisal in Technical colleges.

In going through literature, it was discovered that in developing countries like U.S.A and other countries, there are different appraisal models and techniques in use. This indicates that there is extensive efforts to address teachers performance appraisal. Few techniques were also outlined. Further

the importance of the negotiation between the appraiser and appraisee was discussed as well as the perception of teachers about performance appraisal.

The research findings outlined by various authors were also discussed. It should be noted that this type of research was done by pilot schemes which in some cases proved to be successful and in others met a lot of resistance from teachers.

CHAPTER 3

RESEARCH METHODOLOGY

3.1 INTRODUCTION

Chapter 3 addresses the method of research of the study conducted. The chapter further explains the rationale behind the methodology employed, how the research was conducted, and what steps were taken to ensure the validity of the study. Chapter 2 provided a review of literature, and the purpose of the study as stated in chapter 1 was the guiding force in this study.

Empirical investigation is needed to determine whether Technical colleges in the NWP do have an appraisal system, the problems that lecturers experienced during performance appraisal and their perception about performance appraisal systems.

3.2 INSTRUMENTATION

The instruments employed in the collection of data in surveys are questionnaires and individual interview (Borg & Gall, 1989:418; Babbie, 1989). Survey research is the administration of questionnaires to a sample of respondents selected from some the population. Questionnaires may be administered in three basically different ways:

- * Self-administered questionnaires may be completed by the respondents themselves;
- * interviewers may administer questionnaires in face-to-face encounters; reading the items to respondents and recording the answers; or

- * interviewers may conduct telephone surveys (Babbie, 1989:257).

The purpose\aim of this study as outlined in chapter 1 and as mentioned earlier in (cf. 3.1) is to determine through empirical investigation whether there is an appraisal system in Technical colleges in the NWP, how does the appraisal system work and the problems that are experienced by lecturers when being appraised.

The mail questionnaires were employed as a tool for collecting the data in this empirical investigation. The reason for using this tool is because a questionnaire is one way of communicating with the respondents in order to collect data. The use of a questionnaire is of an advantage because they can be readily and cheaply administered to large group of persons at the same time to elicit information (Legotlo, 1996). The researcher must note the fact that they may not be reliable. It was stated in the questionnaire that the information provided by the subjects was to be held confidential as they did not write their names on the questionnaire. As a result, the subjects were free to express their views knowing that it is intimate.

3.2.1 Advantages of a questionnaire

The mail questionnaire has advantages and disadvantages. The reason for employing this tool in this study is because of the following advantages outlined by Bailey (1978:156-157 and Legotlo (1996):

- * **Considerable savings of money**
- * **Time savings.**

Mail questionnaires can be sent to all respondents simultaneously, and most of the replies will be received within a week or so (although the final returns may take several weeks or longer), while interviews are

generally performed sequentially and may take months to complete.

- * **The questionnaire may be completed at the respondent's convenience.**

The respondent may spend more total time on it than he/she might in an interview study, as he/she is not forced to complete all questions at one time. The respondent is also able to answer the easy questions first and take time to think about answers to the more difficult ones.

- * **Greater assurance of anonymity.**

Since there is no interviewer present who can identify him/herself, the respondent may be more willing to provide social undesirable answers, or answers that violate norms.

- * **Standardized wording.**

Comparison of respondents' answers is facilitated by the fact that each responded is exposed to exactly the same wording.

- * **No interviewer bias.**

There is no opportunity for the respondent to be biased by an interviewer. An interviewer bias answers in many ways, such as prompting through voice inflection, assuming that the respondent will answer a certain way, or telling the respondent his/her personal opinion.

* **Security information**

The mailed questionnaire allows the respondent to consult his or her records, confer with colleagues, or conduct research before answering, while the interview generally does not.

* **Accessibility**

Respondents who are widely separated geographically can all be reached for the price of a postage stamp, as compared to expensive travel costs for interviewers.

3.2.2 Disadvantages of Mailed Questionnaires

Bailey (1978), Legotlo (1996) and Borg & Gall (1989) mentioned the following disadvantages of a mailed questionnaire:

* **Lack of flexibility**

With no interviewer present, there can be no variation in questions asked and no probing for a more specific answer if the respondent's first answer is too vague or general to be useful.

* **Low response rate**

This can be because of the following reasons: the poorly educated are unable to read the questionnaire and write the answers. Even many highly educated people feel that they can express themselves better through speaking than through writing, or are simply too lazy to write lengthy paragraphs.

* **Verbal behaviour only**

There is no interviewer present to observe non verbal behaviour or to make personal assessment concerning the respondent's ethnicity, social class, and other pertinent characteristics.

* **No control over environment**

In a mailed questionnaire study there is no assurance that the respondent will be able to conduct the study privately.

* **No control over question order**

A masterpiece of question order, devised by the researcher to eliminate the response bias, may be ruined by a respondent who reads the entire questionnaire before answering, skips some questions, or does not answer questions in the order in which they are presented.

* **Many questions may remain unanswered**

With no supervision while filling in the questionnaire the respondent may leave some questions unanswered.

* **Cannot record spontaneous answers.**

It is difficult to gather spontaneous first opinions, as the respondent has an opportunity to erase a nasty answer that he/she later decides is not diplomatic.

* **Difficult to separate bad addresses from nonresponses.**

Although some questionnaires that fail to reach the respondent are returned to the researcher, many fall into the hands of the new tenants who throw them away, while others are forwarded to a second bad address rather than being returned.

Although the disadvantages of mailed questionnaires outweigh the advantages, the mail questionnaire is still commonly used in the collection of data. According to Legotlo (1994:163) with great care taken in the construction of the questionnaire and its administration more favourable responses could be attained.

3.3. QUESTIONNAIRE CONSTRUCTION

The questionnaire is the measuring instrument used to collect data and it has the greatest influence on the reliability of the data collected (Legotlo, 1996). It is important that great care be taken when designing a questionnaire because an improperly laid out questionnaire can lead respondents to miss questions, can confuse them about the nature of the data desired, and it is the extreme, may lead to throw the questionnaire away (Babbie, 1989:145).

Legotlo (1994) says a well-designed questionnaire boosts the reliability and validity of the data to acceptable levels of tolerance.

The key word in questionnaire construction is "relevance". It is therefore imperative that prior to questionnaire construction the researcher should see to it that the operational definitions matched the theoretical concepts and that the sample matched the population from which it was drawn. In questionnaire design the researcher must combine both spheres, making sure that the question measure the theoretical concepts adequately and that the sample of the respondents answers the questions adequately. The word

"relevance" has three different facets:

- * relevance of the study's goals;
- * relevance of questions to the goals of the study; and
- * relevance of the question to the individual respondent (Bailey, 1978).

Borg and Gall (1989:430-431) cite some of the rules for constructing a questionnaire as follows:

- * clarity is essential; ambiguity must be avoided;
- * short items are preferable as compared to long ones;
- * negative items should be avoided as they are misread by the respondents;
- * double-barrelled items which require the subject to respond to two separate ideas with a single answer should be avoided;
- * use simple language to be understood by respondents;
- * ask general questions first, then be specific; and
- * avoid biased and leading questions.

3.4 DEVELOPMENT OF THE QUESTIONNAIRE

The aid of the questionnaire was to gather information about the set-backs and developments experienced by lecturers in Technical colleges when they are appraised as well as their perceptions about performance appraisal and problems that they experience.

Two important strategies were employed to develop the questionnaire:

- * Firstly, set-backs and developments, perceptions, problems etc., raised in the literature concerning performance appraisal of teachers and lecturers in chapter 2 were examined.

- * Secondly, tools employed in the gathering of data in similar studies like Castetter (1992), Baker (1988), Jones & Mathais (1995), Turner & Cliff (1988), Seyfarth (1996) and Bollington et al., (1993) etc. were examined. The items included in the questionnaire were derived from the above sources.

3.4.1 Format and content of the questionnaire

The questionnaire was divided into two sections (see Appendix A) according to their focus:

Section A (questions 1-7). The purpose of this questions was to gather personal (Biographical data) information about the respondents.

Section B (question 8-29). To determine set-backs, developments, and problems faced by lecturers in the Technical colleges in performance appraisal. Further, a space was provided for individual respondent's opinion. The questions were constructed with the aim of eliciting relevant data on the study conducted. All items in section B were developed from the literature study and closed and open-ended questions were developed as well as a five-point scale questions.

3.5 PRE-TESTING THE QUESTIONNAIRE

Pre-testing is the final stage in questionnaire construction and one of the most important. The initial effort is merely a rough draft. It can be administered to a few respondents so that its flaws can be identified and corrected (Bailey, 1982:149-150; Legotlo, 1996).

In order to determine any ambiguity, flaws and problems, the questionnaire was pre-tested using a sample of (n = 8) Technical college lecturers.

The eight (8) lecturers were asked to complete the questions to indicate

whether some questions seemed ambiguous to them, and to comment on other points that might need to be considered to improve the instrument (Borg & Gall, 1989:435).

The pre-test results were examined, and not all suggestions were taken into consideration as some were irrelevant to the study. The population of the pre-test was not used in the final study. Final questionnaire was administered to lecturers.

3.6 DATA COLLECTION

Data was collected by means of mailed questionnaires. Questionnaires were delivered personally by the researcher to all nine (9) Technical Colleges in the North West Province (i.e. Mmabatho, Lichtenburg, Jouberton, Klerksdorp, Potchefstroom, Rustenburg, Britz, Odi, and Kudube). These questionnaires were given to Principals of the colleges to distribute to the respondents, and collect them again from the respondents. They were later collected from the respondents.

3.6.1 Follow-ups

According to Babbie (1989:241), Legotlo (1994) follow-up mailings may be administered in a number of ways. Non-respondents are simply sent a letter of additional encouragement to participate. A better method, however, is to send a new copy of the survey questionnaire with the follow-up letter. If potential respondents have not returned their questionnaires after two or three weeks, the questionnaire probably have been lost or misplaced. Receiving a follow-up letter might encourage them to look for the original questionnaire.

Within a week 65% of questionnaires were returned and follow-ups were made telephonically with the Principals of the colleges and subjects. Within

another two weeks questionnaires were sent to non-returners to increase the number of questionnaires returned (Borg & Gall, 1989:440).

3.6.2 Permission letter

A letter was obtained from the University of the North West (written by the Supervisor: Dr M.W. Legotlo) to all Principals of Technical colleges in the North West Province requesting permission for the researcher to conduct the study at their colleges (see Appendix B).

3.6.3 Covering letter

The covering letter written by the researcher was attached to all questionnaires. The purpose of this covering letter was to:

- * identify the person conducting the study;
- * tell why the study is important and should be conducted;
- * tell why it is important that the respondent answer the questionnaire; and
- * assure the respondents that there are no right or wrong answers, that he/she will not be identified and that his/her answers will be treated confidentially (Bailey-145) (See Appendix C).

3.7 POPULATION AND SAMPLING

The first step was to identify Technical colleges in the North West Province. Technical colleges in the study refers to a state technical college or a state-aided technical college. Lists of all Technical colleges lecturers were received from the Directorate-Department of Education in Potchefstroom. For Manpower Centres structures of lecturers were received from the Director of Training-Labour Department.

From the records available it was discovered that the number of lecturers in Technical Colleges differ tremendously.

The second step was to select stratified sample of 190 lecturers to gather information about the set-backs and developments that are experienced by lecturers during performance appraisal.

Table 3.1 Distribution of the sample population per college

College	Sample population	%
Britz	12	6.3
Jouberton	19	10
Klerksdorp	26	13.7
Kudube	26	13.7
Lichtenburg	14	7.4
Mmabatho	26	13.7
Odi	26	13.7
Potchefstroom	26	13.7
Rustenburg	15	7.9
TOTAL	190	100

Table 3.1 shows the distribution of the sample population per college. A random sample of 26 lecturers per college was selected to participate in the study.

3.8 RESPONSE RATE PER COLLEGE

Questionnaires were distributed to 190 selected lecturers in Technical Colleges.

Table 3.2 shows the response rate of the selected lecturers per college.

TABLE 3.2 RESPONSE RATE PER COLLEGE

College	n	Response	%
No response			
Britz	12	9	7.2
Jouberton	19	6	4.8
Klerksdorp	26	25	20
Kudube	26	7	5.6
Lichtenburg	14	10	8
Mmabatho	26	24	19.2
Odi	26	15	12
Potchefstroom	26	19	15.2
Rustenburg	15	10	8
TOTAL	190	125	100

From Tabel 3.2 it is clear that of the total sample population (125) 66% usable questionnaires were returned. The response was good and this is a clear indication that when using contact persons when conducting research they can have an influence in driving subjects to fill in the questionnaires. Principals of colleges were used as contact persons and were telephoned every week to check whether the respondents have given them questionnaires already completed.

3.9 Statistical techniques

3.9.1 Descriptive data

A computer-aided statistical analysis was employed. The SPSS-programme was used to compute the result of the study. The first step in the analysis was to compute descriptive data of respondents. The data include statistics like frequency distribution, central tendency(mean), and variability (standard deviation).

3.9.2 Qualitative data

Principals of the colleges were interviewed on the 16th and 17th of September 1979 when questionnaires were delivered. The purpose of the interview was to find out about factors pertaining to performance appraisal in Technical colleges.

3.10 Summary

In summary, the mail questionnaire was employed as a tool to collect data because of its advantages (cf. 3.2.1). With the help of the UNIWEST computer centre, descriptive and inferential statistics were employed to verify the issues and challenges encountered by lecturers during performance appraisal in Technical Colleges.

CHAPTER 4

DATA ANALYSIS AND INTERPRETATION

4.1 INTRODUCTION

Chapter 4 discusses the results of the empirical investigation conducted to determine: Whether there is staff appraisal systems in Technical colleges in the North West Province; the problems that lecturers experience in performance appraisal, their views with regard to what should be done to improve performance appraisal in colleges and their perceptions about performance appraisal. The quantitative and qualitative data collected through the investigation are summarised and discussed.

4.2 REVIEW OF THE SUBJECTS

A total of 190 subjects were identified to take part in the investigation and 131 (69%) respondents returned the questionnaires. Six (6) of the questionnaires were returned incomplete, leaving only 125 (66%) usable questionnaires.

Although the response rate was above average, 66%, it is imperative to reflect on what emerged from the unusable questionnaires and the records of lecturers of Technical colleges. Initially, the proposed number of subjects per college was twenty six ($n=26$), but when questionnaires were distributed, it was discovered that some colleges have less lecturers and could not make up the proposed number. For example, Britz and Lichtenburg had only 12 and 14 lecturers respectively. The questionnaires were then distributed according to their numbers. It was discovered late that the numbers received from both departments (e.g. Labour & Education) were based on the proposed structures but not on the actual numbers of lecturers already employed.

4.3 Personal (Biographical) information of the respondents

Table 4.1 was drawn up to depict the personal information or characteristics of the respondents. A summary of the information provided in Table 4.1 is discussed below.

4.3.1 Age of the respondents

Seven age categories were provided so that subjects can select one in which they fall. From Table 4.1 it is noted that 74 (59%) of the respondents were between 30-34 years old, and only 8(6%) were above 55 years old. This implies that the majority of lecturers in Technical colleges are still in the forties and only a small number of those in the fifties is reflected. The majority of lecturers still have a number of years left till retirement.

4.3.2 Sex of the respondents

Table 4.1 reflects that 74(59%) respondents were male and 51(41%) were females. These data indicates that more males are employed in Technical colleges due to the fact that the Engineering field is staffed mostly by males. This can be ascribed to the fact that traditionally, women were discriminated against in certain careers, for example, the Engineering field.

4.3.3 Marital status of the respondents

Of the total respondents, 79% (99) were married, and only 18%(23) were single.

TABLE 4.1 DESCRIPTION OF PERSONAL DATA OF LECTURES IN TECHNICAL COLLEGES IN THE NORTH WEST PROVINCE

AGE (QUESTION A - 1)		
	f	%
No response	-	-
1.1 Below 20yrs	0	0
1.2 25 - 29yrs	17	14
1.3 30 - 34yrs	26	21
1.4 35 - 39yrs	24	19
1.5 40 - 44yrs	24	19
1.6 45 - 49yrs	14	11
1.7 50 - 54yrs	11	9
1.8 55 & above	9	8
TOTAL	125	100
SEX (QUESTION A - 2)		
No response	0	0
2.1 Male	74	59
2.2 Female	51	41
TOTAL	125	100
MARITAL STATUS (QUESTION A - 3)		
No response	0	0
3.1 Single	23	18
3.2 Married	99	79
3.3 Divorced	2	2
3.4 Widow/er	1	1
3.5 Seperated	-	-
TOTAL	125	100

SECTION IN WHICH APPOINTED (Q A - 4)		
No response	3	2.4
4.1 Business studies	63	50.4
4.2 Engineering	54	43.2
4.3 Home Economics	5	4
TOTAL	125	100
YEARS WORKING AT TECH. COLL. (Q A - 5)		
No response	0	0
5.1 Below 4yrs	42	33.6
5.2 5yrs - 9yrs	43	34.4
5.3 10yrs - 14yrs	26	20.8
5.4 15yrs -19yrs	8	6.4
5.5 20yrs & over	6	4.8
TOTAL	125	100
POSITION HELD (Q-6)		
No response	0	0
6.1 Lecturer	94	75.2
6.2 Senior lecturer	18	14.4
6.3 Principal lecturer	6	4.8
6.4 Divisional Head	2	1.6
6.5 Deputy Principal	1	0.8
6.6 Principal	4	3.2
TOTAL	125	100

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NO OF YRS IN POSITION (Q-7)		
No response	0	0
7.1 Below 5yrs	55	44
7.2 5yrs - 9yrs	43	34.4
7.3 10yrs - 14yrs	19	15.2
7.4 15yrs - 19yrs	3	2.4
7.5 20yrs & above	4	3.2
TOTAL	125	100

4.3.4 Section in which appointed

Table 4.1 shows that out of a total of 125 (66%) respondents, 50.4%(63) were appointed in the Business Studies section and 43.2%(54) were appointed in the Engineering section. Only 4% (5) were appointed in the Home Economics section. The low percentage in the Home Economics section could be ascribed to the fact that only two Technical colleges in the North West Province were offering Home Economics.

4.3.5 Number of years working at Technical college

From Table 4.1 it is noted that 85 (68%) of the respondents have been in service under 10yrs, with only 4.8%(6) 20yrs or more. This suggests that there are only a few lecturers in the North West Province with Technical experience. This could be ascribed to the fact that technical education in the past was not seriously emphasised as a pathway towards vocational training. Hence most lecturers were not trained in that field.

4.3.6 Position held

Table 4.1 shows that because of the different structures in Technical colleges in the North West Province, the percentage of respondents

occupying managerial positions was low (i.e. 24.8%) as compared to those in junior positions, that is 85.2%. Only 4 (3.2%) principals out of 9 responded to the questionnaire. Those who did not respond were asked to provide reasons and their responses were that since they are involved in managerial positions they do not lecture and they have not been appraised in the classroom situation for a long time.

4.3.7 Number of years in position (experience)

From Table 4.1 it is noted that of the total respondents, 98 (78.4%) were appointed in non-managerial positions and had less than 10yrs of experience, and only 3.2% (4) had 20 or more years of experience.

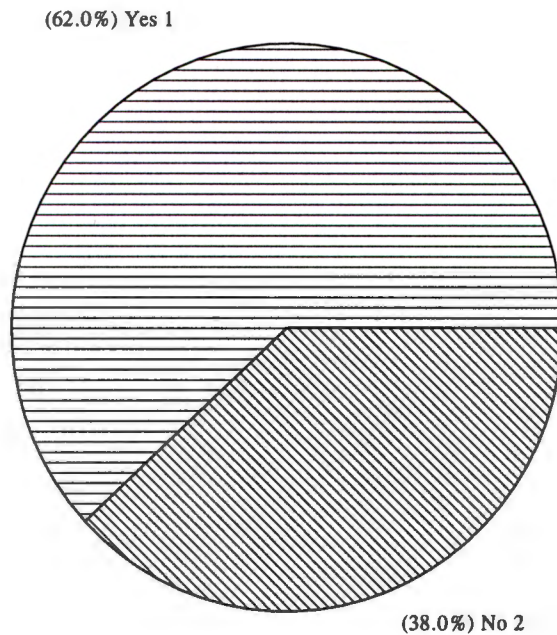
In summary, the personal information of the respondents discussed above gives a picture of how large a number of respondents are male, their status, experience and the sections in which they are working.

4.4 PERFORMANCE APPRAISAL

Section B in the questionnaires comprised of closed and opened-ended questions. Items which relate to one another will be grouped and discussed. It should be noted that missing cases do not appear in the tables.

The purpose of Section B was to determine empirically whether there is an appraisal system in Technical colleges in the NWP, the problems that lecturers experience in performance appraisal, their views with regard to what should be done to improve the performance appraisal systems in colleges and their perception of performance appraisal.

Figure 4.1: Provision of job description

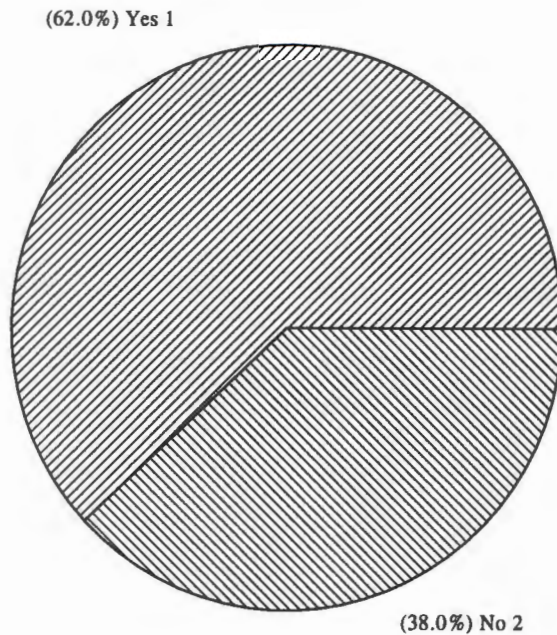


4.4.1 Job description

Item 8.1 Provision of Job description.

Figure 4.1 displays that of the total respondents, 62% (76) reported that they were provided with job descriptions when they assumed duty, and 38% (47) were not provided with job descriptions. Before an appraisal can take place, all teachers/lecturers ought to be in possession of a clear job description which accurately reflects the duties and responsibilities laid on them (cf. 2.5.3). A job description provides a clear indication to the appraiser and appraisee of what is expected during the performance appraisal.

Figure 4.2: Discussion of job description



Item 9.1: Discussion of job description

Respondents were asked whether they discussed the job description with their immediate seniors/supervisors.

Figure 4.2 gives an overview of the responses of the respondents.

The majority of the respondents (62%) reported that they discussed the job description with their immediate seniors whilst only 38% were never given an opportunity to discuss it. It is important that the job description be discussed by both the employer and employee. The job contents should be clarified and questions should be entertained to avoid problems of misunderstanding during performance appraisal. There is a large amount of literature which supports the view that when most subordinates are given the opportunity to participate in decisions, they tend to be more committed to those discussions, and decisions become "their" decisions, and they are

clear and mutual understanding of the job in question and would normally be on a one-to-one basis between employees and the immediate managers (cf. 2.2.1).

4.5 APPRAISAL SYSTEMS IN COLLEGES

Item 10 Availability of appraisal systems in colleges

The purpose of this section was to find out whether lecturers in the Technical colleges are appraised and the reason for being appraised.

From Table 4.2 of the total respondents, only 67% reported that they do have an appraisal system in their colleges and only 33% do not have the appraisal system. Although 67% of the respondents reported that they have the appraisal system in their colleges, they explained that the appraisal system was not in operation for more than 5 years. Respondents in some other colleges indicated in the questionnaire that performance appraisal was suspended because lecturers felt that management was too bias and prejudiced and there was no criteria for appraising them.

TABLE 4.2 APPRAISAL SYSTEM

	No response		(Yes) 1		(No) 2	
	f	%	f	%	f	%
Do you have an appraisal system in your college?	1	1	39	67	80	33

Item 11 Communication of reasons for introducing performance appraisal

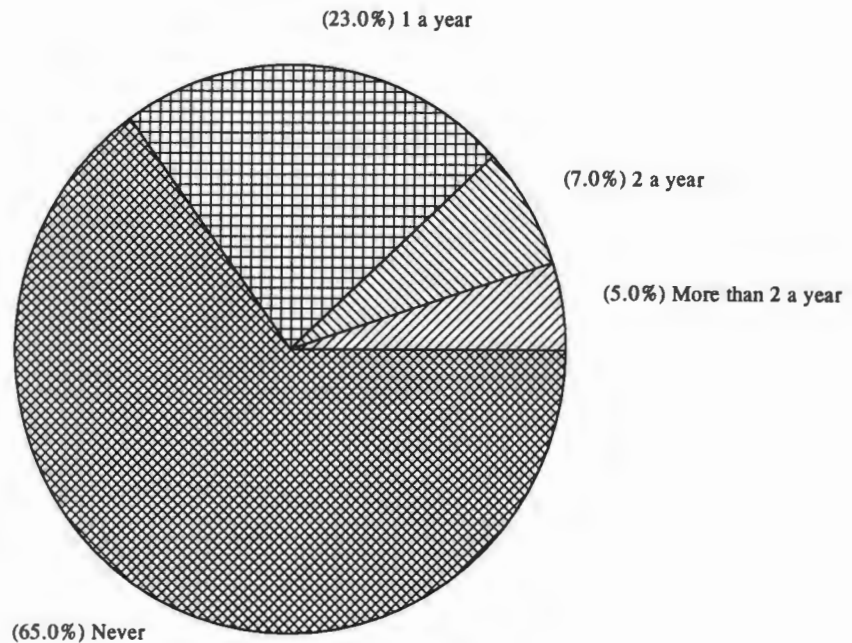
From Table 4.3 it is noted that 27% of the respondents reported that the reasons for introducing performance appraisal were communicated to them, 18% were uncertain. The majority of the respondents reported that the reasons for introducing performance appraisal were not communicated to them.

TABLE 4.3 REASONS FOR INTRODUCING PERFORMANCE APPRAISAL

	YES		NO		UNCERTAIN		NEVER	
	1		2		3		4	
	f	%	f	%	f	%	f	%
Were the reasons why performance appraisal was introduced to the college communicated to all staff members	29	27	42	39	19	18	18	17

This study suggest that colleges were rather uncertain about the reasons for introducing performance appraisal systems. It is not clear whether the purpose of introduction was to improve performance, promotions, merit or even the dismissal of poor performers.

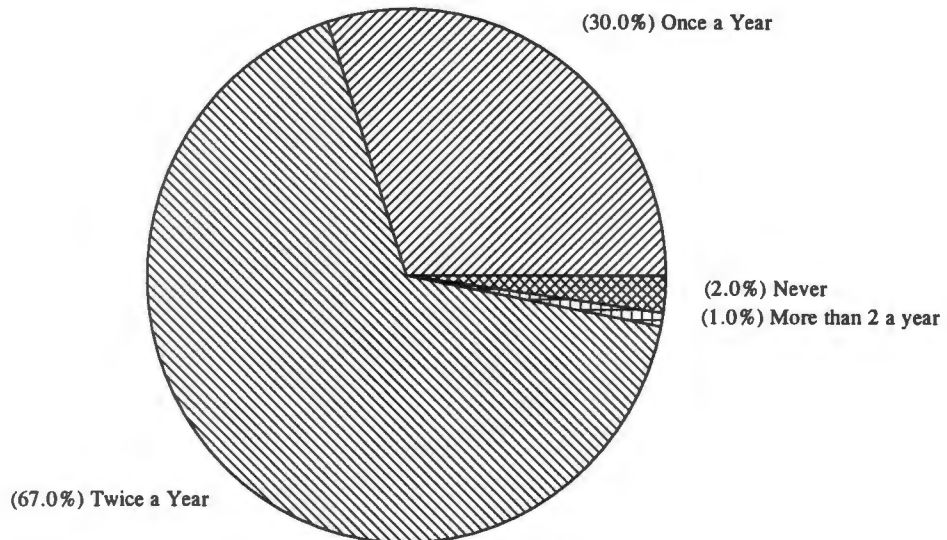
Figure 4.3 : Frequency of performance appraisal



Item 12 How often do appraisals take place in Technical colleges

Figure 4.3 shows that (65%) of the majority reported that staff appraisal is never done in their colleges, 23% of the respondents reported that performance appraisal is done once a year in their college, 7% twice a year and 5% more than twice a year.

Figure 4.4: Satisfaction of frequency of appraisal systems in colleges



Item 13 Satisfaction of the frequency of staff appraisal in colleges

Figure 4.4 indicates that of the total respondents, only 30% reported that they are satisfied with the frequency, whilst 67% of the total respondents were not satisfied with the frequency of staff appraisal in their colleges. In an open space provided in the questionnaire, they reported that if it is done once a year it provides no room for follow-ups.

Follow-ups are important especially when the purpose of performance appraisal is to improve the lecturer's performance. Deficiencies identified during performance appraisal will be rectified and during the follow-up process the appraiser will be able to see whether they are repeated or not.

4.6 APPRAISAL INTERVIEW

In this section the respondents were asked to circle the number that best described their opinion of the most recent appraisal interview in which they were involved.

The appraisal interview should provide an opportunity for genuine dialogue and must take place without interruptions (cf. 2.15.4). Table 4.6 provides a brief overview of the opinions of the respondents on appraisal interview in which they were involved.

Item 14.1 Appraisal interview covered my entire job

The respondents were asked whether the appraisal interview covered their entire job. Almost half (49%) agreed that the appraisal interview covered their entire job, whilst 24% was uncertain and 27% disagreed. This could be ascribed to the fact that most lecturers indicated that they do not have job descriptions and the appraisal interview which is not based on a job description, cannot cover what it is suppose to cover.

Table 4.4 RESPONDENTS' VIEW ON APPRAISAL INTERVIEW

Appraisal interview	No respon se											
	f	%	1		2		3		4		5	
			f	%	f	%	f	%	f	%	f	%
14.1 The appraisal interview covered my entire job			11	17	20	32	15	24	10	16	7	11
14.2 The discussion of my performance during the appraisal interview was covered equitably			6	10	28	44	11	17	9	14	9	14
14.3 The appraisal interview was accurately conducted			5	8	20	32	18	28	8	13	12	19
14.4 The interview was fair in every respect			6	9	25	39	17	27	9	14	7	11
14.5 The interview's purpose was simply not clear to me			3	5	12	18	12	18	23	36	15	23
14.6 The appraisal interview really made me think about working smarter on the job			7	11	23	36	14	22	12	18	8	13
14.7 The interview gave me some direction and purpose			7	11	22	34	11	17	16	25	8	13
14.8 The interview really pinpointed areas for improvement			4	6	28	44	9	14	13	20	10	16
14.9 The interview was disorganized and frustrating			4	6	6	10	15	23	23	35	17	26
14.10 The interview time was too rushed			1	1	7	11	19	29	23	35	16	24
14.11 I received no advanced notice about the interview			8	12	10	16	10	15	21	32	16	25

Key: 1 = strongly agree; 2 = agree; 3 = uncertain; 4 = disagree; 5 = strongly disagree

Item 14.2 Discussion of the appraisee' performance

From Table 4.4 it is noted that 54% of the respondents agreed that the discussion of their performance during the appraisal interview was covered equitably, whilst 28% disagreed. This could be ascribed to the fact that the appraisal interview was not properly structured and did not include everything that the appraisee expected.

Item 14.3 Appraisal interview was accurately conducted (n = 63)

Of the total respondents (n = 63) only 40% of the respondents agreed that the appraisal interview was accurately conducted. 28% was uncertain, 32% disagreed with the statement. In an open space provided in the questionnaire, it was noted that the views of the respondents were that the personnel conducting the appraisal interview was not properly trained. The major problem is that the appraisal was not based on job descriptions as some of the respondents do not have a job description (cf. 2.6.3).

Item 14.4 Fairness of the interview (n = 64)

Table 4.4 shows that of the total respondents (n = 64), the majority (48%) of the respondents felt that the interview was fair in every respect whilst 25% felt that the interview was not fair. It was noted from the questionnaires that respondents felt that the unfairness of the appraisal interview was due to the interview being biased, prejudice and that the personnel conducting the interview did not understand the criteria on which to base the performance appraisal interview.

4.7 PURPOSE OF THE INTERVIEW

Items 14.5 Purpose of the interview (n = 65)

Table 4.4 indicates that of the total respondents (n = 65), only 23% agreed that the interview's purpose was simply not clear to them. Almost 60% of the respondents disagree. This could be ascribed to the fact that when appraisal was introduced, the purpose for conducting an appraisal interview was not communicated to them.

Item 14.6 Working smarter on the job (n = 61)

From Table 4.4 it was noted that 47% of the respondents felt that the appraisal interview really made them think about working smarter on their job, whilst 31% of the respondents reported that the appraisal interview did not make them think about working smarter on their job. This suggest that a well structured appraisal interview with satisfactory feedback will help the lecturer improve his/her performance and would make him/her think of working smarter in his/her job.

Item 14.7 Direction and purpose of the interview (n = 64)



From Table 4.4 of the total respondents (n = 64), 45% reported that the interview gave them some direction and purpose, whilst 38% of the respondents felt that the interview did not give them some direction and purpose. The issue of the purpose of the interview becomes controversial when the appraisee do not know or understand the purpose of it.

Item 14.8 Areas for improvement (n = 61)

Of the total respondents (n = 61), 50% agreed that the interview pinpointed areas for improvement, 14% was uncertain and 36% disagreed that the interview pinpointed areas for improvement. The reasons given by respondents in the questionnaire were their perception that the personnel conducting the interview were not properly trained, and did not have the knowledge of the subject to be able to identify weaknesses and strengths.

Item 14.9 The interview was disorganised and frustrating (n = 62)

Of the total respondents (n=62), 16% agreed that the interview was disorganized and frustrating. Unproper planning will always lead to this kind of an interview. 61% disagreed with the statement.

Item 14.10 Time was too rushed (n = 59)

Of the total respondents (n = 59), only 12% agreed that the interview time was too rushed. On the contrary 59% of the respondents disagreed with the statement, and 15% was uncertain. Time is of essence and it is therefore important that both parties agree upon the interview time and adhere to it. The support can be attributed to the Remediation model (cf. 2.11.1.1). The model requires evaluators to spend a good deal of time observing teachers and providing feedback.

Item 14.11 Notice of the appraisal interview (n = 60)

Of the total respondents (n=60), 28% agreed that they received no advanced notice about the interview. 57% disagreed with the statement. Advance notification is very important because it allows the interviewee enough time to plan and prepare him/herself for the interview.

In summary, Table 4.4 shows some the different aspects that could be covered by appraisal interviews. An appraisal interview is an essential feature of professional appraisal. It is the main means of teacher contribution to an appraisal process. Some questions have highly positive responses whereas others have negative responses. The negative response could be attributed to the fact that performance appraisal has been neglected in Technical colleges.

4.8 PARTICIPATION IN DECISION-MAKING

The purpose of this section was to find out whether lecturers are involved or participate in the decision of what should be covered in terms of structure and content of the appraisal system. Participation can help produce real subordinate commitment to goals and standards. There is a large amount of literature which support the view that when subordinates are given the opportunity to participate in decisions, they tend to be more committed to those decisions.

Item 15.1 Involvement/participation in the decision of what should be covered in terms of structure and content of the appraisal system (n = 85)

Of the total respondents (n = 85) 79% reported that they were involved in the decision of what should be covered in the structure and the content of the appraisal system, only 21% of the respondents reported that they were not involved in the decision of what should be covered in terms of structure and content of the appraisal system.

In the space provided in the questionnaire, respondents were asked to comment on item 15.1 as a follow-up question. They indicated that senior personnel (appraisers) always take unilateral decisions and do not consult lecturers. Lecturers prefer to have an input especially if staff appraisal affect them directly. Involvement of appraisees in the decision of what should be

covered in terms of structure and content brings about greater motivation, less defensiveness and commitment to the objectives. Participation can help in setting meaningful, motivating goals and standards.

TABLE 4.5 UNDERSTANDING OF THE CRITERIA USED TO APPRAISE STAFF

	No response		(Yes) 1		(No) 2	
	f	%	f	%	f	%
16. Do you understand the criteria that is used to appraise staff in your college.	1	1	44	45	52	54

Item 16 Understanding of the criteria used to appraise staff (n = 97)

Of the total respondents (n = 97), only 45% reported that they understood the criteria used to appraise them. More than half (54%) of the respondents reported that they do not understand the criteria used to appraise them. This could be ascribed to the fact that appraisees are never given a chance to participate in setting performance standards/criteria in which their performance is based on.

4.9 CRITERIA FOR APPRAISING STAFF

Table 4.6 gives a brief overview of the views of the respondents on the criteria for appraising staff.

According to Hopkins and Bollington (1989) the question of criteria inevitably arise at some stage in any appraisal process. This question concerns the basis on which judgements of good practice are made or targets are judged to have been met. The criteria used in making such judgements can be arrived at in a variety of ways (cf. 2.6.4). Some of the varieties are listed in Table 4.6.

TABLE 4.6 CRITERIA FOR APPRAISAL

Criteria for appraising staff	No respon se											
	f	%	1		2		3		4		5	
			f	%	f	%	f	%	f	%	f	%
17.1 Knowledge of subject			73	66	26	24	5	5	2	2	4	4
17.2 Preparation for planning			50	47	39	36	10	9	4	4	4	4
17.3 Implementing managing instruction			33	31	35	33	32	30	3	3	4	4
17.4 Student's records			26	24	36	34	16	15	10	9	19	18
17.5 Classroom discipline			48	44	41	38	7	6	7	6	6	6
17.6 Record keeping			44	41	37	34	18	17	4	4	5	5
17.7 Examination results			27	25	34	31	16	15	14	13	17	16

Key: 1 = strongly agree; 2 = agree; 3 = uncertain; 4 = disagree; 5 = strongly disagree

Item 17.1 Knowledge of subject (n = 110)

In Table 4.6 respondents were asked whether knowledge of subjects should be a criteria for appraising staff. Of the total number of respondents, 90% reported that the knowledge of the subject should be considered first. This supports opinions stated in the questionnaire that the appraiser should be the one who has the knowledge of the contents of the subject he/she is appraising. Only 6% disagreed that the knowledge of the subject should be a criteria for appraising staff. Knowledge of the subject is one of the methods of appraising teachers in the U.S.A (cf. 2.5).

Item 17.2 Preparation of planning (n = 107)

Of the total respondents, 83% agreed that preparation of planning be the criteria for appraising staff. Preparation of planning is very important and this is supported by the portfolio model (cf. 2.8.13). The model indicates that preparation of planning should be given considerable time because the information prepared will be used to appraise lecturers.

Item 17.3 Implementing managing instruction (n = 107)

Of the total respondents, 64% agreed that implementing managing instruction should be a criteria for appraising staff whilst 7% disagreed.

Item 17.4 Student's records (n = 107)

Of the total respondents, 58% agreed that student's records should be a criteria for appraising staff. The support of using student's records as criteria for appraising teachers comes from the portfolio model. Students records such as class test, homework, classwork, assignments can be checked to establish whether they are given regular attention by lecturers concerned.

Portfolios are used to document changes in student's academic performance overtime, and the idea has been borrowed for use as a device in evaluating teachers (cf. 2.11.2.1).

Item 17.5 Classroom discipline (n = 109)

The majority (82%) of the respondents agreed that classroom discipline should be a criteria for appraising staff, and only 6% disagreed that classroom discipline should be a criteria for appraising staff. It is an important criteria because if the lecturer cannot control the classroom discipline he/she will have a problem of lesson interruptions and this might disturb slow learners.

Item 17.6 Record keeping (n = 108)

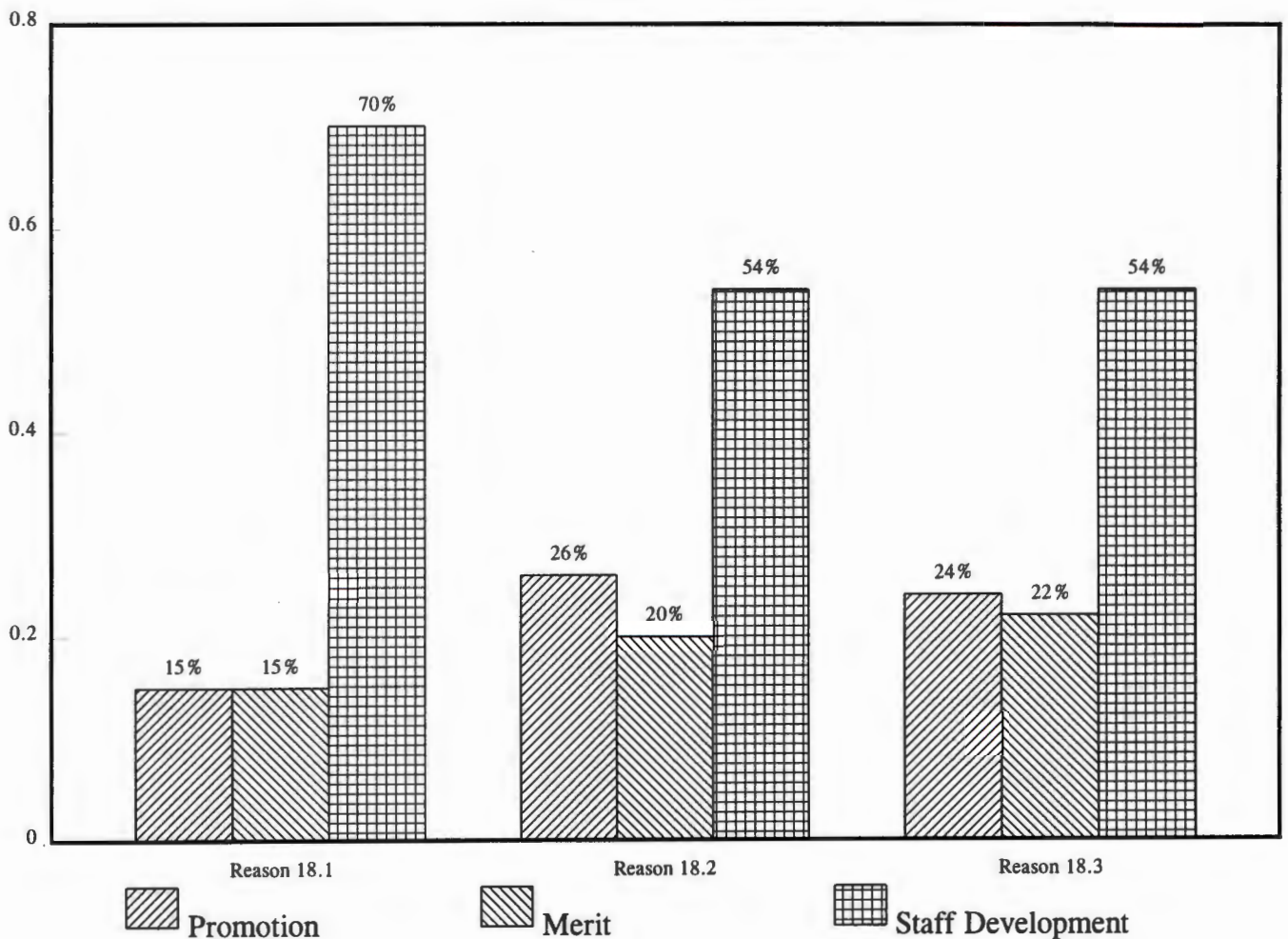
The majority (75%) of the respondents, agreed that examination results should be a criteria for appraising staff and only 9% of respondents disagreed. Respondents indicated that because they use files, these must be checked regularly as part of appraising their records.

Item 17.7 Examination results (n = 108)

Examination results as a criteria for appraising teachers is a controversial issue. It is a belief that the purpose of appraisal is to improve student's learning and education. The test scores may be used to reflect on teachers effectiveness (cf. 2.11.2.1). Of the total respondents, 56% agreed that examination results should be a criteria for appraising lecturers and only 29% disagreed.

In summary, Table 4.6 depicts that the majority of respondents agree that all 7 points be used as criteria for appraising staff. No single approach by itself is sufficient or reliable, to achieve a valid picture of a teacher's performance, multiple approaches have to be employed.

Figure 4.5 : Reasons for appraisal at colleges

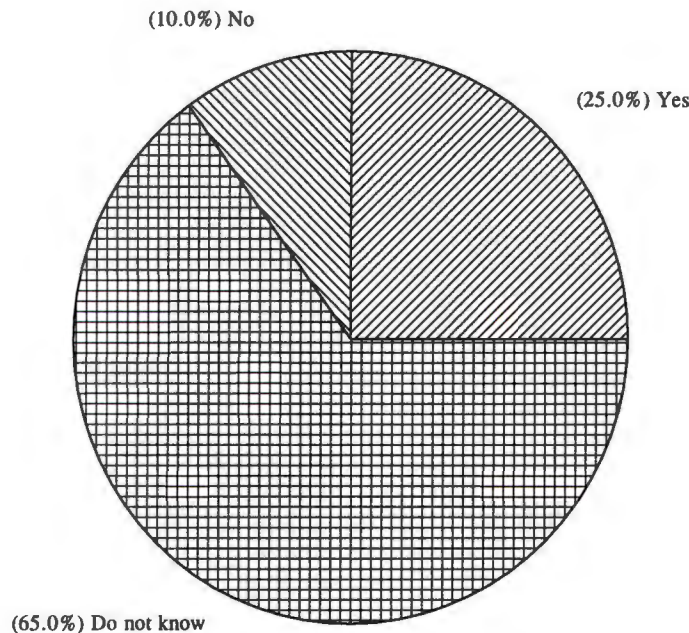


Items 18.1 to 18.3 Reasons for using appraisal system at colleges

In item 18.1, of the total respondents, 15% reported that the reason for using appraisal in their college is to promote staff whilst the majority 70% did not know the reasons. In item 18.2, of the total respondents, 26% reported that appraisal is used for merit purpose in their college whilst 54% of the respondents did not know. In item 18.3, of the total respondents, 24% reported that the reason for using appraisal in their college is for staff development whilst 54% did not know. For colleges using performance

appraisal for staff development, the appropriate model is Goddard & Emerson's model (cf. 2.11.2.1). Again here it is a question of communication because the highest percentage of the respondents do not know the reasons why appraisal is used in their college.

Figure 4.6 : Confidentiality of appraisal information



Item 19.1 Confidentiality of appraisal information (n = 20)

Of the total (n=20) 25% of the respondents reported that appraisal information is kept confidential in their college whilst 10% indicated that the information is not kept confidential. The majority of the respondents (65%) do not know. To avoid problems, some decisions will need to be made about the confidentiality of some of the discussions which will take place as part of an appraisal system. There should be some sort of agreement concerning the nature of the records themselves, what information is to be written down, where the completed records are to be kept, and who is entitled to see those records. The appraiser should not release any information except with the permission of the appraisee (cf. 2.6.7).

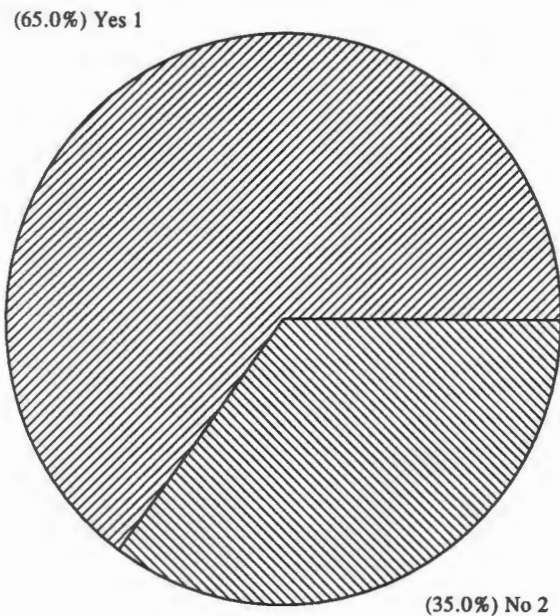
TABLE 4.7 DECISION-MAKING

Appraiser 1		Appraisee 2		Both appraiser and appraisee 3	
f	%	f	%	f	%
7	39	5	28	6	33

Items 20.1 to 20.3 Decision on the area of focus and lesson to be observed

From Table 4.7 it is noted that 39% of the respondents reported that the appraisee is the one who decide on the area of focus and lesson to be observed and only 28% felt is the appraiser who makes the decision whilst 33% indicated that it is both the appraisee and the appraiser. If the decision is made jointly, the process of appraisal becomes much easier for the appraisee and the appraiser to understand what is expected from them.

Figure 4.7: Feeling of comfortability when appraised



Item 21 Feeling of comfortability when appraised/observed

From Figure 4.7 of the total respondents, 65% reported that they feel comfortable, and 35% of the respondents reported that they do not feel comfortable when they are observed. In Item 22 respondents were asked to comment on item 21 in the space provided in the questionnaire and the response was that of the total respondents, 77% indicated that they feel comfortable, and 23% of the respondents feel nervous and frustrated because they do not know and understand the reason why they should be appraised or observed while teaching. They felt that the observation cannot determine the standard of work delivered.

4.10 PROBLEMS IN PERFORMANCE APPRAISAL SYSTEM

Item 23 Problems experienced by lecturers when preparing for appraisal

The purpose of this section was to determine from the empirical investigation the problems which are experienced by lecturers when they prepare for performance appraisal. Preparation can be stressful, especially when you do not know what to prepare. The respondents were asked to mention problems that they experience and the responses of the respondents are summarised in Table 4.8.

TABLE 4.8: PROBLEMS EXPERIENCED BY LECTURERS WHEN PREPARING FOR APPRAISAL

RANK	ITEM	f	%
1.	No job description	46	38.3
2.	What to prepare because they do not know what is expected of them	26	21.7
3.	Timing	20	16.7
4.	Lack of resources (e.g. teaching material)	20	16.7
5.	Tension	8	6.7
	TOTAL	120	100

From Table 4.8 it is clear that lecturers are more concerned about their job descriptions. Appraisal which is not based on job description creates a problem in the sense that the appraiser end up being biased and subjective. Lecturers never know what to prepare when they are told that they are going to be appraised. They are also concerned about the timing of appraisal as this is always done at awkward times, for example immediately when they re-open even before 20% of the work is covered or at the time when they are preparing for examinations.

Lack of resources is one other concern because most of the subjects have practical components. There is always tension between the appraiser and the appraisee because of lack of professional relationship and this poses a big problem during performance appraisal.

Item 24 Main problems that are experienced by lecturers during the performance appraisal process

The respondents were asked to mention main problems that they experience during performance appraisal process. The responses of the respondents are summarised in Table 4.9.

From Table 4.9 it is noted that lecturers are concerned about the inconsistency of the appraiser's remarks and the criteria used. The feeling is that, if only one common criteria can be used, the problem will be alleviated. Personal biasness and prejudice is the main problem which is experienced. Appraisers should not appraise the person, but rather evaluate his/her work performance.

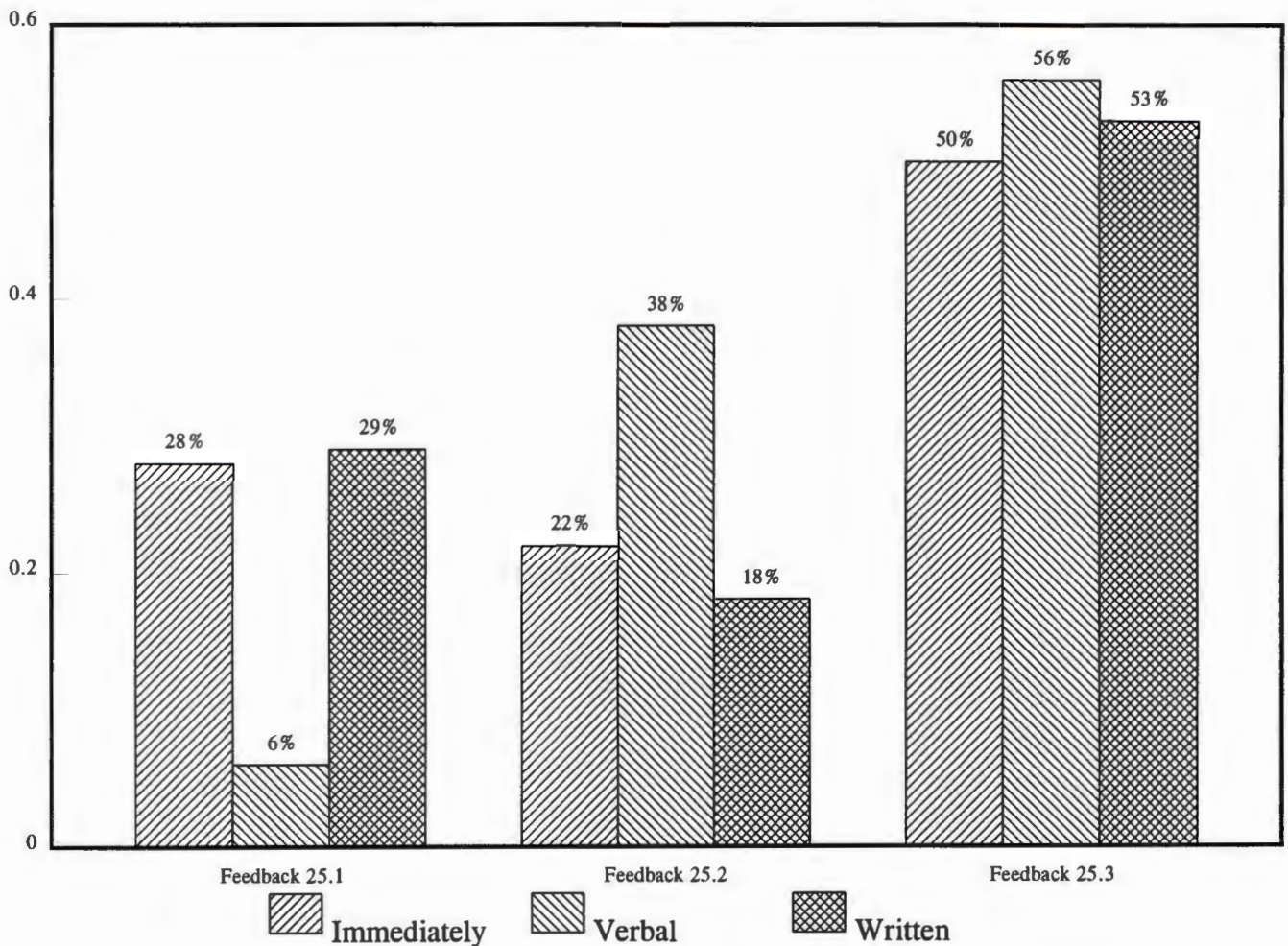
If clear objectives can be set and agreed upon by both appraiser and the appraisee, there will be no conflicts. Individuals have different objectives about different things. Professional relationship is very important especially that feedback has to be given after the appraisal. Once the relationship is strained, whatever feedback is given by the appraiser will be perceived by the appraisee as negative and biased. Some lecturers are very sensitive to criticisms and they get demotivated when they receive negative feedback (cf. 2.4).

Classroom discipline is one other problem. An appraiser might see the late coming of students as lack of classroom discipline whilst the lecturer might not see it that way. Most students change their behaviour when someone they are not familiar with enters their classroom and this might cause problems. Some lecturers feel intimidated when they are being appraised.

TABLE 4.9: MAIN PROBLEMS EXPERIENCED BY LECTURERS DURING PERFORMANCE APPRAISAL PROCESS

RANK	ITEM	f	%
1.	Inconsistency of the appraiser's remarks and criteria used	28	23.4
2.	Personal biasness and prejudice	21	17.5
3.	Conflicting objectives	19	15.8
4.	Professional relationships	16	13.3
5.	Fear of criticism	12	10
6.	Classroom discipline	10	8.3
7.	Artificial behaviour of students because there is a stranger in the classroom	8	6.7
8.	Fear of intimidation	6	5
	TOTAL	120	100

Figure 4.8 : Feedback



Item 25 Feedback

The purpose of this section was to determine how feedback is given after the lecturers has been appraised. Figure 4.8 provides a brief overview of the respondents views.

Item 25 had three variables i.e. immediately, verbal, and written. The respondents had to report on how feedback is given at their colleges based on the above variables. Of the total respondents, 28% reported that feedback is given immediately, only 6% reported that it is given verbally and 29% indicated that it is given in writing. Above average, that is 56% reported that they do not know.

After appraisal has taken place, feedback should be given as quickly as possible. Such feedback should initially take the form of exploring how the appraisee felt that the lesson went, and any issues they wish to raise. Gradually, the appraiser can then introduce their observations and comments, as a means of stimulating such self appraisal, sharing ideas, and highlighting aspects that might usefully be discussed (Fidler & Cooper, 1992:222).

Most appraisers avoid giving feedback because they are not trained to handle the kind of interpersonal issues that arise when appraisee's performance is being evaluated. Normally unpleasant interpersonal situation develops when the feedback is negative. Any negative comments, no matter how minor or how carefully passed on, can cause resentment.

Item 26 Timing of feedback

The purpose of this section was to determine empirically on who decides on the timing of feedback. Table 4.10 shows the response rate according to the variables provided.

TABLE 4.10 TIMING OF FEEDBACK

	Appraisee 1		Appraiser 2		Both 26.1 & 26.2 3	
	f	%	f	%	f	%
26 Who decides on the timing of feedback	2	13	7	44	7	44

From Table 4.10 of the total respondents, 13% indicated that it is the appraisee who makes the decision on the timing of feedback, 44% reported that it is the appraiser and appraisee. It has been noted that the majority felt that the decision on the timing of feedback be agreed upon by both the appraiser and appraisee. A joint decision is important and should be agreed upon by both the appraiser and appraisee.

4.11 IMPROVEMENT OF STAFF PERFORMANCE APPRAISAL SYSTEM

Item 27 Actions employed to improve staff performance

In an open space provided in the questionnaire, the respondents were asked to mention actions that are employed in their colleges to improve staff performance. Table 4.11 shows the responses of the respondents in rank order and they are summarised as follows:

TABLE 4.11: ACTIONS EMPLOYED TO IMPROVE STAFF PERFORMANCE

RANK	ITEM	f	%
1.	Use of subject heads	41	41
2.	Workshops/serminars	28	28
3.	Subjects rotation and specialisation	19	19
4.	Subject meetings	12	12
	TOTAL	100	100

Use of subject heads

In Technical Colleges lecturers who are experts in certain subjects are appointed as subject heads. This is not a promotional position and lecturers can rotate. Their responsibility is to make sure that at the beginning of each semester/trimester, lecturers have correct syllabuses and correct textbooks. They guide and assist lecturers who have problems in lesson presentation

and in understanding the subject matter. This type of guidance can be regarded as on-the-job training.

Workshops/seminars

Respondents reported that workshops are normally held in their colleges conducted by examiners of various subjects. The examiner discusses the content of the syllabus with them and in some cases they discuss the format of the question papers.

Some of these workshops are conducted by the Department of Education (Nationally or Provincially), where lecturers are expected to provide their inputs on how to improve the syllabus.

Subject rotation and specialization

Respondents reported that subject rotation helps in improving performance because if the lecturer does not feel comfortable with the subject, he/she can be allocated another subject. This is done with the help of the subject head. Lecturers who specialized in certain subjects (e.g. Computerized Financial Systems), are allocated those subjects because they have the ability to tackle the problems concerning the subject.

Subject meetings

Subject meetings have also been reported as one of the problem solvers in improving staff performance. Respondents reported that subject meetings are held regularly in their colleges to discuss individuals problems experienced by lecturers.

4.10 SUGGESTIONS ON HOW TO IMPROVE STAFF APPRAISAL

Item 28: Opinions of lecturers on how to improve staff performance in their colleges/departments

Respondents were asked to give their opinions on how to improve performance of lecturers in their colleges/departments. The responses of the respondents are summarised in Table 4.12.

TABLE 4.12 ITEMS SUGGESTED TO IMPROVE STAFF APPRAISAL

RANK	ITEM	f	%
1.	The evaluator (appraiser) should avoid having personal prejudice or biasness against the appraisee;	47	38.5
2.	Information in the appraisal report should always be fair and objective (i.e. it should be based on what the evaluator has observed - not on "how she thinks" the appraisee has performed;	21	17.2
3.	Performance standards used by the appraiser should be relevant to the appraisee's job-description, and if performance appraisal is done for promotional purposes, relevant, useful criteria should be used to measure the appraisee's performance;	12	9.8
4.	Performance expectations must be agreed upon by both the appraiser and the appraisee. There should be an appraisee-appraiser conference to discuss the structure of the appraisal;	11	9.2
5.	Appraisal must be done continuously, at least three times a year;	9	7.4

6.	There should be consistency of the appraisal system from one college to another;	7	5.7
7.	Appraisal; should be based on psychological, social and political aspects;	6	4.9
8.	Relevant models of appraisal should be used and appraisers be workshopped on how to choose models and how to use traditional method of ranking should be eliminated;	6	4.9
9.	Proper techniques for appraising performance should be used and that the appraiser should be conversant with the technique he/she chooses.	3	2.5
	TOTAL	122	100

4.13 APPRAISAL PANEL

Item 29 Appraisal panel

In an interview with some of the respondents, it was noted that choosing of an appraisal panel by the appraisee is not a practice in Technical colleges in the North West Province. This has been the responsibility of the senior management, especially the principal.

TABLE 4.13 APPRAISAL PANEL

Appraisal panel	No responses		1 2 3 4 5									
	f	%	1		2		3		4		5	
			f	%	f	%	f	%	f	%	f	%
29.1 Principal			50	50	26	26	10	10	8	8	6	6
29.2 Deputy principal			39	42	30	32	6	6	9	10	9	10
29.3 Divisional Head			44	46	31	33	9	9	1	1	10	11
29.4 Principal lecturer			32	36	29	32	10	11	8	9	11	12
29.5 Senior lecturer			28	31	26	29	9	10	16	18	11	12
29.6 Peer			8	10	8	10	14	18	15	19	34	43
29.7 Member of SRC			7	9	3	4	4	5	9	11	58	71
29.8 Member of school council	1	1	16	19	10	12	8	10	8	10	40	48
29.9 Parent	1	1	7	9	9	11	12	14	9	11	45	54

Key: 1 = strongly agree; 2 = agree; 3 = uncertain; 4 = disagree; 5 = strongly disagree

Item 29.1: Principal

Table 4.13 gives a brief overview of the views of the respondents on who should constitute the appraisal panel. When asked to circle the person that in their opinion should be on the appraisal panel, the following response emerged. The majority of the respondents (76%) felt that the principal should be in the appraisal panel. This is supported by the notion that the principal is an accountable officer and responsible for the results of the students. Therefore he/she has to see to it that lecturers' performance is appraised in order to reach a certain level of standard. Only 14% felt the principal should not be in the panel (cf. 2.6.6).

Item 29.2: Deputy Principal

Of the total respondents, the majority (74%) agreed that the deputy principal should be on the appraisal panel. Only 20% disagreed. The deputy principal always stands in for the principal when he is away. It is therefore important that he be included on the appraisal panel.

Item 29.3: Divisional Head

The majority of the respondents (79%) felt that the Divisional Head should be on the appraisal panel. As a Senior person in the hierarchy he/she automatically becomes a member of the appraisal panel. Only 12 % felt that the Divisional Head should not be on the panel.

Item 29.4: Principal Lecturer

Of the total respondents, 68% agreed that the principal lecturer should be on the appraisal panel. Very few respondents (19%) felt the Principal lecturer should not be on the appraisal panel. The Principal lecturer is the

head of the department. He has the knowledge of almost all the subjects offered in his/her department.

Item 29.5: Senior Lecturer

60% of the respondents agreed that the Senior Lecturer be included on the appraisal panel and 30% disagreed.

Item 29.6: Peer

Of the total respondents, only 20% felt that their peers should be on the appraisal panel and 62% disagreed. Peer appraisal is seen as a soft option by many people. It is believed that they will simply confirm each other's practices, engage in mutual congratulation and then go on happily with their business without breaking their stride. Peer evaluation works best in formative appraisal (cf. 2.6.6).

Items 29.7: Member of SRC

Of the total respondents, only 13% of the respondents agreed that a member of the SRC should be on the appraisal panel and the majority felt that a member of the SRC should not be on the appraisal panel. Though little has been documented about a member of the SRC being on the appraisal panel of lecturers, the feeling of the majority of the respondents from the questionnaire is that students cannot appraise their lecturers because they are not conversant with the syllabus, methods of teaching and the criteria used to appraise staff.

In countries like U.S.A, students were used to rate lecturers for merit awards (cf. 2.6.6).

Item 29.8: Member of School Council

Of the total respondents, 31% agreed that a member of the school council should be on the appraisal panel, and about 58% of the respondents disagreed. It has been noted earlier (cf 2.6.6) that although council members are involved in the decision-making of the school as representatives, judging the worth of individual teachers/lecturers in their classroom and school is a different matter.

Item 29.9: Parent

Only 20% of the total respondents agreed that a parent should be on the appraisal panel. The majority of the respondents (65%) disagreed that a parent should be on the appraisal panel.

In summary, there should be a policy on who should constitute the appraisal panel (either National or Provincial policy). Most lecturers believe that appraisal is to humiliate them, it is therefore important that they be involved in the decision of who should constitute the appraisal panel. An appraisal panel should also depend on the purpose of the appraisal. For example, a member of the SRC cannot be involved in the promotional appraisal of lecturers. What is of importance is the training of the appraisal panel.

4.14 SUMMARY OF THE CHAPTER

This chapter outlined the findings of the empirical investigation conducted to determine whether there is an appraisal system in Technical colleges in the NWP, perception of lecturers about it and the problems that they experience. Major findings of this investigation revealed that problems experienced by lecturers in Technical colleges are similar. Other important finding is that performance appraisal in Technical colleges in the NWP is not existing. Even though the investigation revealed that there is no

performance appraisal in Technical colleges in the NWP, subjects responded using their passed experiences.

Problems identified by Field (1987) and Peterson (1995) which are experienced by teachers in U.S.A, and UK are not necessarily the same as the problems experienced by lecturers in the Technical colleges in the NWP (cf. 2.8).

Common problems cited by Field (1987) and Peterson (1995) in Chapter 2 are that the staff consider performance appraisal to be threatening as they know that the appraisal may have a bearing on their future career and promotion prospects, the professional relationship and their expectations (cf. 2.8). These problems were also discovered to be experienced by lecturers in the Technical colleges in the NWP.

The following problems emerged from the analysis of data presented in this chapter and they need attention when developing an appraisal scheme:

- * Job description;
- * Inconsistency of the appraiser's remarks;
and criteria used;
- * Personal bias and prejudice;
- * Professional relationship;
- * Confidentiality;
- * Conflicting objectives;

CHAPTER 5

5. SUMMARY, RECOMMENDATIONS AND CONCLUSION

5.1 INTRODUCTION

This chapter presents a brief summary of the survey conducted. It further provides some major findings of the aims cited in chapter 1 and recommendations on how performance appraisal can be improved in Technical colleges in the North West Province.

5.2 SUMMARY

The first chapter of this survey outlined the statement of the problem wherein the rationale for the study was explained. It further outlined the set-backs and developments experienced by lecturers in Technical colleges during performance appraisal, the method to be followed during a survey, the purpose of the study and definition of terms which the researcher found necessary to explain.

Chapter 2 was based only on the review of literature related to the topic of the study. In this review it became apparent that performance appraisal is not done in Technical colleges in the North West Province. There is no uniform appraisal system or schemes used in these colleges.

From the literature studies, it emerged that in countries such as U.S.A, and UK, performance appraisal schemes are in use. The schemes take the form of formative and summative appraisal (cf. 2.3.1 & 2.3.2). In this chapter it also became clear that job description is the main issue in performance appraisal (cf. 2.6.3). According to literature, though teachers benefit (cf. 2.7.1) from performance appraisal, they still have different perceptions of it. Major problems are still experienced (e.g. no job description,

professional relationship, no standard criteria). Also an overview of some teachers appraisal models, components of performance appraisal and techniques were discussed. During the literature review, it was discovered that little has been documented on performance appraisal of lecturers in Technical colleges.

In chapter 3 an empirical investigation was conducted to determine whether there is an appraisal system in Technical colleges in the North West Province, the problems that lecturers experience in performance appraisal and their perception of performance appraisal system.

The results of the investigation indicated that there is no performance appraisal in Technical colleges. It also revealed that even though performance appraisal is not done in these colleges, the system that was used in the past had many of problems that led to its collapse.

Chapter 4 gave an analysis of the data from the empirical investigation which was conducted. In this chapter major concerns were raised by lecturers concerning performance appraisal in their colleges. Issues such as job description, lack of communication, appraisal interviews and criteria used, were raised as major problems surrounding the appraisal system.

It also emerged from the empirical investigation that most of these problems are experienced by teachers in other countries with their systems.

5.3 RESEARCH FINDINGS

5.3.1 Findings on aim 1

Aim 1 in this study was to determine from the literature the nature and scope of performance appraisal (cf. 1.3), the following findings were made:

- * The introduction of appraisal was seen to reflect a climate in education, characterised by concern to improve quality, a greater degree of accountability and more efficiency, particularly in terms of use of resources. Within this climate came the call for "systematic performance appraisal, designed to bring about better relationship between pay, responsibilities and performance, especially teaching performance in the classroom (cf. 2.5).

- * Appraisal can be seen as the culmination of series of moves designed to improve the professional development of teachers and to identify more precisely their in-service training needs.

- * Appraisal is also linked to attempts to develop the management of schools.

- * Appraisal should be based on an established job description. All lecturers ought to be in possession of a clear job description which accurately reflects the duties and responsibilities laid on them (cf. 2.6.3).

- * When appraising teachers/lecturers, there should be a criteria or standard on which the performance is based. Performance appraisal criteria should be specific rather than in broad terms because the assessment may mean different things to different teachers/lecturers (cf. 2.6.4). The criteria should be negotiated with the teacher before an appraisal period begins.

- * Once the criteria has been set, it should be determined who constitutes the appraisal panel. Normally it is the Principal or the immediate supervisor (cf. 2.6.4, 2.17). The appraisal panel should keep the information as confidential as possible (cf. 2.6.7).

- * Lecturers benefit from appraisal because it brings about renewal of motivation, more effective classroom teaching, improved relationships with pupils and colleagues, more openness and sharing of ideas and problems, and a general improvement in the atmosphere of the school (cf. 2.7.2).

- * There are several performance appraisal models in use and few common ones have been mentioned: remediation, goal-setting, portfolio, staff development and accountability (cf. 2.11.1, 2.11.2).

- * The components of staff appraisal that have recently emerged and often been used in teacher appraisal are: the initial meeting, self-appraisal, classroom observation, the appraisal interview, follow-up review meeting (cf. 2.15).

- * Some techniques for performance appraisal are: rating scales, results, orientated appraisal, essay method, and critical incidents method (cf. 2.16).

5.3.2 Findings on aim 2

Aim 2 in this study was to determine from literature the perceptions of lecturers about performance appraisal and problems that are experienced in performance appraisal. The following findings were made:

- * In U.S.A, teachers were receptive to the introduction from the beginning whilst others were hostile. Many teachers feared appraisal and the fear seems to be born of all those frustrating and difficult experiences during training, and to lie in the fear of the unknown and untrusted (cf. 2.6.10)

- * The perception of teachers took two directions. Some were positive of the view of appraisal and others were negative. Many teachers stressed that they were in favour of having appraisal as long as it was conducted in a positive way.
- * The common negative perception was that appraisal was a threat to teachers. It would be used in order to find faults, to spot weaknesses, to catch people out and would induce fear.
- * Teachers with negative perception felt that appraisal could have negative outcomes: that is, the information might be held against them at some time in the future.
- * Others believed that particular individuals would come out of it well, not because they were good teachers but because they could "charm" the appraiser. In other words, the appraiser will be bias.
- * They were concern about prejudice, subjectivity and unfairness (cf. 2.6.10)



Some of the problems that are encountered in performance appraisal are the following:

- * Time required to design and introduce the system;
- * Costs involved and the time needed to satisfy the needs of the system;
- * Staff often consider the techniques to be threatening as they know that the appraisal may have a bearing on their future career and promotion prospects;

- * Those responsible for appraisal often feel uncomfortable with the procedure because of the potential conflict;
- * Other problems are: expectations, roles, relationships, rewards, and recognition (cf. 2.9).

The above problems can be eliminated when they are discussed in a trusting and positive atmosphere.

5.3.3 Finding on Aim 3

Aim 3 in this study was to determine empirically, the problems which are faced by lecturers when preparing for performance appraisal, during performance appraisal process and their views on how to eliminate such problems, the following findings were made:

- * The empirical investigation conducted revealed that lecturers experience the following problems when preparing for performance appraisal:
 - ** The availability of job description
 - ** What to prepare because they do not know what is expected of them
 - ** Timing of the appraisal interview
 - ** Lack of resources
 - ** Tension

- * The main problems experienced during the appraisal process are: the appraisers are not consistent with their remarks and the criteria that they use to appraise them. There is no common criteria and this creates a problem of biasness and prejudice. There is always lack of professional relationship between the appraiser and appraisee. This always brings conflict. Classroom discipline is also mentioned as a problem during appraisal process. Artificial behaviour of students because there is a stranger in the classroom and fear of intimidation (cf. Item 24). The responses of the respondents from the imperical literature indicated that they can be eliminated by:

- # Use of subject heads
- # workshops/seminars
- # subject rotation and specialisation
- # subject meetings

5.4 RECOMMENDATIONS

Recommendation 1

More attention should be paid to the design and implementation of performance appraisal systems in Technical colleges.

Motivation

Even though performance appraisal of some sort was done years back in Technical colleges, there was no uniformity. It is imperative that the Technical colleges with the help of the Department of Education should design a system that will be used by all Technical colleges in the North West Province. There should be a policy that governs the appraisal system more so that the instructional offerings in Technical colleges are controlled by the Department of Education.

The design of the appraisal system should be explicit and implicit, that is, it should indicate whether the system is formative or summative.

Recommendation 2

Job description as a bases for performance appraisal

Motivation

Once the lecturer has been appointed and placed in the relevant department, he/she should be given a job description. During the induction period, the immediate supervisor should discuss the job description with the incumbent and clarify all aspects. If there are amendments they should be made immediately. No appraisal system can operate without a job description.

Recommendation 3

Implementation process

Motivation

The implementation process should be a joint venture. Before the appraisal starts, the interviewer and the interviewee should meet and discuss the procedure, the structure and contents. This pre-conference will alleviate problems that might arise during the process.

Recommendation 4**Feedback****Motivation**

Feedback should be given at all times. Professional relationship should be established to allow a climate conducive for feedback. The appraiser should be diplomatic when giving negative feedback because the aim is to build and not destroy the morale of the lecturers, and more importantly, to motivate lecturers and to increase job satisfaction.

Recommendation 5**Criteria for appraising lecturers should be established****Motivation**

The college curriculum is supplied by the Department of Education. It is therefore important that when establishing a criteria to be used that is, when appraising lecturers, the Department of Education should be involved.

Recommendation 6**Use of models and techniques when appraising lecturers****Motivation**

The use of appraisal models could be very useful. Portfolio model could be used, especially that the out-comes-based curricular stresses that evaluation should be based on portfolios. In order to motivate lecturers, a staff development model can be used. Proper techniques should be used to avoid problems.

Recommendation 7

Establishment of training centers for appraisers and lecturers

Motivation

The Department of Education should establish in-service training centres for appraisers. Very often appraisees complain about being appraised by people who are not trained nor have the knowledge of the subjects they teach. Technology is moving very fast. It is therefore important that lecturers be sent for in-service training so that they can keep abreast with technology. Lecturers should undergo workshops every time when there are changes.

Recommendation 8

A lot of research need to be conducted on the issue of performance appraisal in Technical Colleges, especially on the following sections:

- * Appraisal of Principals, Deputy Principals, Divisional heads and Principal lecturers. Who appraises them should also be a question of concern.

- * The use of appraisal systems in Technical colleges.

5.5 CONCLUSION

Very little attention has been paid to a performance appraisal system in Technical colleges. It has also been noticed that little has been documented on the appraisal of lecturers in Technical colleges especially in South Africa. With a diversity of instructional offerings introduced in Technical colleges, there is a need to introduce performance appraisal systems, more especially that lecturers are to assess students by using their portfolios. Appraisal will help the principal to make sure that lecturers know how to do assessment

based on portfolios. They, in turn, will be evaluated by means of portfolios. Improvement on the performance of lecturers, not only ensures good students' results, it also boosts the lecturers' self-esteem. Problems which remain unsolved during performance appraisal render the provision of teaching and learning inefficient. It is clear from this study that the government has a duty to perform as policy makers and that is, to draw a policy that will govern the appraisal systems in Technical colleges.

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Questionnaire No.

(1-3)

Card No.

(4)

SECTION A

Please make a cross (x) in the appropriate box.

PERSONAL INFORMATION

1. Age

1.1. Below 20yrs

1	
2	
3	
4	
5	
6	
7	
8	

1.2. 25 - 29 yrs

1.3. 30 - 34yrs

1.4. 35 - 39yrs

1.5. 40 - 44yrs

1.6. 45 - 49yrs

1.7. 50 - 54yrs

1.8. 55 & above

(5)

2. Sex

2.1 Male

1	
2	

2.2 Female

(6)

3. Marital Status

3.1 Single

1	
2	
3	
4	
5	
6	

3.2 Married

3.3 Divorced

3.4 Widower

3.5 Separated

(7)

4. In which section of the Technical college are you working?

4.1 Business Studies

1	
---	--

4.2 Engineering

2	
---	--

4.3 Home Science

3	
---	--

(8)

5. Number of years working at the Technical College

5.1. below 4yrs

1	
---	--

5.2. 5yrs - 9yrs

2	
---	--

5.3. 10yrs -14yrs

3	
---	--

5.4. 15yrs - 19yrs

4	
---	--

5.5. 20yrs & over

5	
---	--

(9)

6. What position are you holding

6.1. Lecturer

1	
---	--

6.2. Senior Lecturer

2	
---	--

6.3. Principal Lecturer

3	
---	--

6.4. Divisional Head

4	
---	--

6.5. Deputy Principal

5	
---	--

6.6. Principal

6	
---	--

(10)

7. How long have you been in his position?

7.1. below 5yrs

1	
---	--

7.2. 5yrs - 9yrs

2	
---	--

7.3. 10yrs - 14yrs

3	
---	--

7.4. 15yrs - 19yrs

4	
---	--

7.5. 20yrs & over

5	
---	--

(11)

SECTION B

8. Were you provided with a job description when you assumed duty?

8.1	YES	1
	NO	2

(12)

9. If yes, have you discussed the job description with your immediate senior?

9.1	YES	1
	NO	2

(13)

10. Do you have an appraisal system in your department / college

10.1	YES	1
	NO	2

(14)

11. Were the reasons why performance appraisal is introduced to the college communicated to all staff members?

11.1 Yes

1	
---	--

11.2 No

2	
---	--

11.3 Uncertain

3	
---	--

11.4 Never

4	
---	--

(15)

12. How often is staff appraisal done in your department / college.

12.1 Once a year

1	
---	--

12.2 Twice a year

2	
---	--

12.3 More than twice a year

3	
---	--

12.4 Never

4	
---	--

(16)

13. Are you satisfied with the frequency of staff appraisal in our department / college

13.1

YES	1
NO	2

(17)

Give comments on your answer/response

.....

14. Circle the number that best describe your opinion of the most recent appraisal interview in which you were involved
 (Key : 1 = SA: strongly agree; 2 = A: agree; 3 = U : uncertain; 4 = D: disagree; 5 = SD :strongly disagree)

	SA	A	U	D	SD	
14.1 The appraisal interview covered my entire job	1	2	3	4	5	18
14.2 The dicussion of my performance during the appraisal interview was covered equitably	1	2	3	4	5	19
14.3 The appraisal interview was accurately conducted	1	2	3	4	5	20
14.4 The interview was fair in every respect	1	2	3	4	5	21
14.5 The interview's purpose was simply not clear to me	1	2	3	4	5	22
14.6 The appraisal interview really made me think about working smarter on the job	1	2	3	4	5	23
14.7 The interview gave me some direction and purpose	1	2	3	4	5	24
14.8 The interview really pinpointed areas for improvement	1	2	3	4	5	25
14.9 The interview was disorganized and frustrating	1	2	3	4	5	26

14.10 The interview time was too rushed

SA	A	U	D	SD	
1	2	3	4	5	27
1	2	3	4	5	28

14.11 I received no advanced notice about the interview

15. Were you involved in the decision of what should be covered in terms of structure and content of the appraisal system?

15.1

YES	1
NO	2

(29)

15.2. Give comments on your answer

.....

16. Do you understand the criteria that is used to appraise staff

16.1.

YES	1
NO	2

(30)

17. Circle the number that best describes your opinion of what should be the best criteria for appraising staff

(Key : 1 = SA: Strongly agree; 2 = A :Agree; 3 = U : uncertain; 4 = D : disagree; 5 = SD : strongly disagree)

1

17.1 Knowledge of subject

SA	A	U	D	SD	
1	2	3	4	5	31
1	2	3	4	5	32
1	2	3	4	5	33
1	2	3	4	5	34

17.2 Preparation of planning

17.3 Implementing managing instruction

17.4 Students' records

17.5 Classroom discipline

17.6 Record keeping

17.7 Examination results

SA	A	U	D	SD	
1	2	3	4	5	35
1	2	3	4	5	36
1	2	3	4	5	37

18. At our college appraisal is used for :

18.1 Promotion

18.2 Merit

18.3 Staff development

Yes	No	Donot know	
1	2	3	
1	2	3	
1	2	3	(38)

19. Is the appraisal information kept confidential in your college?

19.1

Yes	No	Donot Know	
1	2	3	(39)

20. Who decide on the area of focus and lesson to be observed?

20.1 the appraisee

20.2 the appraiser

20.3 Both 20.1 & 20.2

1		
2		
3		(40)

21. Do you feel comfortable when you are being appraised / observed?

21.1 Yes

No

1		
2		(41)

22. What is your feeling at being observed?

.....

(42)

23. What are the main problems that you encounter when preparing for appraisal?

.....

(43)

24. What are the main problems that you encounter during the appraisal process?

.....

(44)

25. Is feedback always given 4

25.1 Immediately

25.2 Verbal

25.3 written

YES	NO	DONOT KNOW
1	2	3
1	2	3
1	2	3

(45)

26. Who decides on the timing of feedback?

26.1 Yourself

26.2 Appraiser

26.3 Both 26.1 & 26.2

1	
2	
3	

(46)

27. What actions are employed in your dept / college to improve staff performance?

 (47)

28. What in your opinion do you think should be done to improve staff appraisal in Technical Colleges?

 (48)

29. Circle the number that best describes your opinion of who should be in the appraisal panel.
 (Key : 1 = SA :Strongly agree; 2 = A :Agree; 3 = U : uncertain; 4 = D :disagree; 5 = SD :s ongly disagree)

	SA	A	U	D	SD	
29.1 Principal	1	2	3	4	5	49
29.2 Deputy principal	1	2	3	4	5	50
29.3 Divisioanal Head	1	2	3	4	5	51
29.4 Principal lecturer	1	2	3	4	5	52
29.5 Senior lecturer	1	2	3	4	5	53
29.6 Peer	1	2	3	4	5	54
29.7 Member of SRC	1	2	3	4	5	55
29.8 Member of school council	1	2	3	4	5	56
29.9 Parent	1	2	3	4	5	57



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Date 15-09-97

Your reference

Our reference

The Principal/Circuit/District Manager
Lichtenburg Tech. College
Private Bag X55
LICHTENBURG

REQUEST FOR PERMISSION TO CONDUCT RESEARCH

Our postgraduate students (M Ed. & B Ed) are conducting research in education.

You are hereby kindly requested to allow ELLEN KEABESWE PHIRI
to conduct research in the school, circuit, district under your jurisdiction.

The topic is: PERFORMANCE APPRAISAL FOR
LECTURERS IN THE TECHNICAL COLLEGES IN
THE NORTH WEST PROVINCE

The findings of this research will be made available to you at your request. Furthermore all data collected from schools will be kept confidential, and no identification of a specific school will be given when the report is completed.

Thanking you in anticipation

Yours sincerely

Dr M.W. Legotlo

HEAD: EDUCATIONAL PLANNING & ADMINISTRATION.