University of Fort Hare

Together in Excellence

An assessment of the implementation of teacher performance appraisal system in Zimbabwe: a study of 12 selected primary schools in Bulawayo Metropolitan Province

by

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Promoter: Dr N. Duku

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DECLARATION

I earnestly proclaim that this thesis is entirely a product of my own research and has not been submitted in any form for another degree or diploma at any other university or other institution of tertiary education. Information originating from the published or unpublished work of other authors has been acknowledged in the text and a list of references is presented.

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Mathwasa J. Date

ABSTRACT

The massive campaign by Zimbabwe to educate all children was achieved through the "education for all" policy. When quantity had been achieved more focus was on quality issues. The quality concerns coincided with market-based developments which compelled Zimbabwe to adopt change reforms such as the teacher performance appraisal, one of which focused on quality teaching strategies that would enhance learners' quality academic achievement.

Nevertheless since its inception in 1996 and subsequent implementation in 2000, teachers through their unions have challenged the use of the appraisal which quantifies the teacher's work, alleging their work cannot be atomized into separate elements to be measured, weighed and then ticked off. The contention highlighted above prompted the need for a research to be carried out which sought to assess:

- How is the performance appraisal system being implemented in the primary schools?

A mixed methods design which is located in the postpositivist paradigm which produced in-depth, detailed, rich data from personal perspectives and experiences that resulted in realistic understanding, interpreted through the social and cultural context of the respondent's lives. Educators resisted the imported system alleging it was imposed on them without adaptation to local environment. Lack of pilot-testing of the system, lack of proper training and lack of a meaningful reward system perverted the system to a mere ritual that frustrated implementers who found it difficult to use it in their daily work.

The study recommends the following:

- That the educators be incorporated in designing an appraisal system that encompasses the whole teacher's work package which is geared towards teaching the whole child.
- That there be a more efficient and sustainable reward system.
- That the system be interwoven into supervisory mechanisms so that there is no demarcation between the appraisal and daily supervision.

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DEDICATION

To my late dad and brother; to my children Hilary, Sifiso, Thembelihle, Olivia & Ntando and my grandchildren Mphokuhle, Jamie, Nontsikelelo & Tyler Baphiwe

ACRONYMS

‘A’ Level	Advanced level
‘O’ Level	Ordinary Level
BSPZ	Better Schools Programme Zimbabwe
DAS	Developmental Appraisal System
DPED	Deputy Provincial Education Director
DSG	Development Support Grouping
EO	Education Officer
ESAP	Economic Structural Adjustment Programme
GDP	Gross Domestic Product
HOD	Head of Department
INSET	In-service Training
IQMS	Integrated Quality Management Systems
KRA	Key Result Areas
MoESAC	Ministry of Education, Sport, Arts and Culture
PA	Performance Appraisal
PAC	Provincial Assessment Committee
PAIA	Performance Audit and Inspectorate Agency
PAS	Performance Appraisal System
PDM	Participation in Decision Making
PM	Performance Management
PRP	Performance-Related Pay
PSA	Public Servants Association
PSC	Public Service Commission
PSI	Public Service Inspector
PSRC	Public Service Review Commission

SBC	School Bases Committee
SMART	Specific, Measurable, Achievable, Result-oriented and Time-framed
SSB	Salary Service Bureau
TVZ	Teachers' Voice in Zimbabwe
WSE	Whole School Evaluation
ZIMTA	Zimbabwe Teachers Association

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CHAPTER ONE

CONCEPTUALISATION OF THE PROBLEM

1.1 INTRODUCTIONS

This study assesses the implementation of the teacher performance appraisal system in enhancing quality education in primary schools in Zimbabwe. There are various interpretations of quality education, ranging from the (a) exceptional view, whereby quality is seen as something special, linked to notion of excellence; (b) the perfection view, whereby quality is seen in terms of flawless outcomes; (c) the fitness-for-purpose view, whereby quality is seen in terms of fulfilling customers' requirements; (d) the value-for-money view, whereby quality is seen in terms of return on investment; (e) as the transformation view, whereby quality is judged in terms of a change from one state to another. Each of these perspectives provides a way of thinking about quality, and suggests that quality education may be defined in terms of a range of attributes. Consideration of quality is given to at least two key aspects: (a) the requirements of those experiencing the services, and (b) the educational process, from input to output. Clearly, teachers are central to quality education because their responsibility lies in the implementation of the quality requirements and standards of education.

The aim of this chapter is to present the background and rationale for the study. To provide context, it discusses the historical underpinnings to teacher performance appraisal system in the Zimbabwean context which includes teacher appraisal in pre/post-independent Zimbabwe. Thereafter, the research problem is clarified and statement of the problem given. The following have also been outlined: the research questions, objectives and assumptions of the study, including the significance of the study. Finally, key terms are defined and delimitations of the study summarize the chapter. Following thus, is the background to the study.

1.2 BACKGROUND OF THE STUDY

Within the broad process of education provision, systems of accountability have been adopted as part of a drive to assure quality education. In Zimbabwe, this takes the form of performance management initiatives. Most of these initiatives in Zimbabwe were limited to the introduction of performance-oriented staff appraisals (de Waal, 2007). Several factors prompted the push towards an emphasis on quality education in the country and these will be mentioned below. But still, education in Zimbabwe, like in other developing nations, has been viewed by the society as pivotal to the economic development of the country (Masoka 1997). Education is also seen as treasure for inheritance. However, policy makers and parents have grown increasingly concerned over the years about the quality of education offered in schools. Hence, there was an outcry for better quality service delivery.

Quality concerns came at a time when many developing countries, including Zimbabwe, changed over to market-based development in the 1980s due to pressure exerted to the governments by the World Bank (Schacter, 2002; Hopper, Wickramasinghe, Tsamenyi & Uddin, 2003). The demand for higher pupil achievement has also amplified the need for evaluating the performance of schools. In Zimbabwe, the inspection system that was established in the pre-independence era to exercise control over schools by offering advice was deemed ineffective; hence, the need to develop reforms that would enhance quality education. Quality education has been linked to quality teaching. Although the concept of quality teaching remains elusive (Chapman & Adams, 2002), teachers and their behaviour in the classroom are still considered instrumental in pupil achievement and at times considered as a convenient proxy indicator of not just school quality but also education quality (OECD, 2005).

The implication of the above, positions the teaching fraternity under pressure and very frequently at the centre of attempts to develop a teacher evaluation system that promotes quality education. As Stronge & Tucker (1999:355) arguably suggest, ‘Evaluation can be an important tool for supporting and improving the quality of teaching’. Teacher evaluation has frequently been viewed not only as a vehicle for

growth and improvement but also as a formality that must be endured (Stronge & Tucker, 1999). Overall, school authorities envisage teacher evaluation as indispensable to the achievement of quality education. This then called for policy makers in Zimbabwe to introduce some kind of teacher evaluation system that would improve teacher competencies that translate to pupil achievement.

In its endeavour to have an evaluation system in place, Zimbabwe merely copied the performance appraisal and reward system 'wholesome' from a developed country Canada, without modifying it to suit local circumstances and environment (de Waal, 2007). This may have been due to overall lack on management skills and expertise, by education authorities. Consequently, since the inception of the performance appraisal system in the 1990s, and the subsequent implementation in 2000, performance appraisal results have either been postponed or implemented selectively. As an academic and professional measuring tool, which focuses on teacher's competences, performance appraisal has continually elicited mixed reactions from teachers. This may also be aggravated by the fact that promotion and accelerated pay are linked to performance, compared to the past when such promotion/accelerated pay were linked to seniority and experience.

In Zimbabwe, many studies to date have investigated teacher performance appraisal systems and focused on teacher perceptions (Dube, 2001; Tshabalala, 2004) and implementation challenges experienced by teachers (Mpofu, 2002; Sibanda, 2003). Studies that were carried out to investigate teacher perceptions towards the system revealed that many teachers view it as a threat - an instrument of accountability that has not developed their skills (Dube, 2001; Tshabalala, 2004). On the challenges faced by teachers in the implementation of the appraisal system, Mpofu (2002) as well as Sibanda (2003) highlighted that many teachers and heads confessed craft illiteracy and craft incompetency on the system's procedures.

Recent studies have also examined the teacher appraisals in the light of the socio-economic decline in Zimbabwe. Bevan (2007) reported that almost a quarter of the

teachers have quit the country, and teacher absenteeism among those left behind is relatively high and education standards gradually plummeting (Bevan, 2007). Amid Zimbabwe's deepening economic and political crisis, the country's skills base is shrinking fast in the face of an exodus of hundreds of its professionals who leave for neighbouring countries like South Africa, Botswana, and Namibia and to far countries such as Australia, Canada, New Zealand and the UK in search of better working conditions (Smith 2000).

The situation which prevailed in Zimbabwe in the past couple of years, could possibly have led to demotivation among the teachers, with less concerns for such practices as effectively appraising the performance of colleagues. Despite the issues discussed above, very little research has been carried out to evaluate the effectiveness of teacher performance appraisal as a system that aims to increase teacher skills, competency, and promote pupil learning through improved teacher performance to ensure quality education.

The broad-spectrum conviction is that appraisals enhance performance of an individual which is then translated to organizational performance. This proposition comes from the notion that strengths and weaknesses of employees are identified through the implementation of performance appraisal. Proponents of appraisals also argue that appraisals contribute to employee satisfaction, which in turn leads to improved performance. Even though performance appraisal is assumed to be beneficial to the organisation, various studies related to PAS reveal otherwise. It can be argued that appraisals are capable of having a bad impact on the individuals as much as an organisation, hence, the next section discusses the history of teacher performance appraisal in Zimbabwe.

1.3 HISTORY OF TEACHER PERFORMANCE APPRAISAL IN ZIMBABWE

1.3.1 The pre-independence era (Before 1980)

The importance of teacher appraisal cannot be overemphasized (Dash & Dash, 2007). Teachers are considered pivotal to quality education; quality education leads to the economic development. Assessment of teacher performance has, however, evolved over time in a bid to get the most suitable and effective way of measuring teacher performance and improvement of instruction. Stufflebeam & Shinkfield (2007) assert that formal teacher appraisal has long been considered important by the public, although most schools evaluated teachers in only the most superficial manner by the principal's annual brief observation of the teacher's classroom performance.

In 1970, teachers in Zimbabwe were evaluated using a system that was designed for the colonial administration. During this era, the head of a school was the sole evaluator, and the process was arduous. The head inspected the teacher's work then compiled a confidential report, recording the information on an instrument called ED58. The head had to compile two reports a year, one by end of June and the second one by end of November. These reports were then sent to the District Office and copied to Provincial and Head Office. These were confidential reports so much so that the appraisee had no access to the written information pertaining to his/her performance. The system was closed and very secretive. There was no discussion between supervisor and supervisee and was not meant to develop the teacher professionally. In that score it was not considered effective as a teacher evaluation instrument. This secrecy justified the need for a new system that would increase the level of transparency, communication and commitment (The Public Service, 1997). Zimbabwe, hence, developed a new appraisal system after ten years into the independence.

1.3.2 The post-independence era (From 1980 to present)

At independence in 1980, Zimbabwe inherited an education system based on colonial administration. Over the first decade of independence, the reforms in the education

system focused on making education in line with the principle of ‘Education for all’ by building schools, accelerating the training of teachers, providing teaching and learning materials to schools. The emphasis was not so much on quality and cost effectiveness of the education system, but on accessibility to education (Kanyongo, 2005).

According to a report compiled by Kiragu (1998), soon after independence, Zimbabwe experienced a phenomenal growth in the provision of services throughout the country. For example, the number of children served by the education system increased from approximately 885,801 in 1979/80 to approximately 3,245,140 in 1996. The size of the Civil Service grew in tandem. The Civil Service increased from 10,570 established posts in 1980 to 193,000 in 1994. This increase had become unsustainable as the government’s budget deficit grew from 9.7 percent of GDP in 1980/81 to 13.6 percent of GDP in 1994/95 (Kiragu, 1998). However, while the move to the massification of education provision had an adverse impact on the economy, the ambition for ‘Education for all’ was achieved.

From 1990 to 2001, the post-independence era reforms focused more on the relevance and quantity of education and teaching methodologies, skills provision through a more effective teacher appraisal system. Hence in 1990 the Ministry of Education, Sport, Art and Culture (MoESAC) introduced the ED94 appraisal system for teachers. The PSC Minute REF: B/C/8/92 instructed Provinces to draft Form ED94 for Accelerated Advancement Appraisal for officers in the Ministry of Education.

The new system involved a more detailed account of the teacher’s work activities. A School Based Committee (SBC) was formed to assess teachers’ work activities. After assessment was complete, the forms were then sent to the District Committee for verification and in turn sent to the Provincial Assessment Committee (PAC), which was chaired by the Deputy Provincial Education Director (DPED). DPED in charge of Quality Assurance assessed the teacher’s performance based on the recommendations done by the SBC. The appraisal was compensation-based. The DPED then made a recommendation of a notch, two notches or no notch. These recommendations were then forwarded to the Salary Service Bureau (SSB) via Head Office, stating that the

particular officer had been awarded a salary increment by a notch or two or was not to be awarded any notch due to underperformance. Only the SSB knew how much a notch was in monetary value.

Nevertheless, the teacher appraisal system was fraught with many problems. At its inception, the system was considered segregatory in that, it stipulated the category of teachers who were eligible to complete the forms based on a salary scale (PSC Minute Ref: B/C/8/92). Before long the teachers' union (Zimbabwe Teachers Association, ZIMTA) decried the system, indicating that some teachers and heads were left out (ZIMTA meetings in 1993). Other categories of officers in the Education Department were also excluded. Realizing the weaknesses of the system, the MoESAC sent out a communiqué that everyone was supposed to complete the appraisal instruments and were to be paid what was due to them. Teachers who had not been rewarded due to underperformance received huge sums of money because of this communiqué.

However, in later years, changes to teacher compensation structure minimized the effect that the appraisal based compensation had on teachers. A new policy was introduced to allow every teacher to have salary adjustments to bring them to the same salary scale. The announcement of the change in the system was issued by the EO in charge of Staffing in the MoESAC at the Bulawayo Heads meeting in January 1994 (Heads' meeting Minutes 16 Jan 1994). This move defeated the aim of the teacher appraisal system which was to award good performers. The appraisal system that was introduced in the early period of the independence era had several weaknesses. It was more judgmental and administrative than developmental, that is, helping the teacher grow professionally. There was no room for feedback that would bring out the teacher's weaknesses so that they could be addressed. It was a one way communication that informed higher authority how the teacher performed without indication for any developmental drive.

1.4 NEW TEACHER APPRAISAL SYSTEMS: PERFORMANCE APPRAISAL

In the first decade of Independence (1980 to 1985), Zimbabwe sought to promote socio-economic development. There was massive expansion and enrolment in education in an effort to create an egalitarian education system to correct the colonial injustices of the past. Enrolment remained comparatively high through to the early 2000s (Kanyongo, 2005). During the same decade after independence, Zimbabwe transitioned through two significant periods of reforms in the Civil Service. The first one involved massive recruitment of educational personnel to cater for the 'Education for all' policy. The second one involved grappling with a Civil Service, whose state the Public Service Review Commission (PSRC, 1989) was tasked to assess, described it as largely bloated, corrupt and ineffective (The Golden Handbook, 1998). The PSRC (1989) reported that, among other key issues inhibiting the effectiveness of the public service:

> *The standard of management was not conducive to the effective and economical use of resources, the efficient conduct of public business vis-à-vis ministers and parliament, the efficient delivery of public services throughout the country, nor for accountability for what had or had not been done (PSC, 1989:21).*

In order to redress the situation, the Zimbabwean government initiated economic adjustment programmes: the first being the Economic Structural Adjustment Programme (ESAP) designed by the IMF and World Bank. A major consequence of ESAP was a weakened Civil Service incapable to support issues of teacher appraisal, development and quality education (Ndlovu, 2002). The second being the introduction of a performance appraisal system (PAS) from the 1st July 1995 in line with modern trends in personnel management, and the desire to adopt a business-like approach in the civil service (Sinyolo, 1997). Masoka (1997) affirmed that the aim of the new system was to create a civil service that was result-oriented and responsive to the needs of the public.

The new performance appraisal system in the field of education in Zimbabwe was adopted as a management tool. Its focus was to ensure administrative accountability

and improved service delivery (Bratton & Gold, 2007). In addition, the system aimed at skills development to enhance the 'efficiency and effectiveness' of the teaching staff in schools. It also had an incentive intent: for advancement and promotion, for granting or withholding of any performance award and for demotion or discharge, subject to and in accordance with the disciplinary procedures (Statutory Instrument 1 of 2000:12-15). Teacher evaluation became intensive, systematic and valid. The new performance management was therefore geared towards the provision of quality education and continuous professional development of teachers.

1.4.1 Implementation of the performance appraisal system (PAS)

In the new teacher appraisal system, both the appraiser and appraisee are jointly involved in the process. The process is interactive and democratic. This means that the head and the teacher sit down together and agree on key areas, performance standards and the purpose of the appraisal. When both parties are involved in the initial stage of the process, it enhances ownership of the process by both parties. This research looked at the process as it is implemented in the education system at primary school level. The diagram below shows the process of appraisal in the new teacher appraisal system.

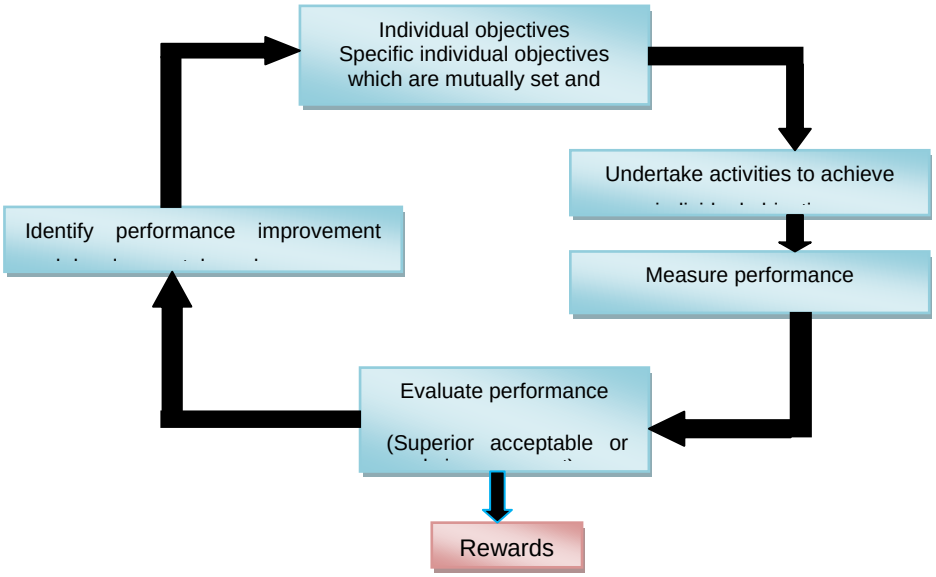

Figure 1.1: New teacher performance appraisal process

The process of implementation occurs on a phase basis as shown in Figure 1.1. The onus is on the appraisee to display knowledge of his/her job (Aguinis, 2009; Grote, 1996). The process commences with a joint meeting between the supervisor and appraisee to discuss, negotiate and agree on the Specific, Measurable, Achievable, Result-oriented and Time framed (SMART) objectives and key result areas (KRAs) to be undertaken by the appraisee at the beginning of the year. The performance objectives that teachers develop are aligned to the objectives, the mission and vision of the school (Masoka, 1997; Cascio & Aguinis, 2008b). When both parties have agreed on the KRAs, these will be used as the yardstick to measure performance and then both participants sign the appraisal form on the same date.

The second stage involves the appraisal exercise. This is where the appraisee undertakes activities that were lined up to achieve individually set objectives or targets. In the third stage performance is measured using the mutually agreed indicators. The appraiser engages in the act of comparing the KRAs set and the KRA goals achieved. The process is characterised by consultation and dialogue through regular reviews. It is during this time that the supervisor monitors and understands the process from the appraisee's perspective so that anticipated challenges can be dealt with (Dunning, 2004). The appraisee is given feedback about the status and quality of work and a roadmap to success is given (Kreitner & Kinicki, 2010). According to Shore, Adams & Tashchian (1998), during this period the appraisee should be engaged in self-appraisal so that employee's defensiveness can be reduced and enhance perceptions of accuracy and fairness.

In the fourth step, evaluation of performance based on a mutually agreed yardstick measure of performance is done. Although measures of performance are still not available for many jobs, (education included) ratings play a pivotal role in evaluating performance (Cascio & Valenzi, 1978; Heneman, 1986). Trust in the appraisal process is of paramount importance during this period as it is characterised by biases and leads to judgements being passed on to the appraisee. From this stage rewards are decided, strengths and weaknesses of the appraisee are exposed so that developmental needs can be addressed (Boswell & Boudreau, 2000). Teachers are tasked with developing

their own development plan. Having identified the needy areas, the appraiser then guides the appraisee towards the correct path of performance.

1.4.1.1 Issues in implementation

Teachers found the target setting exercise cumbersome and very difficult due to incompatibility of goals. In line with this, scholars such as Posavac & Carey (2007) speculate that the performance appraisal system is likely to have ‘side effects’ that obscure what would normally be a crucial achievement (Scriven, 1994 cited in Posavac & Carey, 2007). In spite of its importance, the meeting between appraisee and appraiser is often regarded as the “Achilles’ heel of the entire process” (Kikoski, 1999). This is because performing the role of both assessor and counsellor often creates stress and defensiveness on both parties (Bohlander & Snell, 2004). Ghorpade & Chen (1995) reported that in the appraising process, the appraisers feel uncomfortable giving feedback, especially when the performance is deficient.

The rating of appraisee has been a point of tension. The final rating of the appraisal is done at the end of the year, and this precedes the identification of training needs, while Turner & Clift (1988) reported that the rating stage is prone to subjectivity, inconsistency and bias. They professed that the stage has shown itself to create tension and soured relationship between the school head and teachers. "Seventy years of empirical research on teacher evaluation shows that current practices do not improve teachers or accurately tell what happens in classrooms" (Peterson, 2000:14) and has shown that teachers often resist implementing the new performance appraisal system. Many have argued that the system poorly reflects the rich complexity of the teacher’s work. Another issue is that teachers find the specification of precise and measurable objectives problematic (Chiganga, 1996; Storey, 2002).

The representation and validity of outcomes of the appraisal process have also come under scrutiny. Gane & Morgan (1992) found that teachers rejected the use of a quality control system to measure their students’ academic progress, arguing that pupils’ progress could not be measured by a system of quality control which rejects the

‘imperfect product’. The contention of many teachers is that quality control cannot be used to select the ‘finest ingredients’ for teachers to ‘process’ (Gane & Morgan, 1992). The fact is that, teaching is a dynamic ever different and rarely predictable process. Thus, it is difficult to quantify complex social services like education.

Thompson (2001) emphasize that the activities of a teacher, which were very close to the actual learning of a child were those which teachers could not measure in quantifiable terms. Teachers’ embitterment in Zimbabwe was expressed by Chiganga (1996) in a workshop of ZIMTA in Plumtree. The question he posed about the new innovation was where the magic formula to measure, in quantifiable terms, the performance of a teacher had suddenly come from, because it was the measurement criterion that was problematic in teacher appraisals. From personal experience, teachers have expressed dissatisfaction and frustration with the system because the scale to measure their work in quantifiable terms was not available. Educators felt that their work could not be atomized into separate elements to be measured, weighed and then ticked off (Wragg, Haynes, Wragg, & Chamberlin, 2004). This view suggests that to merely appraise teachers on the basis of the quantifiable elements of their duties is to disregard or even downplay the significance of the qualitative aspect of their teaching role.

Furthermore, historically, teachers have been overwhelmingly opposed to merit based work compensation. The fundamental reason is that there has been no appropriate measurement criteria supplied, leaving individual appraisers to use their own discretion when applying the appraisal system (Huggett & Sinnett, 1996). The performance appraisal system has also been criticized for being too subjective and has become instrumental. Emphasis is more on completing the instrument, validate the results and dispatch them to Salary Service Bureau in time for bonus payment in November of each year. However, despite these concerns, the education system in Zimbabwe continues to use the performance appraisal system in schools.

Given the prevaricate history of the ED94 appraisal system; it could be argued that it is unsurprising that teachers view the new appraisal system with suspicion and reluctance. There have been persistent challenges to the use of performance appraisal in

determining remuneration (Nkala, 2002). According to Nkala (2002) who chaired Zimbabwe Teachers Association (ZIMTA) the appraisal system is glaring with flaws, such as the 'halo' effect of appraisers, poor perception, selectivity and poor interpretation by appraiser. Furthermore, Nkala (2002) asserts that the numerical rating was largely subjective. Performance–related remuneration that was not uniformly applied, created deep frustration and jealousy among some teachers and humiliated others. Much of these attitudes persist among teachers in the school system today.

The teachers' Union, ZIMTA, viewed the appraisal system as a routine excess baggage for teachers, which was meant to fulfil legal requirements with little effect on their professional growth. The Union also interpreted the introduction of the system as yet another government's ploy to impoverish teachers who after all were poorly remunerated (Teachers' Voice in Zimbabwe (TVZ), 1998). Thus, from the onset, mistrust between government and teachers clouded the good intentions of the performance appraisal system. In line with this assertion was a study carried out by Reinke (2003) where Hedge & Teachout (2000) and Reinke & Baldwin (2001) revealed that trust emerged as the most important predictor of an attitude toward a performance appraisal process, in this instance, acceptance of the process. From personal experience, team spirit among teachers has been affected by the introduction of the performance appraisal system as tensions and competition emerged among educators.

1.5 STATEMENT OF THE PROBLEM

The contextual background of the study above shows that the performance appraisal system was introduced to make the education system efficient, effective and responsive to the needs of the public in general (Masoka, 1997). The appraisal process, however, appears to be fraught with many challenges related to such issues as subjectivity and bias (Armstrong, 2006), lack of acceptance and hence ritualised. There is also a sense that although PAS continues to be implemented, pupil and school performance at primary level continues to decline and professional development has not materialised. Conceptions of quality education, i.e., as (a) *exceptional*, whereby quality is seen as

something special, linked to notion of excellence; as (b) *perfection*, whereby quality is seen in terms of flawless outcomes; as (c) *fitness-for-purpose*, whereby quality is seen in terms of fulfilling customers' requirements; and as (d) *value-for-money or a* return on investment – suggest that education process practices such as appraising teacher's performance should make a positive contribution to the education that pupil receive. Nevertheless, the extent to which the performance appraisal system implemented in primary schools in Zimbabwe in ensuring quality education at primary school level is unclear. This concern has given rise to the following critical main research question:

1.6 RESEARCH QUESTION

How is the teacher performance appraisal system being implemented in primary schools?

1.6.1 Research sub-questions

1.6.1.1 How has the performance appraisal system developed teacher competencies at primary school level in the Bulawayo Metropolitan Province?

1.6.1.2 What motivation have the educators derived from the performance related remuneration/appraisal system?

1.6.1.3 From the perspectives of educators, what have been the strengths and weaknesses of the performance appraisal system?

1.6.1.4 How has the performance appraisal system utilized the strengths and improved the weaknesses exhibited by teachers in enhancing quality education and teachers' professional growth?

1.6.1.5 What intervention strategies can be employed to improve the implementation of the performance appraisal system at primary school level?

1.7 RATIONALE OF THE STUDY

The crucial factor in teacher appraisal systems is its link to professional development and improvement that is related to issues of teacher quality, learning and achievement (Darling-Hammond, 2010). Darling-Hammond further associates teacher quality with a bundle of personal traits, skills, and understanding. The desire to have a vibrant teaching force that links professional development and accountability justifies the need to evaluate the appraisal system of Zimbabwe, especially in relation to primary schools. The aspiration to ascertain whether the appraisal enhances teacher competences, motivates teachers and improves the quality education at primary schools motivated the researcher to carry out this study. The researcher's experiences in educational leadership, the yearning to personally enrich her own understanding and knowledge of programme evaluation gave her the zeal to carry out this study. Wisdom gained in this study would hopefully contribute towards the development of intervention strategies that ensure quality education. During the process of research, there was need for human power, financial, material and time to be expended. All these were availed in order for this research to be success. Chapter 3 which discusses the methodology of the study explains in detail how these resources were utilised.

1.8 PURPOSE OF THE STUDY

This study examines the implementation of the teacher performance appraisal system in ensuring quality education at selected primary schools in the Bulawayo Metropolitan Province. Furthermore, it investigates and establishes the extent to which the performance appraisal was implemented and if teachers had improved their competencies and teaching skills. The study also explores if the performance-related pay that was introduced to support the teacher performance appraisal, was instrumental in teacher motivation, recruitment and retention. Since examination results at Grade 7 are used to measure school effectiveness, these results were analyzed to see if they showed any marked increase since the introduction of the appraisal system.

1.9 RESEARCH OBJECTIVES

The following are the key objectives of the study:

1.9.1 To establish if targeted educators' skills and knowledge have been improved by the application of the performance appraisal system;

1.9.2 To establish the existence of a relationship between monetary incentives and teacher performance;

1.9.3 To expose challenges associated with the implementation of performance appraisal system;

1.9.4 To ascertain and provide a focused implementation of the teacher performance appraisal system at primary school level, complete with recommendations.

1.10 SIGNIFICANCE OF THE STUDY

The study is of great value as its findings might contribute to the existing discourse on the implementation of performance appraisal system at primary schools. Additionally, the study illustrates the relationship between the expectancy theory of motivation and the implementation of performance appraisal in conjunction with performance-related pay. The challenges associated with the implementation of the performance appraisal in education are examined. It endeavours to assist the Ministry of Education, Sport, Arts and Culture, Bulawayo Metropolitan Provincial Education to ascertain the importance of teacher capacity, the impact of financial and material resources shortage, and lack of support on the implementation process of the performance appraisal in education leading to the adoption of corrective measures. This may be of value in improving the quality of education in primary schools.

The study will hopefully enlighten the Public Service Commission of the efficacy of the performance appraisal system for them to make informed policy decisions on the adoption of foreign systems and realize the need to modify them to suit the local environment. Through this study the Ministry of Education, Sport, Arts and Culture

would realise the need to design and implement a more appropriate strategy of the performance appraisal system that enhances quality education. Teachers are also bound to benefit from the findings of this study as poor conditions of service were observed to have a negative impact on the learning process. Above all, the researcher hopes to use the results to modify teacher perceptions of the system, thus help them to see the system's positive attributes while the policy makers see the need for transparency and integrity in the treatment of employees. The findings of the study will provide vital reference material for other researchers who may want to carry out similar studies in the implementation of an appraisal system in education, be it in the primary, secondary or tertiary education from a Zimbabwean perspective.

1.11 PARADIGMATIC PERSPECTIVES

1.11.1 Assumptions

The study assumes that;

- Quality education has not been achieved as per the aims of the performance appraisal system. Since the appraisal system was legalised in 2000, education has not improved its output in terms of the pass rate.
- Educators at primary schools have not acquired new skills through the performance appraisal system. Teachers would have displayed new skills and competencies by the production of better pass rates.
- The performance-related pay has not motivated teachers to improve pupil achievement, since there have been selective payments.
- The Ministry of Education, Sport, Arts and Culture functionaries are not conversant with the performance appraisal procedure. This has been displayed by the fact that a single appraisal system is applied to all levels of education regardless of the type of work done.

1.12 DEFINITION OF CENTRAL CONCEPTS

In the context of this study, the key concepts are; assessment, implementation, performance appraisal and quality education. These are used as follows:

1.12.1 Assessment

Linn & Gronlund (2000) concede that assessment is an integrated process for determining the nature and intent of student learning and development as well as obtaining information on which to base educational decisions. Rush (2002) advises that assessment is about making a judgement, identifying the strengths and weaknesses, the good and the bad, and the right and the wrong in some cases. Assessment can be defined as evaluation or appraisal that involves making judgement which can inevitably include an element of subjectivity by the assessor (Rush, 2002). The purpose of assessment is to give feedback, to grade and to use as a quality assurance mechanism for both internal and external systems.

The terms assessment and evaluation are sometimes used interchangeably, even though there is a shade of difference in meaning. Evaluation can not take place without assessment and assessment which is completely divorced from evaluation is a half measure (Nitko & Brookhart, 2007). However, both terms describe a process of collecting and interpreting evidence for some purpose and both involve decisions about evidence to use (Harlem, 2007). The distinction between them is that while assessment involves issues of value, quality and effectiveness, evaluation is concerned with judgments and determining the value or worth of a programme. In this study assessment and evaluation were used interchangeably for collecting, analyzing and interpreting evidence in order to make informed decisions about the worth of the performance appraisal system

1.12.2 Implementation

Implementation is "the process of putting an idea, programmes, or set of activities new to the people attempting or expected to change," (Fullan, 2001). Van Meter & Van Horn (1974:447-8) assert that "Policy implementation encompasses those actions by public or private individuals (groups) that are directed at the achievement of objectives set forth in prior policy decisions." Sharing the same view is Bardach (1977) who offers that policy implementation refers to what happens after a Bill becomes a law or can be simply stated as the process of translating policy into action (Barrett, 2004). Policy implementation usually reveals government's intentions of how things should be done so that through these actions old patterns of doing things are abolished or modified and new patterns of actions are adopted. In this study implementation will mean activities conducted by civil servants and the public to achieve objectives set by the public policy of teacher appraisal.

1.12.3 Performance appraisal (PA)

Bratton & Gold (2007:284) define appraisal "as a process that provides an analysis of a person's overall capabilities and potential, allowing informed decisions to be made for particular purpose". Armstrong (1994) defines performance appraisal as a means of getting better results from organizations, teams and individuals, by understanding and managing performance within an agreed framework of planned goals, standards and attributes/competence requirements. According to Castetter (1992) cited in Madziyire (2000:130) "performance may be defined as a process of arriving at judgements about an individual's past and present performance against the background of his or her work environment and about his or her future potential for the organisation. Concurring with the above scholars were Swanepoel, Erasmus &Schenk, (2008:372) whose view is that,

> *"Performance appraisal is a part of performance management, which is focused on organizational performance through a number of HR processes, including performance appraisal. Appraisal is a formal time-specific assessment or 'dipstick'-snapshot of individual employee's*

performance, whereas performance management entails a cyclical and ongoing endeavour.

A similar view is presented by Boninelli & Meyer (2004) who describe PA as a snap short of how a person is doing and is typically taken once or twice a year. They add that PA is an opportunity to document performance and also a chance for the employee to discuss development opportunities with management.

From the above citations, one can deduce that performance appraisal is about comparison of one's performance against set standards and is a means of evaluating an employee against set standards in order to pass a judgment. However, Bacal (2000) highlighted a common error, namely the confusion of performance appraisal with performance management (PM). Zimbabwe introduced the system of appraisal using both terms performance appraisal and performance management interchangeably and to mean the same thing, although emphasis was on PA more than PM.

1.12.4 Quality Education

Quality education goes beyond the analysis of inputs and means overall improved learning achievement. Quality is elusive, hard to specify, but we often feel we know it when we see it (Seale, 2002). Hawes & Stephens (1990:11) define quality education as a process that requires "efficiency in meeting the set goals, relevance to human and developmental needs and conditions, something more in relation to the pursuit of excellence and human betterment". In spite of the existence of various concepts of educational quality, researchers are generally in agreement that it results from the interaction of several sets of factors that tend to produce high levels of learner achievement (Allemino, 2003).Generally, most definitions of educational quality include variables associated with the following broad factors: the school, the learner and the environment. High or positive measures of these factors are considered favourable to increasing educational quality leading to high rates of learner achievement, while low or negative measures are associated with poor quality and low levels of learner achievement (Allemino, 2003)

In her words, Spellings (2005) Secretary for Education, in the USA stated that, “Quality education is key in overcoming poverty in a single generation and is fundamental in creating a future for human security, community development and national progress. It is an enormous challenge. It is also an immense opportunity”. Quality thus is mainly a result of a combination of five factors, (in sequential) policies on education; financing; enrolments and retention; content and teaching strategies; and human and material resources (Mooka, Tabulawa, Maruatona & Koosimile, 2009). The Ministry of Education, Sport, Art and Culture in Zimbabwe tabled the indicators of quality as follows;

- Good public examination results;
- Good tone of the school;
- The society becoming proud of its school/ educational institutions, with which it needs to be identified; and
- Usefulness of pupils after school (TVZ, 1998).

Trethowan (1991) confirms that in education, quality may be defined as all the activities, functions, features and characteristics of an organization to provide a service which satisfy needs of customers.

1.13 DELIMITATION OF THE STUDY

The current study focused on the implementation of the performance appraisal system and the effects of performance-related pay at primary school level even though the performance appraisal system has been implemented in all government institutions. Training of teachers and the development of their skills and competencies was also of interest in this study. The research site comprised of twelve primary schools and the District Education office in the Bulawayo Metropolitan Province. The population sample consisted of 17 school heads, 3 Education Officers, 3 Public Service Inspectors and 59 teachers. As shown above, the study concentrated on primary schools teachers and heads as it was crucial to have primary education that formed a strong foundation to education.

1.14 ORGANIZATION OF THE STUDY

The study is comprised of six chapters whose details follow:

Chapter 1: The problem and the setting

The introductory chapter uncovers the background of the study, research question, purpose, significance, and rationale of the study. Key terms were also elaborated, including the delimitations.

Chapter 2: Literature review

This chapter delineates the conceptual framework of evaluation theories in relation to the performance appraisal system. It also explores the literature related to the implementation of the performance appraisal systems and how it ensures quality education.

Chapter 3: Methodology

This chapter unveils the research paradigm that influences the research design and justifies the methodology employed in this study. The population, the sampling procedures and data collection instruments are revealed and the ethical considerations are elucidated.

Chapter 4: Data presentation, analysis and interpretation

In this chapter, data collected through the questionnaires, interview schedules, focus group discussions and document analysis is presented, analyzed and interpreted so as to formulate meaning out of it. Data from the survey is buttressed by qualitative data from interviews and group discussions.

Chapter 5: Discussion of findings

This chapter discusses the findings of the research. In this segment, the researcher made comparisons between the findings of this study, other related studies and what originated from legendary researchers. The main focus in the study is to bring the

findings of this study into the fold of existing knowledge in the effectiveness of performance appraisal in ensuring quality education

Chapter 6: Summary, conclusions and recommendations

The final chapter brings to the surface the findings of the study in relation to the stated problem. It also delineates the conclusions and props up the recommendations for policy makers to review, weighing the pros and cons of the system. Further research essential in this subject matter brings to a close this study.

CHAPTER 2

REVIEW OF RELATED LITERATURE

2.1 INTRODUCTION

The aim of this chapter is to review the literature that is related to the implementation of performance appraisal, drawing evidence from both the public and private sectors. It focuses on the theoretical framework adopted, the relevant literature in the implementation of the performance appraisal and its effectiveness in terms of ensuring teacher professional development, motivation, and retention. Particular attention is given to the following issues drawn from the research objectives: performance appraisal system (PAS) implementation: processes and procedures; teacher input in its design and development of performance appraisal (PA); effects of performance appraisal on development of teacher competence and how it motivates teachers to perform and the link between teacher appraisal and quality education in schools is also reviewed.

2.2 THEORETICAL PERSPECTIVES

2.2.1 POLICY IMPLEMENTATION

Policy implementation usually reveals the government's intentions on how things should be done so that through these actions, challenging situations can be ameliorated. This means the Government strategises to put measures that control the situation as well as make it better in the long term. In the case of performance appraisal, policies are designed to mitigate the challenges in the civil service. The implementation should have followed a systematic pattern.

Van Meter & Van Horn (1975:447) define policy implementation as encompassing "those actions by public or private individuals (or groups) that are directed at the achievement of objectives set forth in prior policy decisions". The authors developed the

implementation theory after the realisation that there was lack of any theoretical framework within policy implementation and seeing how complex policy implementing was. Furthermore, Van Meter & Van Horn (1975) posit six independent variables which mediate the link between policy and practice: (1) policy statements and objectives elaborate on overall goals; (2) resources facilitate policy administration; (3) effective communication and enforcement activities minimise deviation; (4) the characteristics of implementing agencies impinge on the capacity to implement policy; (5) economic, social and political conditions also affect performance; and (6) the disposition of implementers is affected by their comprehension of the policy, the direction of their response towards it (e.g. acceptance or rejection) and the intensity of that response.

For implementation to be accomplished there is need for careful planning which has its focus on factors such as people, programmes and processes (Ornstein & Hunkins, 2009). Policy implementation thus depends on the degree of clarity and how people analyse and interpret the policy so that it can be implemented. Ornstein & Hunkins (2009) argue that organisations tend to ignore the people factor while they spend money and time modifying programmes and processes yet the people are the key implementers. People as key implementers need to know the programme well and understand the processes involved. Below is a diagrammatic presentation of policy theory and the street-level bureaucracy:

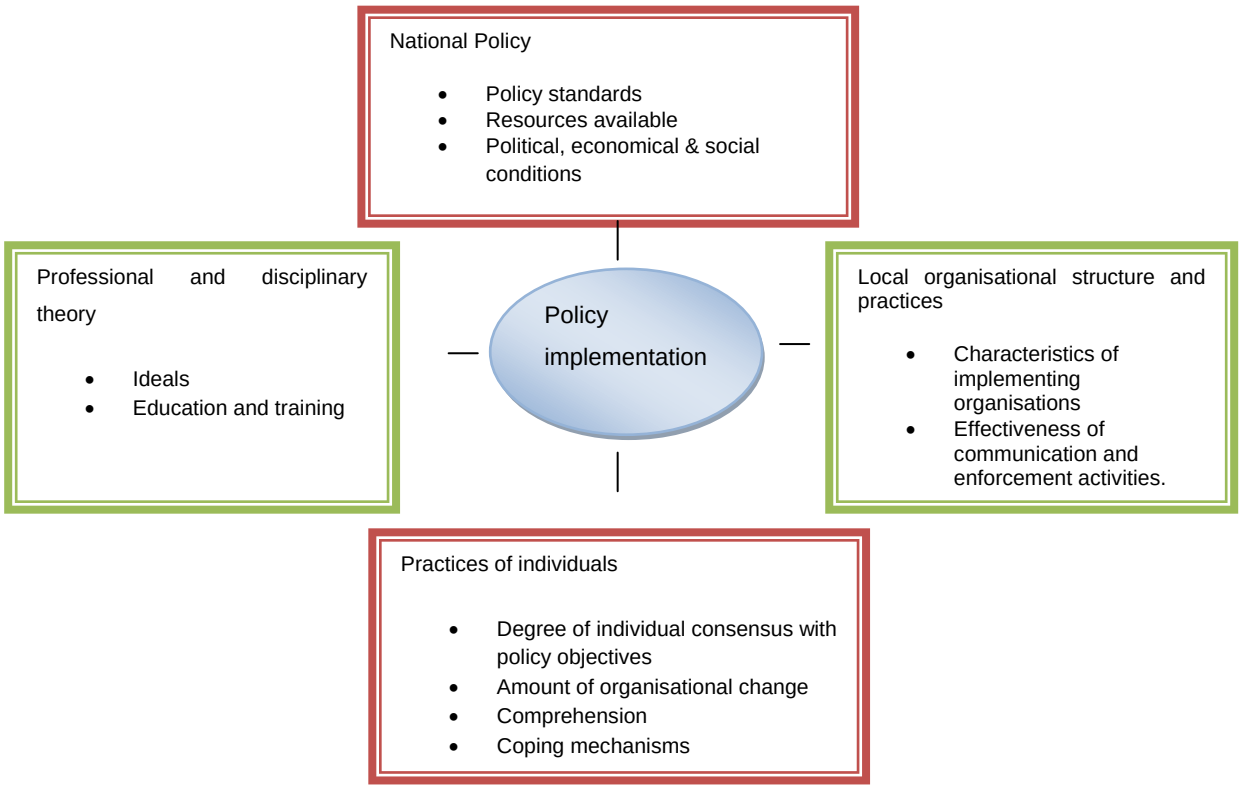

Figure 2.1: Diagrammatic presentation of the combination of implementation theory and street-level bureaucracy; by Van Meter & Van Horn (1975) and Lipsky (1980)

As indicated in Figure 2.1 the performance appraisal system was designed or adopted and developed in the top-down approach starting at national level. The policy standards are the communicated to the local organisational structures (in the case of Zimbabwe these are Provinces) for implementation. According to Rogan & Grayson, (2003) the profile of implementation is exposed to the implementers. Policy makers have to ensure that resources are available and that the political, economic and social conditions are favourable for the policy to be implemented.

At the local authority structures is where the street-level bureaucrats operate from. Street-level bureaucrats are pivotal in any policy-implementation process (Keiser & Soss 1998; Lipsky 1980; Maynard-Moody & Musheno 2003) as they are to a great extent responsible for carrying out the policy objectives developed at higher levels of government. Lipsky (1980) argues that the decisions of street-level bureaucrats, the

routines they establish and the devices they invent to cope with uncertainty and work pressures, effectively become the public policies they carry out. It is at this stage that Rogan & Grayson, (2003) emphasises the need for capacity to support innovation. It is believed that the views of the street-level bureaucrats about policy goals articulate that they possess the power of bureaucratic discretion on policy outcomes (Clark-Daniels & Daniels 1995; Meyers, Glaser, & MacDonald 1998). However the street-level bureaucrats usually interpret the policy the way they understand it which may sometime not reflect its original goals. Enforcement activities or mechanisms are attached to policy implementation to ensure compliance.

The third stage focuses on the individual practices where the degree of individual consensus with policy objectives and the amount of organisational change are measured. This is the shop floor operation where policy initiatives are put into practice. Rogan & Grayson, (2003) encourages the need for support from outside agencies. The support from outside agencies can be described as the kinds of actions undertaken by outside organizations, such as provincial and district education offices, to influence practices, either by support or sanction. The Performance Audit and Inspectorate Agency also monitors the implementation of the policy. In the fourth stage evaluation of individual performance is done which then leads to disciplinary action, rewards and /or education and training. In light of the information presented above on policy implementation, the following are the stages of programme implementation and these will be linked to the implementation of performance appraisal in Zimbabwe. Generally, the implementation of policies should follow a systematic pattern, as shown below.

Stages of programme Implementation

- Stage 1

Implementation begins with problem initiation. According to Altrichter (2005), this entails stakeholders in sectors of society that experience a challenge raising concerns of the problematic issues in their lives. The first stage of implementation therefore comes about as a result of stakeholders identifying a problem or challenge in their lives and then notifying the leadership. When this happens, the leadership has to react by

researching on the problem. Although this is generally the method that is followed in policy implementation, in the case of the performance appraisal in Zimbabwe, this was not the case. Problem initiation was not locally initiated. It emerged from the economic meltdown Zimbabwe found itself in (Rembe, 2006; Kanyongo, 2005), as a result, the country got into the IMF and World Bank supported recovery programmes. Due to escalating expenditure IMF and World Bank pressured the government to audit the civil service programmes for efficiency and to account for funds spent (Ndlovu, 2002). In reaction therefore to external pressure, the government of Zimbabwe carried research on how the various government sectors functioned and the outputs they produced and this stage is referred to as information collection.

- Stage 2 Information collection

At this stage information is gathered from all lucrative sources. In the case for Zimbabwe, PSRC (1989) carried out the civil service audit which led to the desire of reforms such as ESAP and the Performance appraisal system. Ikenberry (1990) explains that it is at this stage that a fact finding mission is sent out to monitor overseas developments for adoption. This information is necessary in order to enable the Government to make sound educated judgements on the situation obtaining on the ground. This leads to the selection of appropriate responses and alternatives as well as the design of programmes to resolve the situation. In the case of Zimbabwe, this stage was done but the people sent out appeared to not have done much research because they lifted a system in its entirety without understanding its strengths and weaknesses. The challenges that arise as a result of taking such a move are elaborated by de Waal (2007) and Dolowitz & Marsh (1996) who state that quite often policies are not well researched before implementation and that in such situations they may fail. It is important therefore to research thoroughly on foreign policies before implementing them because every environment is unique, and what works in another country is not guaranteed to work in another country. After research has been carried, the next stage in implementation is option analysis.

- Stage 3 option analysis

At this point problematisation is carried out and it identifies causes of the problem and proposals for alternatives are made and finalised. As stated earlier, in Zimbabwe the initiation of the performance appraisal system was a reaction from outside pressure, thus the problem was not identified locally. As a reaction to external pressure the government of Zimbabwe adopted the performance appraisal system from Canada through the fact finding mission and this was sent to local authorities wholesome, leading to its implementation.

- Stage 4 Full scale implementation

Full scale implementation is the stage when a policy is put into practice or brought into reality. That is, when a policy is taken from a theory into practice. In Zimbabwe, the implementation of PAS was legalised through the SI. 1 of 2000. Generally, the implementation is supervised by top bureaucrats in the policy making structures. However the actual implementers on the ground are street-level bureaucrats. These are well known for negating policy intentions only to serve their own interests (Ornstein & Hunkins, 2009). In the case of Zimbabwe the street-level bureaucrats can be equated to the Public Service Commission which is the Performance Audit and Inspectorate Agency in charge of monitoring and enforcing the implementation of the performance appraisal system. What can be noted about the implementation of the performance appraisal programme in Zimbabwe is that it was not a reaction from the stakeholders, but a result of outside pressure which is problematic in itself, because the people on the ground were not consulted on the challenges that affect them. Secondly, the policy was adopted wholesome from Canada without effort to make it applicable to the Zimbabwean environment, leading to the question: how does the performance appraisal system function in Zimbabwe considering that it was designed for a developed nation with a different socio-economic and political environment? From the information presented above, it is evident that it is important to implement policies that are thoroughly researched so as to make them applicable to the exact environment. Since the performance appraisal was adopted to deal with the management problems and

quality output in Zimbabwe, the next section discusses at length the concept of ‘performance appraisal’.

2.2.2 The evolution of the concept ‘performance appraisal’

The rise of Taylor’s scientific management perspective in the 1960s to present has given prominence to 'employee performance appraisal' in HR literature. Much has been written about employee performance appraisal (PA) in such a manner as to suggest that the process is politically driven, even though one of its primary purposes is said to be the development of the individual employee (Nurse, 2005). Melcrum Publishing (2005) found that from a global survey of over 1,000 communication and HR practitioners, 74% began to formally focus more on the issue between the 1990s to present. Having gone over an extensive amount of literature, the commentary on the evolution of employee performance appraisal is summarised by the following points:

- It builds upon and goes further than 'commitment' and 'motivation' in the management literature (Woodruffe, 2006 as cited in CIPD, 2006a)
- A desk review undertaken by Rafferty, Maben, West & Robinson (2005) indicates that it originated from consultancies and survey houses rather than academia
- The level of interest it has generated indicates that it is more than a passing management fad and a considerable amount of research and analysis has been conducted in the last 10 years or so building up our understanding of the term.

As pointed out in Rafferty et al., (2005), the concept of employee performance appraisal has as its foundation, two well-researched precursors - employee accountability and development. Part of the reason for the widespread negative perceptions of staff appraisal and evaluation schemes is the well-documented tension between the summative/accountability purposes and the formative/developmental purposes of appraisal and evaluation (Duckett, 1991; Peel & Inkson, 1993; Robinson, 1994). Accountability in appraisal has in the past been used to identify incompetent teachers; to identify weaknesses in a teacher’s performance; to assess performance for purposes

of pay and promotion and to provide evidence for any disciplinary procedures. Capper & Munroe (1990) argue that a major factor in the impetus for change in educational administration in New Zealand was the degree of dissatisfaction with mechanisms for teacher accountability that existed at that time. Accountability has largely been attributed to the political view, rather than educational origins. It is seen as a desire by the state to ensure incompetent teachers do not continue to teach (Bollington *et al.*, 1990; Fidler, 1991; Killen, 1991).

Developmental orientation in appraisal is an indication that individuals want to learn new things to further develop their skills. It includes feedback which allows managers to coach employees and help them improve performance on an ongoing basis (Cleveland & Murphy, 1989). Goddard & Emerson (1997) postulate that development in teacher appraisal celebrates that which the teacher does well; it identifies areas where the teachers may be able to improve; it assists to develop the teachers' career by giving support and in-service training which the teachers require in order to progress and grow professionally.

2.2.3 Definitions of the concept 'performance appraisal'

Understanding what performance appraisal is, is an important concern yet complex and challenging. There remains a great deal of scope for discussing the various approaches to performance appraisal. This section explores definitions of performance appraisal used by companies, consultancies and academics, shedding light on similarities and differences in these definitions and drawing together common themes. As a concept that has developed over time, performance appraisal has been defined in numerous, often inconsistent ways in literature. It has been variously conceived as a systematic evaluation, as a general heading for a variety of activities including a system for managing organizational performance, a system for managing the performance of individuals and a system for integrating the two.

According to Rotter, (1990:490) a good definition of a concept especially one of a cognitive or subjective nature 'leads to common understanding which is illustrated with many behavioural examples that are stated in such a way that the operations for its measurement are clear and widely accepted as logical and reasonable'. The importance of defining terms such as performance appraisal was highlighted by Meyer (2007), who suggested that different meanings that are read into the term result in considerable variation in what is being measured, which 'produces a series of contradictory and non−replicable studies'. In recent history to present, appraisal has been seen as one of several elements of the continuous Performance Management process (Briscoe & Claus, 2008; Aguinis, 2009a). Bowen et al., (1999: 3) remarked that:

> *Although HRM practices are often guided by technical, financial, legal and strategic concerns, most employees do not have the information or expertise to evaluate practices from these perspectives. Employees evaluate HRM practices from the users' perspective that is largely driven by desires for fair and equitable treatment.*

Whilst definitions of appraisal may vary depending on the purpose it is defined for all that leads to the evaluation of programmes or personnel. Following are definitions that have emerged from the academic environment.

2.2.3.1 Academic definitions

Academic literature is replete with definitions of employee performance appraisal. According to Beach (1980) performance appraisal is the systematic evaluation of the individual with respect to his performance on the job and his potential for development. That is, performance appraisal is judgement of an employee's work, based on set criteria, to identify his/her strengths and weaknesses, so as to enhance his strengths and minimise his weaknesses. This is done for the development if the employee and for the organisation. With regards to the education sector, Goddard & Emerson (1997:11) refer to teacher appraisal as:

> *A continuous and systematic process intended to help individual teachers with their professional development and career planning, and to help ensure that the in-service training, and development*

of teachers match the complementary needs of the individual teachers and the school.

Goddard & Emerson's definition of teacher appraisal is similar to the previous one that performance appraisal is based on set criteria and it is meant to develop the teachers professionally by bridging gaps in their knowledge so that they can perform well in their line of work. From these definitions, it seems performance appraisal is about elevating the skills of employees so that they produce quality work in line with the vision of the organisation, hence, Taylor (1998:10) contends that "…appraisal involves letting people know what is required and expected of them, assessing how they are doing, reviewing this with them regularly and agreeing with them on what happens next". Addison (2002) in Meyer (2007) affirms these definitions saying, performance appraisal is a systematic set of methods, procedures and strategies for solving problems or realizing opportunities, related to the performance of people.

In educational terms, therefore the concept is used to imply a process that enriches teachers professionally so that their performance enhances learner achievement. For instance, Bollington, Hopkins & West (1990:2) assert that "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". Similarly, Monyatsi claims that teacher appraisal is a process that is systematically designed to improve the skills, knowledge and attitudes of educators through collegial interaction to enhance the twin processes of teaching and learning (Monyatsi, 2006).

To the academic world, performance appraisal is seen as a means by which teachers are nurtured according to their professional roles so that they reach their potential to perform those tasks which reflect the scope of professional practice. It is about improving teachers' skills, knowledge and attitudes so that the process of teaching and learning enhances academic achievements in schools. Hence, academic definitions acknowledge "intellectual capital" as their most valued asserts hence their performance management systems seek to maintain and enhance the value of their human assert base.

2.2.3.2 Consultancy and research institute definitions of PA

Mullins (1996:639) highlights the essence of appraisal in managerial context as:

> *A comprehensive appraisal system that can provide the basis for key managerial decisions such as those related to the allocation of duties and responsibilities, pay, delegation, level of supervision, promotion, training and development needs, and termination.*

According to Stone (2008:291) "*performance appraisal is a vital tool for strategy that provides a dynamic link to employee recruitment, selection, training and development, career planning, remuneration and benefits, safety and health, and industrial relations".* Organisations aim to have competent staff that can be instrumental in aiding them to achieve their set goals. This compels the organisations to aim at recruiting competent personnel who are cost effective in terms of induction for the post. Armstrong (1996) defines performance appraisal as a means of getting better results from individuals, teams and organizations by understanding and managing performance within an agreed framework of planned goals, standards and attributes/ competences. It can also be viewed as a structured, formal and widespread used key tool for organizations to make the most out of their human resources (Armstrong & Baron, 2005). It is a process of arriving at judgements about an individual's past or present performance against the background of his/ her work environment and about his/her future potential for the organization (Castetter, 1992; Bratton & Gold, 2007; Stone, 2008). Appraisal has been defined as 'the process of periodically reviewing one's performance against the various elements of one's job'

The philosophy underpinning this approach to appraisal has its origins in early management thinking, in which control was perceived to be one of the most important functions of management. What seems to be common with the above scholars is that they all view appraisal as a systematic, structured evaluation. Other terms commonly used are: personnel appraisal, personnel review, progress report, service rating, performance evaluation and effectiveness report.

Although the appraisal system has its origins in the industry, it has spread into public sectors. There are several key differences between these definitions of performance appraisal dependent upon their source. Consultancy/research institute definitions focus heavily on measuring “productivity” by making the most out of human resources to get this production. The definitions underline the fact that a person’s performance is under scrutiny in comparison with the roles, various tasks and activities one actually performs. The belief is that when one does these roles under close supervision they will perform in a way that will produce expected outcomes. While the consultancy and research institutions see performance as a way of achieving production for profits, the educational perspective is that appraisal enhances professional growth which translates to academic achievement in schools.

The educational perspective sees performance appraisal as a process of reviewing individuals’ past productive activity to evaluate the contribution they have made towards attaining set goals of the organization. In this regard Goddard & Emerson (1997) further contend that the cornerstone of appraisal is the belief that educators wish to improve their performance in order to enhance the education of the students. Individual performance can be enhanced through the identification of one’s strengths and weaknesses, a key purpose of appraisal.

Williams (1998) suggests that the term appraisal has evolved into a general heading for a variety of activities including a system for managing organizational performance, a system for managing the performance of individuals and a system for integrating the two. The scholars cited above assert that it is an activity that focuses on monitoring and assessing the progress that an individual has made towards the achievement of organizational goals. From the cited scholars (Stiggins & Bridgeford, 1985; Bell, 1988; Gane & Morgan, 1992; Goddard & Emerson, 1997; Whitaker, 1998) one can conclude that appraisal is a process of staff development aimed at professional development through collegial interaction in order to enhance the quality of teaching which ensures students’ achievement. In simple terms performance appraisal is a joint venture by the supervisor and each member of staff in the process of helping a teacher become as

effective as possible in the teaching/learning process and also towards achieving quality education.

In summing up this discussion, the researcher supports the notion that appraisal is an opportunity to take an overall view of work content, load and volume of what has been achieved during the reporting period in comparison to the objectives agreed. This confirms the notion by Boninelli & Meyer (2004:204) that appraisal is a snap shot of how the individual has performed in the year. The information on the individual's performance is useful in making decisions about the employee in terms of pay, promotion or reprimands or termination. The development and extension of appraisals to a large proportion of the UK workforce and the coverage of non-managerial occupations has extended the use of appraisals in private and public sectors. It then becomes important to look at the individual and organisational outcomes that can be realised through the performance appraisal system.

2.2.4 Outcomes of Performance Appraisals

Performance appraisals have become an increasingly important tool for both private and public organisations to manage and improve the performance of employees. Appraisals are also used to make more valid staffing decisions, and to enhance the effectiveness of the organisation's overall performance. There are numerous benefits of investing in improving employee performance by means of performance appraisal, and there is a fair amount of consistency in the practitioner and academic literature regarding the benefits of doing so. It is against this background that Stone (2008) sees performance appraisal as a way of generating information that may be used for administrative purpose in order to improve the quality of the service and to demonstrate accountability. Furthermore, Stone (2008) claims that it encourages personal and professional fulfilment and development of staff through training, coaching and career planning. Performance appraisals therefore must be seen as ongoing and applicable to all levels. Both individual and organisational outcomes are possible, and are discussed in details in this section.

2.2.4.1 Individual Outcomes

- Performance potential and training needs

The Advisory Conciliation and Arbitration Service (ACAS) (1998) points out that, appraisal systems contribute to the review of performance potential of employees, identifies their training and career planning needs. Hattersley, (1992) supports ACAS when she states that appraisals discover staff training needs, develops individuals and staff, and counselling. Training teachers in the identified needs enhances their capacity to deliver lessons. On the other hand, Evans & Tomlinson (1989) trace the interest in teacher appraisal to two sources: initially, a call for greater accountability and control of schools and teachers; and later, as teachers' work and responsibility evolves, appraisal becomes an essential ingredient of school development and achievement of quality education. When England and Wales introduced appraisals in 1993, the main focus was exclusively on the professional needs of teachers (Middlewood, 2001a). It provided a framework to identify teachers' strengths and weaknesses, and facilitated the identification of personal and professional development plans within the broader aim of school development (Bartlett, 2000). Developing appraisals aids assessment of the past, to improve the future and evaluate employee developmental objectives. The process of teacher appraisal should be a natural and logical consequence of developing the school and the curriculum that aims to enhance educational opportunities for the pupils and professional opportunities for the staff. In agreement with the above ideas is Holbeche (2005) who confirms that appraisal improves staff utilisation by fostering improvements in work performance and ensuring that work is assigned more efficiently. The appraisal process should enable an educator to become increasingly effective in his or her current and future role.

2.2.4.2 Organisational Outcomes

Individual outcomes have the potential to develop teachers professionally through training on identified needs. At the same time there are organisations have their own outcomes and some of these are listed below:

- Financial reward for performance

The appraisal system determines whether employees should receive an element of financial reward for their performance. PRP is normally defined as a reward for employees according to their perceived merit, rather than for the length of service, qualifications and other attributes (Wragg *et al.,* 2004; Stone, 2008) and its prime purpose is to recruit, retain and motivate the workforce. Protsik (1996) and Heneman & Gresham (1998) add that, it is the way an organization compensates its employees for their time, hard work and at the same time, communicates its desires to the employees. Whilst the concept of rewarding employees financially for their work is noble in theory, in practice, financial rewards are generally controversial and in most cases biased, because of the human factor in deciding who receives what in return for work done. Thus, there is need for foolproof and transparent methods to gauge performance and output in the education field and other governmental sectors.

- Aligning organisation strategy to employee effort

The performance appraisal system within an organization aligns the employee's efforts with the overall objective of the firm (Bell, 1988; Fandray, 2001). That is, PA aims to ensure that the outcomes of employees are in line with the vision and goals of the organisation. With regards to the education sector, it means teachers have to work in line with the goals of the school and the Ministry of Education, that is, to produce quality education. The introduction of appraisal in education thus was meant to reflect a climate characterized by concern for improved quality education, a better degree of accountability and more efficiency, particularly in terms of resources. This is because the overall objective in schools is to educate children. Hence there is need to develop an appraisal system that will reflect quality education.

In education, teachers are evaluated for many reasons, most importantly of which is to improve their effectiveness in promoting learning. Perillo (2006) asserts that performance appraisal in schools optimizes learning of a student, teacher, team, organizational, formal, informal, explicit, tacit, cognitive, and social, and any type of learning falling outside or even in between such classification. Perillo's assertion

emphasises that appraisals encourage all types of learning that takes place in educational settings. A fundamental principle in primary school is to improve education which can be looped back to employee performance appraisal and accountability.

- Employee management in organisation

There are those who see performance appraisal as making an important contribution to human management in organizations, (Stone 2008; ACAS, 1988; Perillo, 2006; Evans & Tomlinson, 1989) while others assert that the history of the appraisal system is one of confrontation and conflict, of poisoned relationships and frustrated hopes (Farnsworth,1974). Farnsworth, (1974) further laments that disagreements about appraisals are a major factor in employee turnover and they are frequently embittered by the experience. From these statements, it is obvious that performance appraisals are viewed differently by different people in organisations, mostly in relation to the positions held by individuals. Those in management are likely to see appraisals as beneficial, as they can help to align the efforts of employees to the vision of the organisation, however, employees at lower levels are bound to see appraisals as the efforts of the management to spy on them and control their work. This is more so when performance is related to pay. Levinson (1970:197) confirms this:

> *Performance appraisal, especially when result-oriented approaches are used, is inherently self-defeating in the long run because it is based on a reward-punishment psychology that serves to intensify pressure on the individual.*

Appraisals therefore are controversial when not properly managed. The pressure exerted by the reward system tends to detract development in learning, thus, there is need for transparent methods of rewarding employees for work done. This is because appraisals as shown below have many benefits to the performance of the organisation as a whole.

- Development vs. evaluative outcomes

Organisations undertake performance appraisals to inform decision making. Schuler, Dowling, Smart & Huber (1992) expand that performance appraisals facilitate decision-

making on outcomes related to such factors as employee pay, promotion, demotion, retrenchment and termination. Appraisals therefore ensure that hardworking employees are not only retained in the organisation, but also that they are rewarded for their work as an incentive to maintain their quality work and as a motivation to remain in the company. These factors are beneficial to both employees and the organisation as it ensures staff retention and employee motivation. Schuler et al (1992) also found that performance appraisal influenced developmental outcomes related to research, feedback, management and career development, human resource planning, performance improvement and communication. From this statement, it seems that appraisals on their own are beneficial to companies, the problems is with the measures and procedures used to measure performance and the criteria used to award performance.

In addition, productivity improvement is of concern to almost all organizations, and what employees do or do not do influence the productivity of the employing organization. Performance appraisals thus serve as a contract between the organization and the employee. It builds relationships and forms control and evaluation system (Schuler et al., 1992: 207). In other words, appraisals assist in:

• *Management development**,** by providing a framework for future employee development through identifying and preparing individuals for increased responsibilities.*

• *Performance measurement, by establishing the relative value of an individual's contribution to the company, and helping to evaluate individual accomplishments.*

• *Remuneration and benefits**,** helping to determine appropriate pay for performance and equitable salary and bonus incentives based on merit or results.*

• *Identification of potential in people and identifying candidates for promotion.*

• *Feedback**,** outlining what is expected from employees against their actual performance levels and the expected outcomes.*

• *Human resource planning**,** auditing and management of talent to evaluate the present supply of human resources for replacement planning.*

• *Communications, providing a format for dialogue between superior and subordinate, and improving understanding of personal goals and concerns. This can also have the effect of increasing the trust between the supervisor and the employee.*

Organisations that adopt the above strategies are likely recruit and retain well a skilled workforce that is motivated staff enough to increase their productivity. In this light, appraisals are a good thing in achieving the goals of any organisation, what is problematic then is the implementation of the programme.

2.2.5 Factors Associated With Effective Performance Appraisal Systems

Hodgetts & Kuratko (1991) identify five main characteristics of a well-designed appraisal system. Firstly, they point out that an effective appraisal is tied to the person's job and measures the individual's ability to successfully carry out the requirements of the position. Sharing the same view are Murphy & Cleveland (1991) who state that an effective appraisal provides accurate assessment of employee productivity and quality of work and can motivate the employee to higher levels of performance. This implies that a person is assessed based on how well they have carried out their duties as stipulated by their job description.

Secondly, effective appraisal is based on standards of desired performance that were explained to the personnel in advance. Noe, Hollenbeck, Gerhart & Wright (1994) suggest that appraisal should be linked to the strategies set at the beginning of the fiscal year or evaluation period so that the results, types and levels of performance that must be achieved are the company goals to be met. Every individual is made aware of the expectations and the standards set to be used as criteria for their evaluation. This implies that a person is made aware of the performance standards and the amount of work they have to do and it is against these standards that their performance will be judged.

Thirdly, effective appraisal is comprehensive, measuring all of the important aspects of the job rather than just one or two. This implies an employee is appraised in all the duties, activities and roles that one has. Choosing one or two aspects of the job may miss appraising the employee on the core business of what the job entails.

Fourthly, effective appraisal is objective, measuring task performance rather than the interpersonal relationship of the rater and the rated. This implies that the appraisal should concentrate on the stipulated items in the job description leaving out the personal dimensions such as reliability, initiative, control and judgement which are more prone to subjectivity. Although subjectivity in appraisals cannot be totally removed, it can be minimized by concentrating on the ascribed job description. Appraisals based on personal traits have little value for providing diagnostic feedback to employees or for designing training and development programs to ameliorate identified skill deficiencies (Noe et al., 1994; Squires & Adler, 1998).

Finally, effective appraisal is designed to pinpoint the strong points and shortcomings of personnel and provide a basis for explaining why these shortcomings exist and what can be done to improve on them. This implies that corrective measures should be taken to overcome the shortcomings so the appraisee does not exhibit the same weaknesses in the next appraisal cycle. These shortcomings can be corrected through in-service training (INSET) programmes. Heads could identify teachers' areas of need and work on them so as to enhance staff performance. According to Chivore (1990), these in-service courses are meant to improve the qualitative and quantitative contributions of staff to the overall goals of the school.

Similarly, Sachs (1997) concedes that a professional has to continually learn throughout their career, with the intention of deepening the knowledge, skills, and staying abreast of developmental issues. This can simply be referred to as increased professionalism, which allocates the teachers' work under a wider spectrum of educational context and systematically evaluates their work with the focus on development. This could assist the teacher and encourage him/her to be a good facilitator of learning who reflects on his/her teaching, discusses it with peers, and tries to understand it in a broader context.

From the above arguments, the researcher contends that appraisal is used as a technique to influence and control employee behaviour in order to increase productivity and effectiveness. It also serves to provide accountability for better service to the public. While accountability can provide better service to the public, it has not been popular in other sectors. For instance, a study conducted by Timperley (1998) on the way

principals rated essential requirements for an effective performance appraisal system emphasized the separation of the developmental purposes of appraisal from accountability in the issues of competence. Similarly Monyatsi et al., (2006) found that many teachers viewed the teacher appraisal system as ineffective and threatening since it is neither undertaken regularly nor carried out by competent appraisers. Without the perception of fairness, “a system that is designed to appraise, reward, motivate, and develop can actually have the opposite effect and create frustration and resentment” (Gilliland & Langdon 1998). From the studies conducted by Timperley (1998), Monyatsi et al (2006) show that teachers dislike the accountability of the appraisals which is confirmed by Gilliland & Langdon (1998) when they argue that resent the attachment of rewards to performance

2.3 PERFORMANCE APPRAISAL AND THE EDUCATION SYSTEM

The performance appraisal system has its origins in the industry where the emphasis was on the performance of employees geared towards the achievements are tangible goals (Fidler & Cooper, 1992). The philosophy underpinning the approach to appraisal has its origins in the early management thinking in which control was perceived to be crucial to management functions. In the 20th century Henri Foyol’s ambition was “to see that everything is done in accordance with the rules and instructions which have been given” (Hoy & Miskel, 2005:10).

2.3.1 A brief history of appraisal in education

The theory and practice of performance appraisal in education is not new, teachers has always been appraised. Evaluation was used for promotion purposes and to judge teachers so that principals and inspectors could have a means of controlling them (Blaauw, 2000). Performance appraisal can be traced back to accountability in the education movement. Callaghan Ruskin’s speech in 1976 in the UK may be seen as the first stage in the development of teacher appraisal when he called for the accountability of teachers concerning the curriculum (Evans & Tomlinson, 1989; Goddard & Emerson,

1997; Poster & Poster, 1997). Appraisal in education reflected an ambiance characterized by concern for improved quality, a greater degree of accountability and more efficiency (Bollington et al., 1990). The major concern was about stock of whether the resources were effectively utilized to achieve quality in education.

By the second half of the twentieth century, teachers were experiencing greater freedom in making decisions concerning the curriculum (Bell, 1988). The public image of teachers began to change throughout the 1970s. Increased concern for quality demands implied that employers were to be ready to use procedures for dismissal to those teachers who failed to maintain satisfactory standards of performance (DES, 1983). The emphasis on improving teacher performance can be traced back to Better Schools in the UK (DES,1985a) where it is argued that all teachers need help in assessing their own professional performance and in building on their strengths and working to improve their limitations (Bell, 1988). From this perspective, Suffolk LEA in the UK, (cited in Bell, 1988:14) postulates that:

> *The cornerstone of appraisal schemes is the belief that teachers wish to improve their performance in order to enhance the education of pupils. Following from this assumption that appraisal systems should have a positive orientation: that is, the purpose of appraisal should be to develop teachers professionally rather than to "get at" them.*

While the process of the appraisal of teachers in schools is as old as education itself, the nature of the process and criteria used has changed over time (Bell, 1988; Gane & Morgan, 1992). Today the trend is more inclined towards recognition of the value of individual teachers within the schools and their autonomy and self-actualising potential. Individuals have an increased desire for career progression throughout their work life (Poster & Poster, 1997). Teachers are more willing to advance themselves professionally in order to avoid redundancy when faced with the ever advancing technologies in education. McLaughlin (cited in Bollington, Hopkins, & West, 1990) has drawn the attention to the fact that teachers are more likely to improve if they are

provided with informed feedback and opportunities to communicate effectively about their work than if they are made to work through an “uneven desultory ritual” or a standard checklist.

There is a tendency to associate performance appraisal to simply a call for greater accountability and control of schools (Evans & Tomlinson, 1989), and downplay its developmental dimensions. Making accountability the main reason of appraisal of performance is a serious mistake since performance may remain static. Secondly, from the accountability perspective the appraisees tend to perceive appraisal as judgmental, threatening, top-down and not open to negotiation (Hattersley, 1992). If quality of teaching and learning in educational organisations is essential, professional growth of teachers and school leaders becomes central to managing their performance, since the ultimate motivation to improve must come from themselves (Bush & Bell, 2007). An effective PA should strike a balance between accountability and professional development.

2.3.2 Motivations for Accountability in Education

Several factors triggered the need for accountability in education. The Black Papers, the William Tyndale affair, and the economic crisis of 1973-75 have all been cited as factors which influenced the public image of teachers at that time and led to calls for increasing scrutiny of public education (Chitty, 1989; Dale, 1979). Appraisal of teachers was then seen as an integral part of the overall process of school evaluation with the intention of supporting and developing effective practices and generating programmes for action (Bell, 1988).

The White Papers, Teaching Quality (DES, 1983) in UK and Better Schools (DES, 1985a) in UK and Wales, both stressed a need to manage teacher performance to raise standards in schools (Bartlett, 2000). Some form of teacher assessment appeared integral to this process. During its introduction, performance appraisal was seen as an appropriate way to bring about a better relationship between pay, responsibilities and performance (Armstrong & Baron 1998). In other words, the purpose of appraisal was to

assess probationary teachers, to advice on appointments and promotions and to look into cases of poor performance (Bell, 1988).

In preparation for the introduction of the appraisal, recommendations were made for well planned and well directed pilot project (ACAS, 1986). Thus some schools and Local Education Authorities (LEAs) were developing their own appraisal schemes based on a professional concern for school improvement (Evans & Tomlinson, 1989). However recently, Stone (2008) found out that unions see PA and pay for performance as focusing on the individual, thus creating a competitive culture, coercing higher output and promoting management by control. The desire for accountability was the driving force towards the introduction of appraisals in the UK. The next section explores the motivation for introducing appraisals in the Southern Africa.

2.4 THE HISTORY OF APPRAISALS IN SOUTHERN AFRICA

Although the teacher appraisal systems started simultaneously in the UK and the USA, is a concept that has been adopted throughout Africa. However the study briefly looks at the South African context because of its proximity to Zimbabwe. The desire for quality education has driven South Africa to develop teacher evaluation systems based on the belief that teachers are crucial elements in the teaching and learning processes that enhance learner achievement. Critiques claim that pre-1994 educator evaluation was closed, autocratic, and hierarchical in nature and was characterised by a purely judgmental appraisal that had prevalence of political bias (Thurlow, 2001). Further allegations are that the system was tainted by unchecked powers wielded by previous inspectors, the incompetence of these inspectors and the secrecy surrounding the appraisal.

- Post-independence era

The South African Department of Education has gone through a number of phases directed at the initiatives of teacher evaluation systems and has set quality assurance of

the education system as its paramount goal. Firstly, in 1998 the department introduced a Developmental Appraisal System (DAS) whose aim was to appraise individual teachers in a transparent manner whereby a teacher evaluated him/herself and discussed the outcomes with the Development Support Group at every school. The Whole School Evaluation (WSE) that was meant to evaluate the overall effectiveness of a school was initiated in 2001. Along with WSE was the PA which was meant to evaluate individual educators for salary progression, grade progression, affirmation of appointments and payment of rewards and incentives (ELRC Collective Agreement 8, 2003: Section A).

According to De Clercq (2007), government encountered resistance from schools over the implementation of DAS. Some of the constraints that contributed to teacher resistance were grouped as operational, policy, training or attitudinal issues (Mathula, n.d.). Mathula (n.d.) further highlights policy constraints as factors such as lack of user-friendly format and language, complicated core criteria and lack of ownership and unclear roles and responsibilities. On the issue of training the cascading model was perceived as ineffective and lack of training resources inhibited the successful running of the training. DAS had so many implementation challenges such as lack of common understanding, unrealistic implementation plans, insufficient lines of accountability and lack of tangible rewards. Like DAS, WSE teachers experienced implementation challenges such as flawed consultation process, advocacy process fear of victimisation, apathy and resistance to change. The PM that followed suffered similar fate to DAS and WSE.

All three policies (DAS, WSE and PM) were faced with implementation problems because of the manner in which they were advocated to school-based teachers (Daniels, 2007:5; De Clercq, 2008). The major teachers' union also encouraged its membership to boycott the WSE supervisors and refuse them access to schools (South African Democratic Teachers Union, 2002). This compelled the government to introduce the Integrated Quality Management System (IQMS) which was gazetted as a national instrument for the evaluation of educators and schools in 2003. According to the IQMS

training manual, (2003:1) the IQMS consists of three programmes that aim at enhancing and monitoring performance programmes in the education system. In a way, introducing the IQMS was some form of reflecting collectively on the previously endorsed policies and modifying them. ELRC (2003:1) states that the IQMS is a national policy that aims to increase productivity among educators by integrating the existing programmes on quality management.

Schedule 1 of the Employment of Educators Act No. 76 of 1998 legalized the IQMS and each individual educator's performance was to be measured against the stipulated performance standards of the IQMS document. A four-point rating scale was employed to determine the level of performance for each educator. The ratings provided by the Development Support Grouping (DGS) clearly indicate areas in need of development as well as the strengths of individual educators that need to be enhanced (Khumalo, 2008). However, while the steps have been taken to legalise the IQMS a research by Bisschoff & Mathye (2009) reveals that the system also has implementation challenges. Issues such as insufficient training, lack of clear goals and subjectivity were raised. Furthermore teachers alleged that it was a paper-driven system that did not improve their competencies and was flawed in that it did not consider the contextual factors that impact on the performance of a teacher. The South African experience on the IQMS is compared with the PAS in Zimbabwe in the next section.

2.5 THE INTRODUCTION OF THE PAS IN ZIMBABWE

In Zimbabwe, the introduction of the performance appraisal system was an aspiration by the government to improve service delivery by the civil servants in general and enhance quality education in the teaching service (Masoka, 1997). Frequently, comprehensive changes, innovation improvements are introduced to remedy weaknesses. Some of the weaknesses that have been identified in organisations include lack of productivity, overlapping roles, inefficiency and many people that are considered as of "dead wood". In the case of Zimbabwe some weaknesses noted were discussed in Chapter 1 section 1.4

2.5.1 The Management Structure of the PAS in Zimbabwe

Zimbabwe adopted a hierarchical line management structure where each employee is appraised by their immediate supervisor. The hierarchical structure is whereby an organization arranges its lines of authority and communication, and allocates rights and duties. Organisational structure determines the manner and extent to which roles, power, and responsibilities are delegated, controlled, and coordinated, and how information flows between levels of management (Business dictionary, 2011). In a hierarchical organisation, higher levels entail greater authority, superiority and dominance over the lower ones and the chain of command extends straight from the top to the bottom.

In this structure, Zimbabwe also adopted a standard rating form with the dimensions and anchors written at a general level, and this single form is applicable to all jobs within the education system. While this was a cost effective move as a single form would be reproduced for national use, it did not consider the diverse duties that are carried out at each level of operation. The above-mentioned situation was also observed by Taylor (2003) who notes that many organisations use a standard rating form for all employees irrespective of their position or role they play in the organisation. He went on to argue that whilst it maybe cost effective to use the basic instrument, the appraisal loses its accuracy and relevance as the “one size fits all” concept fails to notice important performance criteria that are pertinent to a particular post and may include criteria that is irrelevant to others (Taylor, 2003). Since the validation of the form is based on all sections being complete, it means that teachers and heads are rated on some criteria that are outside their job description.

Figure 2. 2 Below shows the hierarchical line management structure of the education system in Zimbabwe.

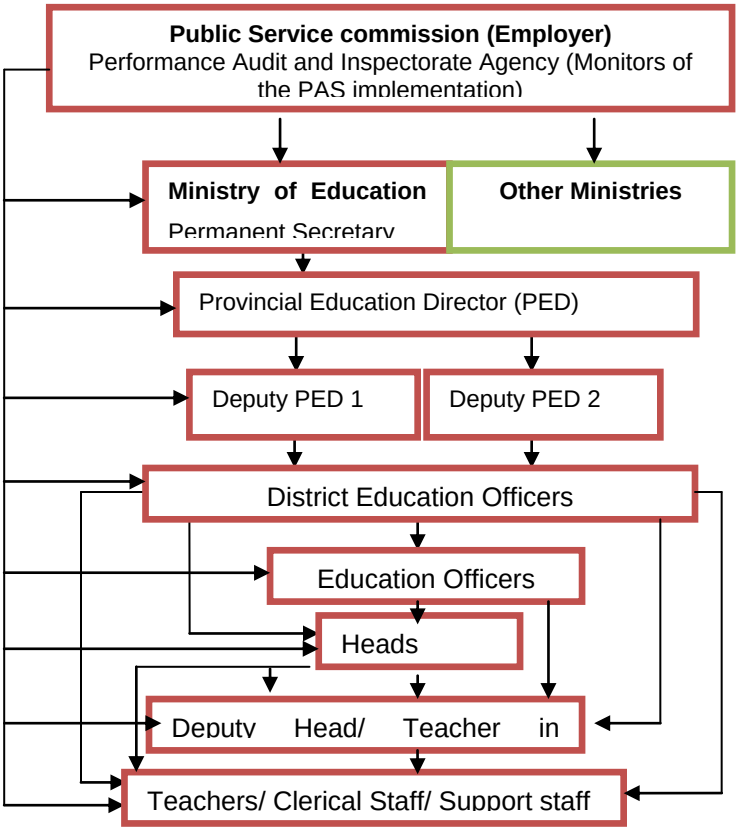

Figure 2.2: Performance appraisal and the line management approach (Module EA3AD301 1996)

The teacher is at the bottom of the ladder while the Permanent secretary is at the top. Everyone in the hierarchy has to be appraised by their immediate supervisor and rated using the same instrument and every employee expects to be remunerated according to their performance. For instance, teachers in the infant classes (grade 1-2) are supervised by the teacher-in-charge (TIC). Those teaching junior classes (Grade 3-5) are under the responsibility of the deputy head (D/H) while those in the senior classes (Grade 6-7) are supervised by the head. In addition to the Grade 6-7 teachers, the head supervised the TIC and the D/H. EOs supervise heads in their districts of jurisdiction and they in turn report to the District Education Officer (DEO). As already stated, it becomes imperative for the appraiser and appraisee to have a professional relationship that is laced with trust and confidence for the appraisal process to be a success.

The Public Service Commission has a department called the Performance Audit and Inspectorate Agency (PAIA) that monitors the implementation of the performance appraisal systems in all government ministries. As the PSIs in the PAIA monitor performance for all employees regardless of their grade, they are also subjected to the same PAS process following the same hierarchical structure. For instance, if a team of inspectors decided to visit a school they would monitor the implementation of the performance appraisal system and assess the progress and achievement of set target by the head, deputy, teacher in charge, all the teachers as well as the clerical and maintenance staff.

- Concluding thoughts on PASs in three countries

Literature has it that worldwide teacher appraisal is regarded as a response to the desire to bring a greater degree of accountability and development in pursuit for quality education. In the UK concern for quality demands and the urge to weed out teachers whose performance was deemed to be below the standard of performance was the driving force behind the introduction of teacher appraisal (DES, 1983). The paramount goal for teacher evaluation in South Africa was to raise the level of education (Middlewood 2003) while in Zimbabwe the aim was to enhance quality education in the teaching service (Masoka, 1997). It is clear that concepts such as quality accountability and development, feature in the introduction of appraisal in reviewed countries, however the difference is in the way they were introduced in schools. Having carried out pilot studies in England and Wales, LEAs developed the schemes in each school. South Africa in contrast has implemented a number of schemes which however did not yield satisfactory outcomes. Thus they combine all the schemes to come up with the IQMS while Zimbabwe adopted a ready-to implement appraisal system from Canada. Successes and challenges encountered in implementing these appraisals are yet to be discussed in Chapter 5.

Schaeffer (1994) asserts that quality education involves how people are mobilized and empowered through the provision of knowledge and skills to enable them to participate in democratic structures of the society. It can also be argued that developing leadership

skills, clarifying roles and getting stakeholders on board are all necessary for successful change interventions (UNDP, 2006). Darling-Hammond (1997) asserts that teachers who display the highest quality of work are mostly capable of helping their students to learn, have deep mastery of both their subject matter and pedagogy. The philosophy behind the introduction of appraisals in education was that teachers through the appraisals would develop skills and competencies thereby addressing the weaknesses talked about in the above paragraph. This implies that without the correct information regarding the appraisee's weaknesses, the appraiser may not be able to help the appraisee make an improvement and the exercise is deemed be just window dressing. In conducting appraisals there are a number of strategies such as the hierarchical approach, self appraisal peer appraisal and external appraisal from which an organisation can choose one that is suitable for them. These strategies are discussed below.

2.5.1.1 Strategies of Teacher Appraisals

- Hierarchical approach to teacher appraisal

The hierarchical approach to appraising teachers is also known as the superior subordinate method. The approach is characterised by authoritative power with bureaucracy that is highly centralized. Juniors are not expected to challenge authority openly or to participate in decision making but to take orders (Munene, Schwartz & Smith, 2000). Performance appraisal is a process that is expected to be participatory in nature especially in goal setting, conducting interviews and reviews and coming up with final judgements. Wragg *et al*. (1996) also specify that the most logical structure for appraisal in strictly hierarchical organizations is for each person in the school to be appraised by the person holding the rank immediately above. This means that in schools teachers are appraised by heads, deputies or heads of departments. In turn the middle managers are appraised by the head. Those who value hierarchies tend to expect juniors to express deep loyalty, and this tendency has serious implications for the performance appraisal system (Karyeija, n. d.). Proponents of the hierarchical approach insist that this is logical in an organisation, as those who are in senior

positions have full mandated responsibility for those lower down. Furthermore it is said that senior people then as part of their duties ensure follow-up and support after the appraisal is over. The argument therefore is that since performance appraisal is an integral part of the managerial role, it should be undertaken by the person with immediate management accountability (Towers, 1996). As already alluded to, Zimbabwe adopted this approach as its appraisal system.

Performance appraisal works on the principle that the appraiser and appraisee can engage each other in conversation without fear, as peers. However, the implementation of appraisal in a hierarchical environment characterized by large power distance may not succeed well. This is because hierarchy that emphasises power relations is characterized by wide salary ranges/disparities and civil servants who cherish status symbols (Hofstede 1997). In addition, the expectation that only the supervisor passes final judgements and commands due to the large power distance culture becomes its main weakness (Kirkbride & Westwood 1993). The approach also compromises the school's developmental systems which can be employed through a peer appraisal approach (Cardno, 1999). However, even though the hierarchical approach has many limitations, it also has some strengths one of them being that it enforces accountability amongst employees in an organisation. Zimbabwe's appraisal system is based on this strength which enforces accountability and through the Statutory Instrument it made sure that those who would defy accountability could be charged of insubordination.

The traditional hierarchical performance appraisal system is not viewed as effective and does not favour the current work environment (Waldman & Atwater, 1998). This is because the traditional performance evaluation system provides feedback only from the employee's supervisor, while it may be beneficial to include feedback from peers, subordinates, and customers as in 360-degrees appraisal system (Milliman, Zawacki, Norman, Powell, & Kirksey, 1994; Tornow, 1993). The cited authors bring in an important aspect of appraisal that comes from different people that can be of assistance. People tend to value feedback from peers as it poses no threats that warrant reprimand but could improve their performance. Each of these sources provides

relevant, and slightly different, information that is valuable to the employee (Borman, 1991; Hazucha, Hezlett, & Schneider, 1993). It can be argued that this system poses a threat to the effectiveness of an appraisal system. Besides the hierarchical approach to appraisal there is self appraisal that is discussed below.

- Self appraisal

Pollard & Tan cited in Smith (1995) use the phrase 'reflective teaching' in an attempt to define what they mean by self-appraisal. Self-appraisal is a stage in the appraisal process whereby the employee initiates the appraisal through the completion of a self-assessment document which is passed by the appraiser. In this stage the teacher identifies his/her strengths, weaknesses, opportunities and threats (SWOT analysis) in line with his/her work. Under opportunities, the teacher identifies the kind of training he/she needs in order to improve his/her skills, which makes the process developmental. Smith (1995:589) adds that:

> *A teacher who is effective in recognizing his or her own strengths and weaknesses and hopefully changing those weaknesses into strengths has several well-developed characteristics. This might include the ability to continuously monitor, evaluate and revise their own practice; approaching their job with an open mind; basing their judgement as teachers on insights gained from many educational disciplines and enhancing the fulfilment they get by collaboration and dialogue with colleagues.*

Reflective teaching is when the teacher is able to scrutinise his/ her work and be able to identify and acknowledge their shortcomings. Self-appraisal therefore provides a means of improving one's performance and can serve as a guide for setting goals and standards (Squelch & Lemmer, 1994). It also gives teachers an opportunity to think, reflect and state the problems and constraints that impinge on their effective functioning. Teachers also have the ability to identify remedial measures that lead to improving on-the-job performance at the same time predicting main targets and strategizing on career advancements (Wilson, 1993). In self appraisal the teacher is in control of his / her development as they can tell their weak points. This makes the teacher to be

forthcoming with suggestion for development as he/she knows the extent of their need to develop. It is against this background that Shore, Adams & Tashchian, (1998) argue that self appraisal can reduce an employee's defensiveness during an appraisal meeting, increasing the employee's satisfaction with the performance management system, as well as enhance perceptions of accuracy and fairness and therefore acceptance of the system.

Teachers who are not defensive usually assist in conducting contractive appraisal. Whilst self appraisal is beneficial to teachers' development, Montgomery & Hatfield (1989) reveal that self-appraisal does not always lead to improvement in personal performance as weakest teachers overestimate their skills and personal performance, and appear to be 'process blind', whereas the best teachers see themselves as poor performers and underrate or undervalue themselves. This is probably common in large schools where competition is high yet the there is collegial relationship. High performers tend to bring their achievement to the level of the "friends" who may not be going very well. Generally there is a tendency for most teachers to overstate the quality of their own performance relative to others (Wilson, 1993). This leads the researcher to look into peer appraisal.

- Peer appraisal

Peer appraisal occurs when two people of equal rank, such as two basic scale teachers appraise each other (Wragg *et al.,* 1996). That is, peer appraisal is whereby a teacher-colleague observes another teacher during the teaching process to help identify the observed teacher's strengths and weaknesses. Generally, peer appraisal is developmental in approach as it helps the concerned teacher to see his/her practice through the eyes of another teacher. While peer appraisal can be demanding it can be argued that peer observation can effect change if the peer is credible with the recipient, and that collegial appraisal need not be synonymous with "lack of bite" (Bell. 1988). What Wragg et al bring out is that in peer appraisal people should be at par in terms of rank and carry out the appraisal in a collegial spirit. Costa & Kallick (1993) are of the opinion that in order for peer appraisal to work, one has to nominate a critical friend. In

the same vein Simons & Elliot, (1990) argue that appraisal by others is often contrasted with self-appraisal. The contrast between the two is that self-appraisal is a private activity conducted in solitude and isolation from other people while peer-appraisal is done in teams or in pairs.

Peer appraisal in practice has received mixed reviews as some teachers often feel intimidated by the presence of colleagues in their classrooms. Wragg *et al*. (1996) believe that co-equal pairs will simply confirm each others' practices, and engage in mutual congratulations. This is a weakness of peer appraisal that was also noted by Towers (1992). In a more elaborate way Towers (1992:260) highlights the negative factors of peer appraisal:

- *Possible distortion due to popularity factors influencing peers;*
- *Friendship rating;*
- *Distortions due to retaliations;*
- *Reliance of peers on stereotypes in making evaluations.*

It can be argued that self-appraisal or reflective self-monitoring is a central feature of the process of personal development and may not easily articulate with broader appraisal processes. In the researcher's view this type of appraisal works in a school with open climate and where teamwork is encouraged. Another strategy of appraisal is external appraisal and this is performed by people outside the organisation.

- External appraisal

With regards to the education sector, an external appraisal is an evaluation that is usually performed by senior members in the education field who are from outside the organisation. Generally, an individual who does not belong to the school may be appointed to come and appraise staff. The important thing is that the person should be well vest with the business of the organisation. External appraisals offer feedback in the form of opinions and judgements that come from the external environment. External appraisal can work as peer-appraisal where professionalism is strengthened as

teachers and heads share ideas, experiences and help each other to overcome challenges (Wilson, 1993). The Better Schools Programme in Zimbabwe (BSPZ) is one programme that encouraged external appraisals as schools worked together in clusters, giving district tests in selected grades and having district awards. The philosophy in BSPZ is that because teacher colleagues are familiar with school goals values and problems, they are able to provide precise feedback to each other. However when there is need to appoint people from outside the district, schools in a district should meet to form a consortium with staff members where as a team they can reach a consensus on the outsider they will nominate. This type of appraisal is usually used in districts where schools work together in the development of school programmes.

Turner & Cliff (1988) assert that involving persons outside the school in the appraisal of teachers is a controversial issue as the outsiders' involvement would tend to stress accountability as an aspect of appraisal, and also believe that lack of knowledge on the part of the person doing the appraising may be a problem. Critics of the approach feel that outsiders who do not understand the nuance of school and classroom life can make little impact, as they have no roots in the school, may simply become bureaucrats, and just fulfil an obligation (Bell, 1988; Bollington et al., 1990).

What Bell (1988) and Bollington et al (1990) are suggesting is that the outsider should be well vest with the business of the organisation. For instance an engineer can not be called to assess teachers but a secondary school teacher can assess primary school teachers. The main disadvantage of external appraisal is that some members of the group may show little enthusiasm in participating hence leave the tasks to others. Another factor that compromises external appraisal is that when some members in the team have doubts about their own training and abilities, they may fail to participate in external appraisal effectively (Wilson, 1993). The factor that Wilson (1993) is bringing out is when newly trained teachers are grouped with experienced hence they may feel inadequate in the appraisal exercise. The strategies of appraisal may have to be used within a model some of which are discussed below.

2.5.2 Models of Employee Performance Appraisals

This section explores employee performance appraisal as modelled by different scholars. This is done in order to determine what the key drivers of performance appraisal are, and the extent to which employees are involved in the process. There is no one size fits all approach to appraisal. Each of these has a different starting point and, presumably expecting different outcomes from the appraisal process (Bennett, 1992). Supporting Bennett is Keitseng (1999) who points out that basically there are two models of appraisal, namely:

- the accountability model; and
- the professional development model.

Although studies on the appraisal process predominantly identify the two models and show the distinction of the two routes (Poster & Poster, 1997; Goddard & Emerson, 1997) the research also looks at the managerial and collegial models that are regarded as the emergent trends of appraising. The rationale for looking at the emergent trends is to search for similarities in order to exploit the advantages or strengths and to see the possibility of neutralizing the biases and weaknesses of the selected models. Following is a discussion on the accountability model.

2.5.2.1 Accountability Model

The quest for quality education has called for schools, just like other public institutions to be more accountable to the public (Osborne in Davies *et al*., 1990; Poster & Poster, 1997). This model emphasizes that teachers and schools should account for how they effectively and efficiently make use of resources that are made available to them. In this model teachers are made accountable for their actions in terms of the teaching responsibility they have. Bratton & Gold (2007) posit that traditionally, performance measurement has been based on accountancy models, with embedded assumptions relating to turnover, cost and especially profit as the bottom line. They continue to suggest that in the public sector it has increasingly been seen as a way to ensure administrative accountability, the meeting of standards and the provision of value-added

service. In other words by provision of value-added service schools are called upon to ensure economic use of resources to the advantage of learning activities.

What Bratton & Gold (2007) bring to light is that when standards are set teachers are made accountable for their actions and the achievement of the set standards. Organisations that emphasise accountability tend to link their appraisal schemes to performance related pay. Teachers then can only be rewarded when they prove that their performance has reached acceptable standard as set by authorities.

However, Wragg *et al*. (1996:6) do not share the same sentiments. They suggest that: “Teachers feel most accountable at a local level, to their pupils, fellow teachers and children's parents. To wider constituents, such as governor committees and local authorities, accountability may be seen as more remote and thus more legal and formal in nature”. This means that accountability entails reprimands if one does not meet the set standard. In the same vein Burgess (1993:7) emphasises that: “Heads have all the accountability of teachers, and more. It is through them that accountability of schools is expressed, while, managerially the head answers to the governors, local authority and parents”. While it is noted that the concern for quality puts an emphasis on accountability in terms of utilization of resources, literature is silent about the situations of accountability where the resources are limited or are not provided at all. The accountability model emphasises the achievement of activities more that how people have to work towards the achievement of those activities. The other side of accountability is the desire to develop manpower through the developmental model.

2.5.2.2 The Developmental Model

The developmental approach tends to identify the needs of teachers and allocate resources in order to address those needs. Development is associated with the change of behaviour that is meant to make an individual improve performance. Craft (1996) suggests that the developmental approach to appraisal could be traced back to the James Report which explored the nature of and the need for teacher development. Day, Calderhead & Denicolo (1993:88) define staff development as:

> *…a process designed to foster personal and professional growth of individuals within a respectful, supportive, positive organizational climate, having as its ultimate aim to better the learning for students and continuous self-renewal for educators and schools.*

The developmental model is more associated with developing teachers so that learning in schools is enhanced. According to Sparks & Loucks-Horsely (1989) staff development is defined as those processes that improve the job-related knowledge, skills or attitudes of school employees. They further identify five models of staff development and list them as:

(a) individually-guided staff development which refers to a process through which teachers plan for and pursue activities they believe will promote their own learning.

(b) Observation/assessment which provides teachers with objective data and feedback regarding their classroom performance. This process may in itself produce growth or it can provide information that may be used to select areas for growth;

(c) Involvement in a development/improvement process, engages teachers in developing curriculum, designing programs, or engaging in a school improvement process to solve general or particular problems;

(d) Training model, involves teachers in acquiring knowledge or skills through appropriate individual of group instruction; and

(e) Inquiry model requires that teachers identify an area of instructional interest, collect data, and make changes in their instruction based on an interpretation of those data.

There is a general belief that staff development improves student learning through enhanced teacher performance. This is further evidenced in Bollington *et al*.,'s (1990) claim that appraisal can be seen as a culmination of a series of moves that are designed to improve the professional development of teachers and to identify more precisely their in-service training needs. In the same vein Whitaker (1998) asserts that in a learning school, the professional development of staff assumes equal importance to that of the learning of students. But further argues that not much attention has been

given to the process of the learning of teachers. Whitaker (1998) brings in a factor that is mostly overlooked where the teacher can also be considered to be a learner. It is through the developmental approach to staff appraisal that the needs of teachers can be identified. However for staff development to be effective, individuals should be seen to be pro-active in the design of in-service programmes

Goddard & Emerson (1997) insist that the compatibility of the two models depends on the attitudes which teachers are likely to adopt in undergoing appraisal. In the professional development model, appraisal is a genuine two-way process between the appraiser and the appraisee. This model takes place in an atmosphere of trust and confidentiality. One who is helped has to have trust in the helper while at the same time weaknesses identified should not cause one to be ridiculed. For the professional development to succeed, it requires openness, honesty, a self-critical disposition, willingness to comment frankly on their perceptions of their own strengths and weaknesses and those of the management, openness to constructive criticism and to pointers to self-improvement.

However, the accountability model fosters defensiveness, whereby teachers tend to defend their own positions hiding their weaknesses, blaming managers and others for deficiencies in their performance. When teachers have to set targets, they expect to benefit more than the school especially where targets attract rewards. Accountability means that teachers are responsible for their actions with the main stakeholders who are the child. In commenting on their own performance, teachers will tend to inflate their actual achievement which is being irresponsible and can be equated to cheating. The accountability model encourages teachers to be self-centred and to believe that they are not at fault but blame others for their weaknesses.

These two models tend not to be compatible because their perceptions differ, in the sense that the development model takes place in an atmosphere of trust between the appraiser and the appraisee. The appraisee can reflect back on his or her own performance after being critiqued by the appraiser. Turner & Cliff (1988) argued that

there is a belief that appraisal systems should be based on the developmental rather than the accountability model, and would be concerned with the improvements of practice by identifying strengths, weaknesses, needs and interests. Unlike the accountability model which emphasizes that teachers need to be accountable to how they efficiently and effectively make use of resources, the developmental model goes a step further by identifying the needs of teachers and then allocates resources according those needs. However, Bennett (1992:7) takes an uncompromising view of the integration of the two models by succinctly arguing that:

> *…appraisal schemes fail where they attempt to fulfil more than one purpose; appraisal can be used to assess performance in order to reward or dismiss; appraisal can be used to support, develop staff and improve the quality of performance in this way, but it cannot be used to do both at the same time.*

Bennett's view has merit in that combining the two different purposes of appraisals (development and evaluation) can create confusion and controversy amongst the employees who see the process as one of punishment and nurturing at the same time. This is turn create resentment towards the programme and its benefits are diminished. The reward system therefore tends to cloud the developmental aspect of appraisal as teachers tend to focus on those activities that are likely to bring money to them. The shortcomings of the accountability and developmental compelled the introduction of the managerial model. The managerial model is more aligned with the appraisal system as it recognises seniority. The managerial model is dwelt with in the next section.

2.5.2.3 The Managerial Model

The managerial model tends to take a midpoint stance where good performers are well rewarded and at the same time nurturing the weak performers through well orchestrated developmental programmes that aim to enhance performance. The managerial model is people oriented and at the same time ensuring that production is achieved. Simons & Elliot (1990) assert that according to the managerial model, the appraisal of teachers is to be conducted by the management team in the school (Senior and middle

management). In other words, appraisals are carried out by the head, deputy head and heads of subject. This approach is advantages because the management and the teachers already have an established rapport that makes it easier to relate during the appraisals. In addition, the appraisals are carried out in relation to the expectations and the culture of the school. Poster & Poster (1997) state that, every school has a particular culture, determined by the individual values and experience which each person brings to it, the way in which people act and interact and the footprints they leave behind them. They further argue that each individual comes into the organization with a unique set of needs and objectives; the responsibility of the organizations is to harness the unique talents of individuals and coordinate their activities towards the achievement, by effective and efficient means, of organizational objectives (Poster & Poster 1997). It is easier to develop the needs of individual teachers if you know them, and this is applicable in the case of managers carrying out appraisal of their staff.

Fidler & Cooper (1992), explain further the advantages of this model are that the managerial model addresses the tensions which inevitably existed between the accountability and the developmental model; and between the needs of the organization and those of individuals. This means that if a management team conducts the appraisal there in minimum subjectivity. Fidler & Cooper (1992:44) further advance that:

> *The evaluative aspect of the manager's job is to identify those that are performing well, acknowledge and reward their efforts both financially and with praise, and to help maintain and further develop a continuing high standard. Equally, it is a part of the manager's job to identify those who are not performing well, and to provide them with opportunities through which their performance might be improved.*

This implies that for an appraisal to be beneficial to both the school and the individual there must be an effective management of the appraisal. The above scholars concur that the evaluative aspect of the manager's job is to identify those who are performing well, acknowledge and reward their efforts; identify those who are not performing well, and to provide them opportunities through which their performance might be improved.

Its strength appears to be the role it can play in harmonizing individual and organizational needs.

2.5.2.4 The Collegial Model

An alternative model for conducting appraisals is the collegial system where colleagues in an institution (from different status positions) meet to examine their own practices (Simons & Elliot, 1990). Lashway (1997) calls it the transformational technique which focuses on shared vision, professional satisfaction, modelling of appropriate behaviour and organisational vitality. Lashway, Simon & Elliot bring out the notion that colleagues have to work together whereby teachers can discuss openly their problems and jointly find solutions. The collegial model is more like a mentorship programme whereby experienced teachers work hand-in-hand with inexperienced teachers in promoting team work. Similarly Lashway (1997) suggests that the model is characterised by the need to have all members in the organisation to progress, develop, and experience satisfaction and unity. This kind of transformation calls for leaders with participative techniques such as organisational adaptability, performance improvement and problem solution. These facilitation strategies focus on shared partnership among stakeholders (Lashway, 1995a). The collegial model and the developmental model are similar because both focus on the needs of the individual. These models are ideal to adopt in performance appraisal that aims to develop teachers. The collaborative kind of relationship in a school reduced poor performance.

An analysis of these models reveals that there are similarities in the accountability and managerial models; both are top-down where there is compliance in carrying out the appraisal. While the accountability model stresses effective and efficient use of resources, the managerial model addresses the tension between the appraiser and appraisee. Similarly the developmental and the collegial models promote personal and professional growth. While the identification of needs is done by the supervisor in the developmental model, needs are identified through teamwork and mentorship by peers in the collegial model. The development of the above models is a way of improving

teacher competencies. The philosophy behind the appraisal system is that it also improves teacher competencies hence the discussion that follows looks at literature on appraisals and teacher competency.

2.5.3 Performance Appraisal and Teacher competency

Performance appraisal or evaluation of teachers is increasingly viewed as a critical process in schools for raising the competency of teachers and thereby improving the quality of education (Stiggins & Bridgeford, 1985; Wright, Horn & Sanders, 1997). The desire is to have a well-educated workforce so as to achieve economic prosperity within the competitiveness of industrialised nations (Bush & Bell, 2002). Pressure mounted in many nations to accurately assess the performance of teachers and heads so that economic prosperity could manifest itself in learners' academic achievement.

Performance appraisal in education provides a strategic link by auditing individual competences, identifying strengths and weaknesses, in order to facilitate the professional development of an educator. It is important that schools know if their human resource are able to satisfy the needs of the organisation's present and future educational strategies (Stone, 2008). Establishment of strengths and weaknesses leads to the identification of training needs which is one of the key elements of the appraisal process. The appraisal process has the potential to be a powerful aid for professional development (Whitaker, 1998). In the professional conception, the appraisal process treats teachers differently according to their teaching assignments, stages of development and classroom goals. Professional evaluation then becomes clinical and practice-oriented so that appropriate strategies and decisions about staff development and training are made.

Whole school approaches of effectiveness have evolved which facilitated the professional extension of teachers who became self-critical, self-developing, and optimistic for change. The argument is that teachers are far more likely to improve their performance when they are critical of themselves and have desire to develop so that

they have a positive attitude towards classroom practice. Some schools and LEAs in Britain developed their own appraisal schemes based on a professional concern for school improvement. Teachers whose performance was not of acceptable standard were to be dismissed (Bartlett, 2000). This strategy was meant to ensure teachers who wanted to survive in the profession had to improve their performance. However, important as it is to use appraisals to determine teacher competencies, the implementation of appraisals is often infested with challenges.

2.5.4 Challenges in the Implementation of Teacher Appraisal

In reviewing literature one comes across some challenges that have been identified such as conceptual challenges, negative perceptions and measurement issues.

- Conceptual challenges

In a study on the implementation of appraisal systems in New Zealand schools, reports by the Ministry of Education (1997) points out there was no clear consensus on the purpose of appraisal. However, some writers, for example Cardno & Piggott-Irvine (1997), attempted to clarify the purposes of, and desirable practices in, teacher appraisal in the country. They highlighted that due to the demand for developmental and accountability aspects being tied to appraisals, they contributed to its being poorly understood by education personnel. Heads found it uncomfortable and problematic making judgements on fellow employees (Rudman, 2002).

In the light of the above, Danielson & McGreal (2000) and Stiggins & Bridgeford (1985) observe that teaching is a multi-dimensional task comprising many intangible aspects. Similarly Ramsden (1979) found that the quality of teaching is also situational and relative. This means that the teachers' work depends on the calibre of children and conditions in which they work. Hoy & Miskel (2005) in addition observe that the driving forces behind educational accountability are straightforward but its practice is highly technical, legalistic and political. In the same vein OECD (2001b:48) expresses that education has moved up the political agenda and is seen as the key to unlocking not

just social but also economic problems. Because education is viewed as pivotal to economic development it puts the teacher's work under the spotlight of politicians. This seems to complicate the appraisal process as it also overshadows the developmental aspect.

Although numerous studies on appraisals in the USA in the 1950 attempted to identify the ideal teacher stereotype, Barr (1961) concluded that it was extremely difficult to come up with ideal teachers in any given school. He exposed problems associated with preferences and favouritism by administrators and pupils which led to different practitioners observing the same teacher and arriving at different evaluations (Barr, 1961, cited in Wragg, 1987).

- Negative perceptions about appraisal

As early as 1957, McGregor and Levinson in 1970 reported findings of manager's reservation about performance appraisal, arguing that they perceive appraisal as a hostile, aggressive act which unconsciously hurts or destroys employees. These managers probably expressed these sentiments as the felt uncomfortable judging their colleagues. Later on, Lawler (1995) highlighted the problem that many PASs do not motivate individuals or guide their development effectively. This was created by the accountability attached to most appraisals. Recently, studies conducted revealed that Chinese line managers expressed considerable frustration at not being sufficiently involved in the design, implementation and evaluation of the PAS in their organisation (De Cieri et al., 2003). Furthermore, managers felt PAs did not add value or help them achieve organisational goals, business and the standards used to evaluate performance were inadequate. Similarly, Newton and Findlay concludes that appraisal schemes rarely work as their formal procedures suggest because in practice they are predominantly concerned with surveillance, accountability and control.

- Measurement issues

Literature on teacher appraisals show that it can be a very complex process as it involves a number of factors that can either impede or support educator effectiveness (Malongwa, 1995). For instance, Thompson (2001) argues that it is difficult to quantify complex social services like education, emphasising that the activities of a teacher which are close to the actual learning of a child are those which cannot measure in quantifiable terms. The teacher appraisal process is problematic and has been criticised as ineffective for improving the instructional quality of teachers due to problems embedded in the systems (Danielson & McGreal, 2000; Frase & Streshly, 1994; Lavely et al., 1992). Teachers allege that the direct use of student test score data to evaluate teachers does not help inform judgments about their performance. Darling-Hammond (2010) found that in many cases these tests evaluate teacher knowledge before they enter or complete teacher education, and hence are an inadequate tool for teacher education accountability. Besides teacher tests, there is increasing interest in measuring teachers' contributions by directly examining student achievement gains, and there are a number of efforts underway to create systems that incorporate value-added methods for examining student learning gains into teacher evaluation (Darling-Hammond (2010:6).

2.5.5 General Thoughts

- Organisational contexts do matter in appraisal implementation

There are some misconceptions associated with appraisals in education as compared to those in commerce, industry and other public sectors (Monyatsi, 2009). Consequently, appraisal schemes have met with a lot of resistance from educators. While performance in commerce and industry can be measured in tangible result, it is difficult to measure results in the education sector. Brutus, Fleenor & London (1998) examined 360-degree feedback ratings between six types of organizations: manufacturing, finance, education, health, related government, and military. They found that 360-degree feedback was acceptable for businesses, but it could not work in schools (or some other type of organization) because subordinates are not usually honest, peers are too competitive and managers are too lenient.

Greenberg & Baron, (2000) posit that the main reason why educators resisted appraisal schemes borrowed from industry was failure to recognize the need for change. Furthermore, it has been noted that unless teachers understand and appreciate the need for change in their schools, their interest in maintaining the status quo will undoubtedly take precedence over their willingness to accept change (Greenberg & Baron, 2000). Fear of the unknown, security from doing things in familiar ways and schools' previously unsuccessful efforts at change could leave teachers extremely wary about accepting further attempts, are some of the reasons that contribute to teachers resisting the appraisals (Fullan, 2001; Greenberg & Baron, 2000).

- The situation in the educational context

Wilcox 1986 cited in Bell (1988) points out that teacher appraisal is based on the observation of performance which appears to distinguish it from appraisal systems that operate in the industry, commence and other public services. While these typically consist of structured interview, reviewing past progress and agreeing to future targets, they rarely include pre-arranged and systematic observation of people's day-to-day performance (Bell, 1988). Literature pertaining to industrial and business settings may have a limited application when transposed to educational environments. For example, how can a teacher's "productivity" be measured?

Measuring teachers' productivity can be difficult in that, achievement of pupils is assessed at the end of a course. The appraisal and evaluation of teacher performance must be viewed in terms of its unique context, not merely in terms of process and product. While it could be claimed that the extent to which pupils learn is the definitive gauge of the teacher's effectiveness, teachers also argue that there are variables other than the teacher that encroach upon the learning process (Pratt & Stenning, 1989). Challenges in teacher appraisal appear to preclude the transposition of performance evaluation processes from industrial settings to educational institutions, and to necessitate the consideration of teacher appraisal as a unique issue. The literature concerning the performance appraisal of teachers is agreed in its insistence on the

necessity of such processes; however, it is not explicitly clear on its day-to-day application to education.

Staff performance appraisal can be made considerably more effective if their purposes are clear. If an appraisal does not have a clear purpose, it is just a meaningless exercise, comments Stronge in Mo, Corners & McCormick (1998). When people are not aware of the route to follow or what the appraisal entails, it becomes difficult for them to implement the appraisal. In support of this notion is Taylor (1998:10) who posits that "... appraisal involves letting people know what is required and expected of them, assessing how they are doing, reviewing this with them regularly and agreeing with them what happens next". An appraisal system that has clear purposes ensures that it focuses on those aspects of job performance identified as important to the achievement of the organisation's objectives (Mahoney, 1990).

Before establishing the strengths and weaknesses of appraisal systems, it is very essential to understand why performance appraisals are conducted in the first place. The basic aim of all performance appraisals is to judge, whether the employee has skills and qualities required to do his job effectively. This evaluation is done by superiors on the basis of pre-decided criteria, and if gaps are found in the employee's performance and these set standards, the superiors in the organization then know which employee in the organisation requires training.

2.6 TEACHER APPRAISAL AND QUALITY EDUCATION

One of the main reasons for introducing any policy or initiative in teaching is to exert a positive influence on classroom practice and then hopefully make a concomitant impact on pupil achievement. Quality in education can be realised through an appraisal system that is based on the improvement of individual performance, which in turn leads to improved working relationships and development of the individual's career (Everard & Morris, 1996).

Essentially, teacher appraisal is about providing systematic opportunities for teachers to learn from their practice in order to improve learning for pupils (Bell, 1988). Hence, there is a strong belief that teacher quality affects educational quality as much as curricula and that the performance appraisal system plays a key role in improving teacher quality (Darling-Hammond, 1997). In the light of this, it becomes essential therefore that people are mobilized and empowered through the provision of knowledge and skills to enable them to participate in democratic structures that improve pupil achievement (Everard & Morris, 1996; Bell, 1988; Darling-Hammond, 1997; Schaeffer, 1994).

2.6.1 School-Head Appraisal of Teachers and Quality Education

Across the world, research findings indicate that head teachers are regarded as one of the most powerful single determinants of the overall quality and effectiveness of schools (Daresh, 1998: 332). While school heads may focus on the administrative parts of their role (Kogoe, 1986), there is strong evidence that they play an important part in ensuring instructional quality (Togneri, 2003:14). In the absence of other inspection and supervision structures, the responsibility for guiding and supporting new and often poorly trained teachers usually falls to the school head (de Grauwe, 2001: 226). Assisting teachers to develop the quality of their teaching is a difficult and lengthy process, particularly where the teachers have low levels of education (Condy, 1998: 20). With the growing importance of school-based in-service programs, it is important that the supervision be focused on providing guidance, improving performance, and enhancing professionalism and morale, rather than simply on criticism of teachers (Craig, 1999:5). As such, this calls for the school leadership that is well trained in performance appraisal if they have to implement it to the advantage of the teachers and pupils.

The fact that the quality of the headteacher's leadership is the most important determinant of success of a school is universally acknowledged, and supported by a considerable body of research evidence from a variety of sources (Leithwood, Jantzi &

Steinbach, 2002; Mortimore et al., 1988; Rutter, Maughan, Mortimore & Ouston, 1979). The importance of the school leader therefore is continuing to expand as schools are increasingly expected to deal with a range of social and economic issues. Brandt (1995) reiterates that the head serves as a partner, guiding the teacher toward continuous development and improvement. The headteacher thus is viewed as a crucial factor in a school's overall performance and their influence is very considerable. Basically, appraising a head is in many respects the same activity as appraising any teacher. The appraisal of the Head is the responsibility of the Education Officer who is the direct line supervisor.

The emphasis in educational policy is on raising standards, producing a well equipped labour force and also, in response to concerns over a deterioration in society's values and norms, on developing citizenship (Department for Education and Employment, 1998). This was underpinned by five key themes (i.e., quality, diversity, choice, autonomy and accountability) that would, (Department for Education, 1992), act together to increase competition so as to improve standards. The pressure on headteachers to manage these externally mandated changes increased and they are held accountable for any success or failure of their schools. According to Ovando (2001:213):

> *The current accountability demands represent a challenge for schools that aim to achieve academic success for all students through a comprehensive teacher appraisal system. Therefore, teacher appraisal requires immediate attention from school leaders.*

Similarly, others affirm that it is time to rethink teacher supervision and appraisal (Marshall, 2005) so that teacher performance appraisal is truly linked to student achievement. Appraisal of the Head cannot take place in isolation from teachers and the school environment since the head is ultimately responsible for all the aspects of the school. Since the introduction of appraisals there has been noted tension between the head's management and administrative role and, their professional role and, in particular, their role as curriculum leaders (Webb & Vulliamy, 1996). Heads now spend more time on the overview of the curriculum and less on classroom responsibilities and direct teaching. They also spend more time developing and monitoring the teaching

others rather than teaching themselves. Supervising and appraising teachers is viewed as their core-business from which they are appraised.

Turner & Clift (1988) identified a problem with appraisals that called upon the head to account for aspects of the school life which are delegated to colleagues. They argue that although in theory a Head is accountable for all aspects of the school, any realistic appraisal of a Head's work needs to take into account the shortcomings of his/her colleagues. In the same line of thinking was Giola & Longenecker (1994) who observe that a number of studies suggest that managers regularly find the formal appraisal process to be frustrating, political and a less than meaningful experience, which does not bode well for management development.

2.6.2 Issues in School-Head Appraisal of Teachers

- Appraiser and appraisee relationship

It is important that teachers (and heads) trust and have a good relationship with their appraisers so that they view the appraisal process as constructive and regard feedback positively (Duke & Stiggins, 1990; Stiggins & Bridgeford, 1985). Subordinates who are critical of appraisers are often concerned that their appraisers do not possess the necessary skills to conduct effective evaluations, lack sufficient opportunities to observe and evaluate their performance in the classroom, and are biased. Trust thus is always the basis of sound manager/subordinate relationships in which moral and ethical issues are always present in the assessment of one person by another (Longenecker & Ludwig, 1995:68). A well designed appraisal system on its own may not generate effective, accurate, ethical performance ratings. As such, the appraiser must be viewed as competent, capable of evaluating teachers, and unbiased for the evaluation outcomes to be perceived as reliable and useful for providing feedback to improve teacher performance (Duke & Stiggins, 1990; Natriello, 1990; McNamara, 1995).

In literature, authors stress the importance of mutual understanding and trust between the appraiser and appraisee. An essential feature of effectiveness in appraisal is the presence of an educative process that involves developing interpersonal relationships based on trust, openness, shared control and reduced defensiveness between the appraiser and appraisee (Piggott-Irvine, 2003). However, it has been noted that there is limited information in literature on how to train appraisers to develop skills that result in an educative process where openness and trust prevails. It is noted that probably without a sound relationship the appraisal process would be a frustrating effort to carry out.

- Classroom practice

Those concerned with the search for quality in education believe that attention should mostly focus on teaching and learning processes. Eshiwani (1993) postulates that the quality of education is heavily dependent on the quality of staff, their motivation, and the leadership they experience. In this regard, Walter, *et al., (*1996) add that the quality of teaching depends on the quality of teachers which in turn, depends on the quality of their professional development. UNESCO (2004) proposed that the quality of education depends mainly on the instructional methods used in the classroom.

What comes out clearly is that in pursuit of quality education, students' achievement should prevail. High quality teaching thus is essential in improving student outcomes and reducing gaps in student achievement. Hence, the quest for quality education justifies the introduction of the performance appraisal system which should strive to equip teachers with strategies and competencies that aim to improve pupil performance. Research on school effectiveness emphasises teaching and learning and literature on teacher appraisal in turn identifies the enhancement of teaching and learning for all students as one of its main benefits. Teaching and learning conditions therefore are among the factors that impact on teaching effectiveness. Horne & Pierce (1996) mention that, teachers should have an awareness and willingness to practice varied and appropriate repertoire of teaching methods and learn new strategies.

Goddard & Emerson (1997) advice that the cornerstone of an appraisal is the belief that teachers wish to improve their performance in order to enhance the education of the students. It can therefore be subsumed that this can be achieved through appraisal, classroom observation, interview and feedback that provide the opportunity for two or more colleagues to work closely together to analyse and build on new and existing strategies.

Iwanicki (2000) suggests that as teaching and learning evolved and became more complex, new models of teacher evaluation placed teachers in a more active, participative role. Teacher evaluation methods also encouraged teachers to engage in self-directed professional development, engage in staff development courses directed at specific skill sharpening by participating in action research and involving themselves in collaborative events or inquiry-based approaches directly impacting student achievement.

Studies on teacher appraisal indicate that classroom observation should be central to the business of the schools (Bennett, 1992; Horne & Pierce, 1994; Poster & Poster, 1997; Wragg, *et al*, 1996). Basing the appraisal results on classroom observation has been a bone of contention for teachers. Firstly, one badly carried out observation may misjudge the teacher's performance. Secondly, fear that some form of checklist approach would be introduced and judgements based on it will be made. Thirdly, teachers are always suspicious of the competency of the appraiser. In order to assuage these anxieties, Goddard & Emerson (1997) suggest that it is important that both appraisee and appraiser are clear about the purpose of the observation; the role the observer will play during the lesson; and the criteria to be used during the observation.

- Accuracy, efficiently, and fairness in teacher appraisal

It is imperative that teacher evaluation be conducted correctly, efficiently, and fairly to determine the areas where further development and improvement of skills are needed. If done correctly, teacher evaluations could provide a vital step toward providing quality instruction for students and job satisfaction for teachers. The proper training necessary

to produce an effective and proper evaluation involves both the evaluator as well as the person being evaluated. Both the evaluator and the evaluated are continual learners. Danielson & McGreal (2000) state that the only way teachers will improve their practices is to have professional dialogue about the art of teaching in a safe environment and to have that dialogue led by teachers. The quality of teaching is more significant than any other factors in raising the standards (Green, 2004). He further argues that first-rate accommodation, excellent resources, brilliant schemes of work; all are of limited value if the actual teaching, the point of delivery, the interaction between teacher and pupils are not of quality.

2.6.3 Evaluating Teacher Appraisal and Competence

The competence of teachers is of concern to society in general, and specifically to those education bodies who employ teaching graduates. Depending upon the education context in which they operate, teachers experience some kind of formal appraisal process where evidence of work competence is collected so that a judgement can be made. Competency is defined as the state or quality of being adequately or well qualified; have a specific range of skill knowledge or ability (Heritage Dictionary, 2005). Jirasinghe & Lyons, 1996 cited in Tomlinson (1997) advance that competence is the ability to perform the activities within an occupation or function to the standards expected in employment.

- Increasing teacher's knowledge and skills

According to Armstrong (1994), performance agreements define knowledge, skill and competence as a role the holders have to know and be able to do (competences) and of how they are expected to behave in particular aspects of their role (competencies). Hargreaves & Fullan (1992:2) suggest that, "One way of providing teachers with 'opportunities to teach' is to equip them with knowledge and skills that will increase their ability to provide improved opportunities to learn for all their pupils". A teaching force that is more skilled and flexible in its teaching strategies, and more knowledgeable

about its subject matter, is a teaching force that is more able to improve the achievement of its pupils (Hargreaves & Fullan, 1992).

- Increasing teacher competency in lesson delivery

Engelbrecht, Forlin, Eloff & Swart (2001) argue that the biggest challenge to education involves giving teachers the confidence to believe in themselves that they can accomplish the task at hand. Teachers are looked upon as the driving force behind pupil achievement. Therefore, those responsible for teacher education have a critical role to play in driving the change process forward; as they can help identify and shape the new competencies teachers need. These competencies are necessary as teachers are involved in the curriculum development and implementation (Ornstein & Hankins, 2004). Like other learners, Teachers need to learn by doing, just like their students. They must practice and use the techniques they are expected to use in the classroom (Navarro & Verdisco 2000),

- Lack of benchmark measuring standards

Although there are several approaches to competence and its measurement that exist, none is able to fully explain the many facets of competent human performance (Huntly, 2003). Since the early 1990s, teacher employment organizations, both private and Government administered, have struggled to introduce and maintain a fair process for judging the competence of their teaching workforce (Bennett, 1992; Marsh, 1996). In his PhD study Thompson (1998) suggests that in the absence of any formal tools for measuring teacher competence, principals revert to a series of conceptions of competence that are personally and professionally conceived.

Despite the length experience, there is considerable dissatisfaction with appraisal system, reflected by the growing literature on new and improved approaches. In education, there is considerable suspicion about the real intentions of the education systems in suggesting appraisal at the present juncture, and many believe that valid,

reliable appraisals of teacher competence will be difficult if not impossible to achieve because of the complexity and variety of demands made on teachers in their professional role. By themselves, appraisal schemes are usually not powerful enough to raise the quality of teaching; to achieve its purpose; appraisal must be linked to evaluation and embedded in a process of career development of career development. This is due to the fact that teachers themselves are rarely invited to contribute to the debate surrounding the competent performance of practitioners within their own profession.

2.6.4 Individuality versus team work in PA

Teaching is one of the professions that need strong teamwork like in a relay race where expertise in button stick exchange is crucial for the team to win. Team-based work systems which use multi-rater evaluation will face increased legal challenges unless team performance evaluation systems address simultaneously the issues of accuracy and fairness (Valle & Davis, 1999). In essence, enhancing the reliability and validity of team performance evaluations may be seen as a way to demonstrate both accuracy and fairness. Hargreaves (1991) citing the work of other researchers, makes the point that if collegiality is seen as promoting professional growth and internally generated school improvement, it is also widely viewed as a way of securing effective implementation of externally introduced changes, in particular, the implementation of centralized curriculum reform. Schulman (1989), quoted by Hargreaves (1994) states:

> *"Teacher collegiality and collaboration are not merely important for the improvement of morale and teacher satisfaction....but are absolutely necessary if we wish teaching to be of the highest order.... Collegiality and collaboration are also needed to ensure that teachers benefit from their experiences, and continue to grow during their careers".* (p.47)

Heery's (1996) research reveals that teamwork had been destroyed while Marsden & French (1998) reports jealousies among staff. In the same vein Dunham (1995:49) argues that "teamwork has been identified as the hallmark of effective organizations, and involves shared aims and visions, responsibility and accountability". Based on the

views of the cited scholars, it can be argued that teamwork leads to school effectiveness where individuals support each other, work together for the benefit of improved performance. One can safely conclude that, it is in an atmosphere of teamwork that individuals' shortcomings can be strengthened without much conflict. However, should teamwork malfunction among the staff members, achieving school effectiveness may be a far off dream. However, the introduction of performance-related pay seems to work against teamwork and promotes individual effort.

2.7 TEACHER PERCEPTIONS OF THE APPRAISAL SYSTEM

Evaluating the performance appraisal system encompasses a wide scope, including the perceptions of those appraised. Studies reveal that the appraisal process is based on the accountability model that is managerial, control-oriented, judgmental and hierarchical (Monyatsi, 2003).

- Accountability mechanism

Teachers regard appraisal as an accountability mechanism, a hostile device imposed upon them to meet the requirements of a centrally designed system. They find it threatening socially, morally and financially when it is used to determine their increase or bonus payment at the expense of professional development (Brown, 2001). Generally, opposition to appraisal generated from summative elements may include establishing direct accountabilities, determining pay levels or promotion prospects and improving performance (Bell, 1988). The fear of appraisals by teachers was also noticed by Gene & Morgan (1992:45) who observe that:

> *The mere mention of the word "appraisal" to a group of teachers or head teachers is almost guaranteed to produce the same effect as poking a stick into a hornet's nest. Take cover quickly and get ready to repel a swarm of fears and anxieties, created by the coupling of incomplete knowledge with imperfect understanding and nourished by an unhealthy diet of frustration and cynicism.*

It can be argued that how teachers view the performance appraisal system affects the way they accept and implement the system to the advantage of their students. The PAS is bound to have a significant impact on attitudes and behaviours of teachers, which in turn affect the performance of teachers and the learning outcomes of students. A study in Singapore revealed that teachers found that controllability of appraisal criteria was particularly important since monetary rewards were tied to the appraisal. However, the collectivist culture that exists in Singapore emphasizes group achievement in contrast to an individualist culture that focuses on individual achievement (Paik, Vance & Stage, 1996). Hence, Singapore teachers were more willing to accept appraisal criteria based on group or school outcomes.

Duke (1995) asserts that the accountability model in appraisals has been unpopular with teachers and their unions. Its key characteristics has been seen as an imposition since the philosophy is the checking of competence and designed to bring about a better relationship between pay, responsibilities and performance (Monyatsi, 2003:208). Teachers have questioned the capabilities of those making judgements, and the validity and reliability of the instruments used. Evidently, the model cultivates defensiveness among teachers as they fight to serve their interests.

2.8 ENABLING TEACHER PERFORMANCE APPRAISAL

2.8.1 Training for the PAS implementation

There are two types of training involved in the appraisal process and these are:

- Training the employees on how to implement the appraisal system and,
- Training to develop employees on the needs identified during the appraisal process.

Major innovations require detailed planning and careful preparation, and those affected need to be involved in this exercise. When an innovation is introduced it is important to train those involved with the implementation of the programme. It is through training that

those involved in the performance appraisal learn to appreciate the modalities of the system and learn how to implement it. Bell (1988) postulates that, the need for training for appraisal review is apparent, particularly, where there is no previous experience of introduction. Stressing the importance of training are Mohrman *et al.*,(1989) who point out that performance appraisal is not something that most individuals are genetically or culturally programmed to do well. The basis of training is to instil in the minds of those conducting appraisal that they need to go through a process that follows designed steps (Edenborough, 2002).

Since performance appraisal is a concept adopted from the industrialized countries, it becomes an abstract concept when it is introduced to the developing countries, worse still in educational setting, hence, the need for all teachers to be trained to play their part in appraisals. Hattersley (1992) stresses that, training is essential if teachers and heads are to be able to operate appraisal schemes in a manner which will help to improve the effectiveness of the schools. Hattersley further argues that training is vital in that it provides the heads with information about the principles and purpose of appraisal and raises their awareness for teacher appraisal.

The importance of training was also emphasized by Arnold in Bell (1988) who suggests that the experience of someone introducing the appraisal process is significant in making the process acceptable. The diagram below shows how expertise and knowledge through training and practical application can effect change and acceptance.

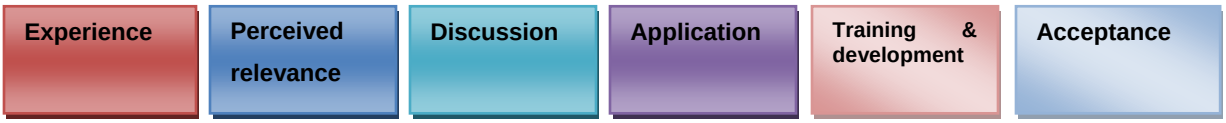

Figure 2.3: The training process: Adapted from Bell, (1988:59)

In Arnold's conviction, which the researcher supports is that through training, employees should see the relevance of the process, receive training and accept it for smooth implementation of the process. In their pilot study involving six schools in the UK, Bollington et al., (1990) cited in Hattersley (1992: 54) tabulate the following findings:

> *Training is essential if teachers and headteachers are to be able to operate appraisal schemes in the manner in which will improve the effectiveness of schools (NSG, 1989, p.19).*
>
> *Training is vital, but should be provided in a continuing format, as accumulating experiences of 'doing it' enhances awareness and generate a clearer understanding of training needs. It should be essentially practical – sessions which allow for significant input from the headteachers and, where possible, the testing of their ideas and approaches seem most valuable (CIE, 1989, p. 37).*

Confirming the above ideas are Latham & Wexley (1994) who postulate that training is necessary because the degree to which performance appraisal is biased, distorted or inaccurate, the probability of increasing the productivity of the employee is greatly decreased. Bollington et al., (1990) describe the purpose of training as climate setting, awareness-raising and specific training in the skills used in the appraisal process. It also helps to promote a positive image of appraisal and secure a willingness to participate in the process. The importance of training in the appraisal process is to reduce anxieties, gets the appraisal off to a good start and that it should be a continuous process.

This study assesses training based on Kirkpatrick's four-level evaluation model that he designed in 1950 (Kirkpatrick, 1996) that emphasizes measuring effectiveness in training programmes. The system has become probably the best-known in training circles and consists of a four-stage process:

(1) *Reaction*. We evaluate people's reaction to training:

Were the delegates satisfied with the training process? Was the training conducive to learning and reasonably comfortable for the trainees? Were the trainers competent and credible?

(2) *Learning*. Have the trainees learned from the training? Can we measure the learning and assess the improvement in knowledge and skills?

(3) *Behaviour*. As a result of the training has the trainee's behaviour changed? Has the learning been transferred to the workplace? Is there a different attitude as well as improved knowledge and skills? Are they competent?

(4) *Business objectives*. What impact has the training had on the business objectives of the organization? How has the training helped towards achieving the operational objectives? Since training is a process, his ideas embrace both formative and summative assessment that is based on goals.

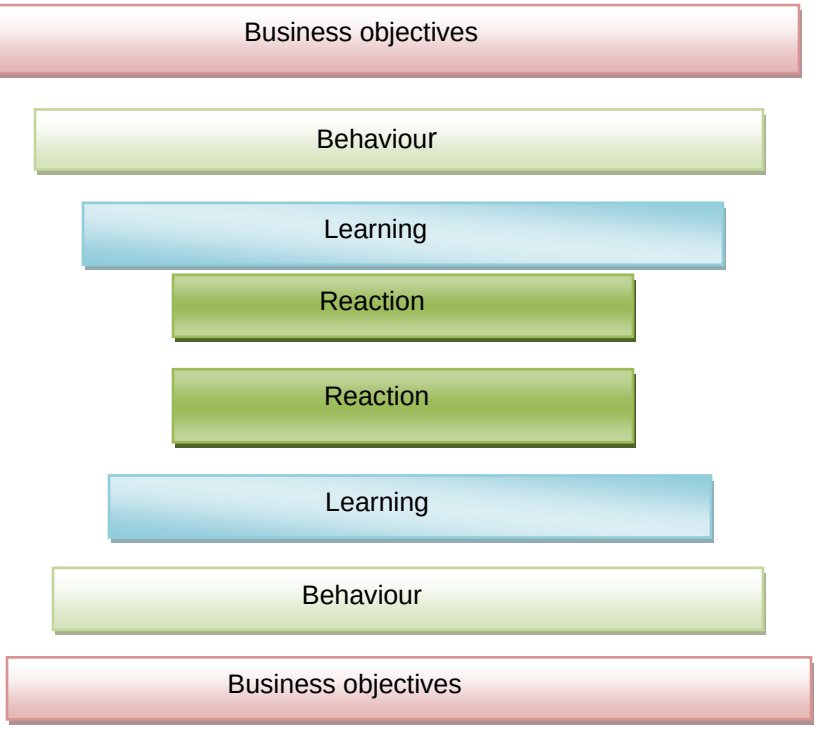

Figure 2.4: Dyer (1994) developed the model into "Kirkpatrick's Mirror"

The benefits of using "Kirkpatrick's Mirror" should be self-evident to anyone involved in management of training. Simply by applying the paradigm, it allows the individual to become more business focused, and if adopted universally it should provide efficient and effective training throughout any organisation. Evaluation should not be seen as something to tag on to the end of training, but should itself be a reflection of what the organization wishes to achieve. Dyer (1994) laments that despite Kirkpatrick's acclaimed four levels of evaluation, which if adhered to would be of benefit to any organisation, but virtually nobody attempts to implement them. Although most organisations conduct some form of evaluation, the vast majority of cases have

restricted it to validation forms completed at the end of the training course and these happy sheets just go a little further than level 1 evaluation.

In Zimbabwe trainers were trained for three weeks at ZIPAM. From this session, a cascading model of training was employed to train all the civil servants to the lowest rank. In the second phase middle management comprising the heads, deputy heads and heads of departments (HODs) were trained for three days. The researcher experienced the middle level of training. Trainers were giving basic principles of the performance appraisal and could not give examples of goal setting, its implementation, and measuring standard, exposing lack of concrete knowledge themselves. According to Wragg et al., (2004) the heads were extremely critical of the training complaining that the format of the training session had been too rigidly prescribed, with little opportunity to ask questions and there was no attempt to discuss what procedures would be in place. Those critical of the training session further argued that the trainers appeared poorly briefed and were sometimes patronizing; there was a “one size fits all” approach which did not take into account the individual circumstances of the different ministries (Wragg *et al*., 2004). In the third level of training, the heads then trained the teachers and other lower grades for one day.

The researcher’s experience was that the training may not have been designed for the education sector only, but for a mixed bag of ministries, with diverse mission statements. The “one size fits all” approach could be rather difficult for trainers to explore all ways and means of the appraisal process pertaining to each ministry. This type of training seems to defeat the ideas (Bell, 1988; Edenborough, 2002 & Mohrman et al., 1989) that stress the need for training so that people know how to implement the appraisal. Furthermore, responses to the open-ended items indicated inadequate understanding of the appraisal system and procedures. Most research findings on training confirm Kirkpatrick’s assertion that most training evaluation rarely goes beyond level 1 of his four level training model.

2.8.2 The performance appraisal process

In the management of service quality, organizations need to have in place appropriate mechanisms for measuring and monitoring the success of the services offered as well as ways in which they can recover from any service failure, in order to succeed in the competitive environment. The appraisal process in the private sector may differ from that of public institutions.

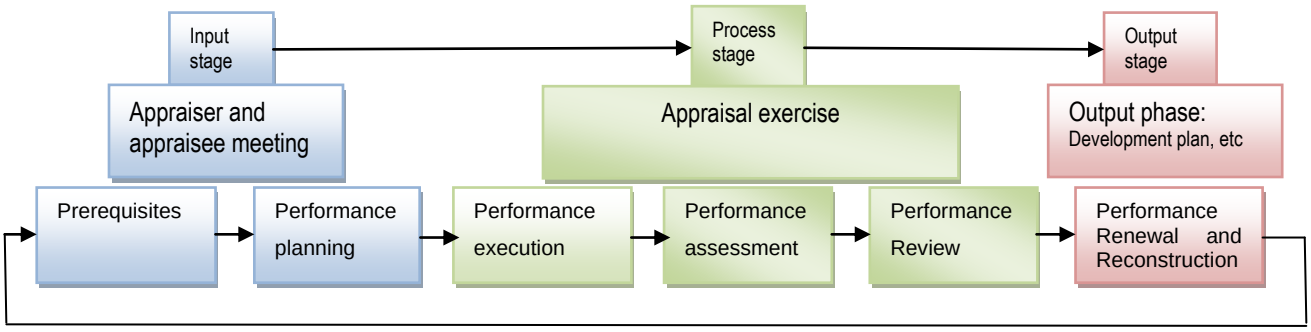

Figure 2.5: New teacher performance appraisal process (adapted from Aguinis 2009)

2.8.2.1 Prerequisites for success

- Performance Planning

At the beginning of each performance cycle, the supervisor and the employee meet to discuss and agree on, what needs to be done and how it should be done (Aguinis, 2009). The teacher performance appraisal process commences with the new academic year when the appraisee presents their proposed work plan-profile, teaching plan or activities to the appraiser. In the new system, the appraiser and appraisee negotiate and agree on the objectives to be undertaken by the appraisee.

In order to realize the goals expressed in the mission statement, the employee draws a job description of activities and tasks to be accomplished (Masoka, 1997). A consideration of behaviours includes discussing competencies which are measurable clusters of knowledge, skills, and attitudes (KRAs) that are critical in determining how

results will be achieved (Shippmann et al., 2000) Once the KRAs have been identified and agreed upon, objectives are set and these must be Specific, Measurable, Achievable, Result-oriented and Time framed (SMART) (The Golden Handbook, 1998). The objectives form the targets from which the subordinate will be assessed on their achievement at the end of the appraisal period.

A target is a particular aspect of work agreed by appraiser and appraisee to be raised to a high priority for achievement within a set period (Trethowan, 1991). The setting of targets or objectives is done at the beginning of the year by both the appraiser and appraisee to check with each other their understanding of the set down targets in the form of a written action plan (Bollington et al., 1990). It is this plan of action that indicates the target, how and when it will be achieved and the criteria for judging successful accomplishment. In the researcher's experience targets are set by the appraisee undertaking them because they believe them to be useful in their own personal development, improvement of the quality of work and in order to score high points for performance related pay. Bell (1988) confirms that target setting encourages the habit of undertaking clearly defined tasks with equally clear performance criteria. Goddard & Emerson (1997) contend that target-setting can be viewed as establishing an action plan for improving professional practice. The action plan will lay down the activities to be achieved, how and when they will be achieved and the evidence of their achievement.

The purpose of a target setting exercise is to set specific tangible goals which can be tackled over a defined period of time. The target setting exercise cannot be overemphasized as its main purpose is to clearly map up the plan of action, (Bell, 1988; Goddard & Emerson, 1997: Bollington et al., 1990) however educators find it difficult to execute the task. Educators at primary schools found the target setting exercise to be very cumbersome as they have so many subjects to teach yet they had to set targets on five Key Result Areas for each subject. Teachers allege that the system poorly reflected the complexity of their work that cannot be reduced to precise and measurable units (Storey, 2002; Pratt & Stenning, 1989). Thompson (1992) confirms the teachers'

allegation by arguing that it is difficult to quantify complex social services like education, emphasizing that the activities of a teacher which are very close to the actual learning of a child are those which teachers could not measure in quantifiable terms.

One of the problems faced by educators is that the goals they set may be incompatible to their day to day duties. It has been observed that literature is silent in explaining how these targets are translated into day-to-day duties. Scriven (1994) thus states that the performance appraisal system is likely to have ‘side effects’ or ‘unintended effects’ that have the effect of obscuring what might be a crucial achievement).

- Performance execution reviews and feedback

This is the stage where the employee has total responsibility and ownership of the process as he/she set in motion in the targets that were set at the beginning of the year. As the employee develops the job descriptions, standards of performance, creating rating forms, the supervisor should monitor the progress through observations, keeping updates on the organizational goal, checking progress on the individual’s goal, providing resources and offering reinforcements and corrective advice where needed. The supervisor also carries out reviews during the year where the appraiser explores the subordinate’s areas of possible improvement, growth and strengths. Bollington et al. (1990:10) explain that “it encompasses a review of successes, areas for development, constraints and leads to target setting related to the present job, as well as to the general career development”. Clearly, this is an important aspect of the process where information is gathered on the degree of development which provides a measure of success. Employees should be active participants in this evaluation process in that they provide a self-assessment and the performance review interview is a two- way communication process.

Feedback is the exchange of information about the status and quality of work produced, which provides the roadmap to success (Kreitner & Kinicki, 2008). It is used to motivate, support, direct, correct and regulate work efforts and outcomes. It is beneficial to teachers because it indicates that their worth is appreciated and valued by others and in turn boosts their moral and confidence (Kyriacou, 1995). Naisby (2002) sees feedback

as a mirror that reflects back on the given information about their behaviour and how it affects others, and then gives suggestions and advice. Humphreys & Thompson, (1995); DeNisi & Kluger (2000) and Holbeche (2005) highlight that while feedback does have the potential to help someone focus on what is to be done in performing a task or learning details, it usually improves performance and enables teachers to collaborate in a focused way. It ensures that the supervisor and the subordinate are in sync and agree on the standards and expectations of the work to be performed.

Feedback should be relevant, timely, factual, helpful, confidential, respectful, encouraging and tailored to specific needs. Ovando (1994) asserts that those who are in a position to provide support to teachers and students may increase the effectiveness of feedback by:

- reducing the inherent threat and negative reactions associated with evaluation of performance;
- keeping comments as impersonal as possible and focusing on the behaviour;
- collecting descriptive data while observing actual performance;
- offering support and optimism that students can develop their unique potential;

While feedback is considered essential as it gives teachers information on how one has progressed, even when it means one is given criticism, judgement and acknowledgement of what they have done successfully and offer encouragement, its efforts are often dented with problems. Meyer (1995) reveals that studies of the learning process point out that feedback is less effective if much time is allowed to lapse between the performance and the feedback. Some people have a short memory such that when feedback is not given timeously, they tend to forget the essential points that would have been noted as areas of improvement. Kreitner & Kinicki (2008:253) identify six trouble signs in feedback as:

- *Feedback is used to punish, embarrass or put down employees.*
- *Those receiving the feedback see it as irrelevant to their work*

- *Feedback information is given too late to do any good.*
- *People receiving feedback believe it relates to matters beyond their control*
- *Employees complain about too much time collecting and recording feedback data.*
- *Feedback recipients complain about it being too complex or difficult to understand.*

The trouble signs identified by Kreitner & Kinicki might prove to be detrimental the achieving school effectiveness if not properly addressed. Essentially, feedback should not be used as a mechanism to settle scores or fix each other. Some scholars have found that feedback is an area that is loaded with a high level of discomfort (Ghorpade & Chen, 1995; Kikoski, 1999) that can be assuaged through thorough training.

Whereas Kreitner & Kinicki (2008) give trouble signs while Grossman & Parkinson (2002) offer recommendations for conducting effective performance review:

1. Identify employee's specific positive and negative behaviours,
2. Listen to reactions and explanations from the employee,
3. Discuss implications of behaviour, while positive feedback is best, one should know the consequence that follows continued poor performance,
4. Skills used in past achievements can be developed to overcome present performance deficiencies,
5. Agree on an action plan, and
6. Make follow ups on behaviours, actions, and attitudes to be evaluated.

The importance of feedback therefore cannot be overemphasised as it leads to the decisions that have financial implications to the individual as the case is in Zimbabwe.

- Performance Assessment (Rating)

In the performance assessment stage, both the appraiser and appraisee come together to evaluate the extent to which the set targets were achieved and the desired behaviours displayed. This is the stage of the performance process that has received greatest attention from psychology researchers (Aguinis & Pierce, 2008; Bennett, Lance

& Woehr, 2006). What creates this attention is that rating is viewed as a subjective, qualitative judgement of a teacher given by a rater (principal, supervisor, superintendent or board of education) (Huggett & Stinnett, 1996). This rating is done for the purposes of determining salary, promotion or reward to the employees and the identification of training needs are done at the end of the year. It is a process that is prone to subjectivity, inconsistency and bias (Turner & Clift, 1988).

Gray (2002) states that performance appraisal rating systems are centred on determining average performance, and then comparing an individual's rating to the average, yet few people consider themselves to be average. In reality, the assumption of average performance actually sets the stage for conflict between the employee and supervisor, rather than the climate of the desired individual improvement. The emphasis within the performance appraisal session becomes focused on the rating, rather than goals for employee growth and improvement. Biased rating is common and causes problems with the system. Harris & Hogan (1992) affirm this when they state that when a supervisor evaluates someone, he or she tends to think in terms of what kind of a person he or she is rather than what he or she has done.

Rating errors thus may be defined technically as a difference between the output of human judgement process and that of an objective, accurate assessment uncoloured by bias, prejudice or other subjective extraneous influences (Latham & Wexley, 1982). They further identify the most common rating errors which include contrast effects, first impressions, halo, similar-to-me, central tendency, and positive and negative leniency. a) Contrast effects error is the tendency for the rater to evaluate a person relative to the other individuals rather than on the requirements of the job (Wexley et al., 1972). b) First impression error takes place when the supervisor makes a judgement based on favour or prejudice about an employee, and then ignores subsequent information so as to support the initial impression. c) The halo effect refers to inappropriate generalisation from one aspect of a person's performance on the job to all other aspects of a person's job performance. d) Similar-to-me effect error is the tendency on the part of the rater to judge more favourably those people they perceive as similar to themselves (Rand & Wexley, 1975; Wexley & Nemeroff, 1974). e) Central tendency error is committed by the

person who wants to play it safe. Employees are rated on or close to the mid-point of the scale. f) Negative and positive leniency errors are committed by the manager who is either too hard or too easy in rating employees.

Previous studies reveal that the majority of approaches to reduce rating errors suffer from one of more methodological problems of failing to provide trainers an opportunity to practice the skills learned (Spool, 1978), nor do they provide them with feedback on how well they were performing (Bernardin, 1978; Bernardin & Walters, 1977). The solution to this challenge points back to the necessity of proper and thorough training.

2.8.2.2 Problems of appraisals

While PAS are regarded and used as techniques to influence, control and drive employee behaviour towards increased productivity and effectiveness and accountability (Cleveland & Murphy, 1989: Bollington et al., 1990; Bratton & Gold, 2007), tend to believe otherwise. They tend to view the performance appraisal process as a minefield of potential errors summarised by two terms; reliability and validity, which describe qualities of the entire evaluation process and refer to the adequacy of the information that is generated and used in subsequent decisions about employees (Szilagyi & Wallace, 1990). They further elaborate on their idea by stating that:

> *Reliability problems are caused by random source of error; characteristics of the measuring device, its administration, or its individual employee. Validity problems are caused by constant error including halo, stereotypes, contrast error, similar-to-me error and first impression error. (p.* 527)

Supporting their view on controversy surrounding appraisal schemes in the education system is Oldroyd (1993), who warns that the schemes are often heavily bureaucratic, involve time and paperwork but it is frequently hard to demonstrate improvement in performance that follow the setting of targets. Concurring with Oldroyd is Perillo (2006) who postulates that the applicability of managerial informed notions of appraisal can be questioned when there is a focus on enabling teaching excellence, rather than correcting knowledge and skill deficit or achieving simple, measurable, achievable, and

realistic time bound (SMART) objectives. The cited authors describe how disappointing appraisal systems have turned out to be when so much time, effort and resources are devoted in setting them up.

Measuring individual performance can be a problematic issue especially for those who provide intangible services like in the case of professional staff where performance is based on their training. Hence, teachers resist implementing the new performance appraisal system, arguing that it poorly reflected the rich complexity of the teacher's work and laying down precise and measurable objectives can be difficult (Chiganga, 1996; Storey, 2002). Questioning this notion are Lane (1990); Danielson & McGreal (2000) who admit that defining good performance can be very difficult because effective teaching is a multi-dimensional task comprising many intangible aspects.

Problems associated with teacher appraisal include the tension between formative purposes and summative purposes of appraisal, the lack of agreement on appropriate appraisal criteria, concerns over the validity and reliability of evaluation methods, and the negative perceptions of teachers towards the appraisal system (Darling-Hammond et al., 1983; Lane, 1990; Peterson, 2000). The cited scholars seem to suggest that the problem may relate to the way the design process and implementation of performance appraisal have been handled in organisations. The critics of the appraisals, Deming (1986) and Kohn (1993) lament that the problem is compounded when the performance appraisal is used to determine pay-for-performance, a process that contributes to fear and competition within the organization. Concerns from Deming and Kuhn lead one to examine the effects of the link between performance appraisal and pay decisions. Besides the problems that have been identified with the appraisals systems they also exhibit some weaknesses whose discussion follows.

2.8.2.3 Weaknesses in performance appraisal

According to Bohlander & Snell (2004) a weakness in performance appraisal programmes is that managers and supervisors are not adequately trained for the appraisal task and provide little meaningful feedback to subordinates. The issue of

adequate and proper training remains the crucial factor that would make appraisals effective. It can be argued that due to inadequate training, supervisors lack precise standards for appraising subordinates' performance, fail to develop the necessary observational and feedback skills, hence their appraisal is often portrayed as ineffective, based on high subjectivity and ignoring individual objectives (Soltani et al., 2005).

One of the arguments against performance appraisals is that they get affected by office politics. The superior or the manager may not assess his subordinates fairly as he/she may base his/her evaluation on the employee's actual behaviour or giving feedback on the basis of his/her personal likes and dislikes about the individual. Another criticism that performance appraisals face is the confusion and tension between the summative and formative purpose (Darling-Hammond et al., 1983; Lane, 1990; Peterson, 2000). Since, in an appraisal, an employee is being evaluated and judged, and his pay rise and promotion is dependent on it, there is no way that he will reveal the problem areas in his work when doing self assessment. The supervisor may also find it uncomfortable to judge the subordinate harshly for fear of denting the relationship since they work together on a daily basis in the organization.

Unpleasant relations between people due to performance appraisal lead to the creation of an unproductive work in the organisation. Teacher appraisal process has also been criticized as ineffective for improving the instructional quality of teachers (Danielson & McGreal, 2000; Frase & Streshly, 1994; Lavely et al., 1992). Although there seems to be so many problems and weaknesses in appraisals discussed above, well designed appraisals have many strengths and these are discussed in the next section.

2.8.2.4 Strengths of performance appraisals

Monyatsi et al., (2006) advance the notion that a well-planned and carefully implemented teacher appraisal system can have a far reaching impact on teacher effectiveness which can in turn lead to improvement in the quality of student achievement. Examining the potential advantages of effective appraisals, Bell (1987)

contends that individuals become confident in their own performance, have clear plans in terms of their own improvement and development and can become assets to the school.

In a later edition, Bell (1988) postulates that appraisals improve the quality of education as they are a two-way discussion that give individual teachers support develop effective practices, identify areas for development and generate action programmes. Firstly, the organization comes to know who is a high performer and who is not. From this kind of data organizations are able to conduct staff development or in-service (INSET) courses to develop underperformers. Through the appraisal, individuals are integrated into the organization. It then becomes easy for the harnessing of the unique talents of individuals and co-ordinate their activities towards the achievement of the organization's objectives through effective and efficient means.

Sometimes, through the appraisal the managers come to know that a particular employee has the skills and interests which are suitable for some other job in the organization. In such a scenario, post appraisal, the employee might be shifted to the other job. This will help both the organization as well as the employees, as it leads to correct placement where the employee can be more productive. It also makes it easier for managers to decide on the salary hikes, perks, promotions and bonuses of various employees accordingly. Organisations also take some sort of disciplinary action against the low performers or recommend them for further training.

Literature also indicates that openness in the appraisal process helps organisations to operate a result-oriented PAS. The openness in the appraisal process encourages hard work geared to achieving results; creates a climate that emphasizes participation and feedback as a basis for development; and stress the need for mutual trust (Towers, 1996). Concluding on the above discussion, one deduces that for an appraisal to be reckoned as advantageous, two factors apply; firstly, the meaning and the purpose of the appraisal be clearly understood; secondly, that the teachers understand and have been involved in deciding the model of appraisal to be implemented.

2.8.3 Performance-Related Pay for Teachers (PRP)

Closely linked to the PAS is the performance-related pay (PRP) system. While the PAS may be concerned with the way people perform their duties, the PRP has more emphasis on rewarding people for the performance. Some organisations use either of the systems while others utilize both. In as much as these may be two separate systems, the interest in evaluating both stems from the fact that Zimbabwe introduced both systems to be implemented in the civil service including education.

PRP is normally defined as a reward for employees according to their perceived merit, rather than for their length of service, qualifications and other attributes (Wragg *et al.,* 2004; Stone, 2008) and its prime purpose is to recruit, retain and motivate the workforce. Protsik (1996) and Heneman & Gresham (1998) add that, it is the way an organization compensates its employees for their time and hard work and at the same time, communicates its desires to the employees.

PRP in the UK public sector originated in the late 1980s and early 1990s. It was an effort to mimic what was perceived as the best practice in the private sector, which focused upon the individual as a critical feature of much human resource management initiatives (Clarke, Mabey & Skinner 1998). The separate introduction of PRP for schools in England and Wales was viewed at policy level as a central mechanism in attempts to modernize the teaching profession (DfEE, 1998, 1999) and, as part of a wider 'mission to modernise' the public sector through the development of benchmarks for quality, the setting and meeting of centrally determined targets and achieving greater efficiency.

Armstrong & Baron (1998:36) suggests that:

> *For performance-related pay schemes to be successful, individuals should be clear about the targets and standards of performance required, performance should be able to be tested and measured by individuals, individuals should be able to influence their performance, they should be able to understand the link between rewards and performance, rewards should follow accomplishment and be worthwhile, the results should be attainable and the scheme should be communicated positively and be easy to understand.*

Proponents of PRP argue that rewarding teachers for good performance helps to attract, retain and motivate the workforce (Wragg et al., 2004). Thus compensation can be viewed as an important factor in determining the motivational value of compensation. Employees are likely to have high levels of expectancy and thus be motivated only if their managers can accurately appraise their performance. When linking pay with performance, there is need for some clear understanding of what is expected of both individuals and their organisation (Bowen, 2000). The workers always want to know how much they would get for a particular job and the organisation should be certain of its expectations from individuals.

In addition, there is a strong belief that highly qualified or skilled workers are attracted to an organization where they believe their ability will be rewarded and would like to remain with the organization for as long as possible. PRP programmes are also good as a means of distributing rewards commensurate with the level of individual and team effort (Bowen, 2000). The prospect of earning more money is assumed to motivate workers to give off their best (Murnane & Cohen, 1986; Murlis, 1992)

Despite such a blueprint and their growing use, there is increasing questioning of the effectiveness of PRP schemes, prone as they are to problems (Pfeffer, 1998). Critics argue that the problem is compounded when PA is used to determine pay, a process that contributes to fear and competition within the organisation (Deming, 1986; Stone 2008). Furthermore, linking performance with pay creates a problem in that the development component gets ignored, as employees seek to prove their perfection to their managers, rather than openly discuss their weakness and development needs (Brown, 2001).

PRP or merit pay for teachers is also a highly contentious area in countries such as the USA, with many teachers objecting to tying performance appraisal pay (Ballou & Podgursky, 1993; Dee & Keys, 2004; Desander, 2000). Huggett & Stinnett (1996:56) posit that:

> *Teachers are overwhelmingly opposed to merit rating for salary purposes. They do not oppose ratings as evaluation for supervisory purposes, to improve instruction. They are opposed to merit rating upon which salary differentials are to be based because no objective, accurate means of measurement have yet been developed.*

Given the recent emergence of PRP as an issue in school education, it is not surprising that little research has been carried out. In the USA, with a much longer history of PRP in schools, such schemes have largely failed, with teachers, in the main, demoralized by it or hostile to it (Ballou & Podgursky, 1993). The cause of failure of these schemes may be closely related to their introduction and subsequent implementation. Some research indicates that PRP schemes have a high positive effect on performance, although problems can occur when such programmes are poorly implemented (Heneman & Gresham, 1998; Rynes, Gerhart & Pars, 2005). However, there seems to be death in literature in terms of well implemented PRP systems, which gives no room for assessing exactly where the system falters.

Other critics argue that with the emphasis PRP on individual performance, recognition and reward, it undermines collective employment relations, discourages union membership, marginalizes unions and increases management control (Stone, 2008). In reality it reinforces managerial prerogative and minimizes the potential role of unions in wage determination (Peetz, 2006). It is asserted that new management techniques, like PRP, have a tendency of frequently disorganised staff unions in organisations (Guest, 1987; Hyman, 1992; Kessler & Purcell, 1995). In situations where PRP destroys the collective bargaining powers for salaries, employees usually withdraw their membership as the vested interest in the union is defunct. When an organisation is able to adequately address the needs and aspirations of the workers through the PRP, the perceptions of the shared vision and the need for solidarity obtained through unions fades away (de Silva, 2011).

When PRP was introduced in Zimbabwe, the teachers' union had just become part of the Tripartite Negotiating Forum where recognized associations and unions could negotiate for salary increments (The Golden Handbook, Jan, 2002). It is against this

background that Nkala (2002) reported that ZIMTA has persistently challenged the use of performance appraisal to determine remuneration. In the researcher's view, while PAS may be accepted in education, the introduction of PRP seems to induce elements of fear, mistrust and resistance to their implementation.

2.8.3.1 PRP and selected employee psychological factors

People react differently to certain stimuli that drive them to perform tasks. Understanding the nature of the relationship between incentives, performance and motivation is complex and requires knowledge of both the individual and the context. Martin & Pear (1992:46) lament that:

> *Setting performance standards for extrinsic reinforcement to perform a task might make the task aversive and lead to a performance decrement when the reinforcement is withdrawn.*

This may be true, regardless of the context in which employees work. When people join an organization, they bring with them certain needs that affect their job performance. Some of the needs are physical and others are related to psychological and social values.

The Maslow (1954) and Herzberg (1966) theories focus on needs while Vroom (1994) placed emphasis on outcomes. Maslow as quoted in Owens (1998) suggests that the driving force that causes people to join an organization, stay in it, and work towards achieving its goals is actually a hierarchy of needs. Some of these needs are survival needs, security needs like medical insurance and a crime free environment follow, social needs which include the desire for love, acceptance and association, and esteem needs, such as those needs when a person looks for recognition, respect, prestige and some status. Self actualization needs describe the desire to live up to one's full potential.) This level of needs is described as the capstone on the hierarchy of needs where the desire to excel is high (Sergiovanni & Starratt, 1993; Maslow in Owens, 1998).

Herzberg's research gave way to a different classification system for needs: that is, as satisfiers and dissatisfiers. Unlike Maslow and Herzberg, Vroom does not concentrate on need, but rather focuses on outcomes. Vroom, (1994) states that prospective rewards motivate employees only if they believe that (a) they can improve their performance by working harder, (b) if they do work harder there is a high probability they will be rewarded, and (c) if the thought of having more money appeals to them (Wragg *et al*., 2004). The concept of expectancy is important because it assumes that behaviour is a function of one's estimation of obtaining the valued goal. Vroom (1994) hypothesizes that in order for a person to be motivated, effort, performance and motivation must be linked. He further proposes three variables to account for this which he calls Valence, Expectancy and Instrumentality.

Although the expectancy theory is concerned primarily with motivation, it is also a theory about the link between motivation and performance. The Expectancy theory suggests that employees would exert greater work effort if they have reason to expect a reward that is valued, plus possession of the necessary skills and abilities and an appropriate role and understanding of that role. Relating this theory to teaching, Jacobson (1992) claims that, the relationship between the teachers' efforts and performance results is not straightforward and the realization is not certain. Conditions such as overcrowded classes and poor resources were preventing teachers from gaining their anticipated performance-related rewards which might lead to demotivation.

The idea of paying people more money if they are thought to be doing their job well has a common-sense appeal to the general public, but can money motivate people to work? This question has been a major concern of employers and managers since Industrial Revolution and it is still being intensely debated reflecting its complexity (Bartol & Locke, 2000). Understanding the nature of the relationship between pay, performance and motivation is complex and requires knowledge of both individual and content.

Generally speaking, the approaches that focus on the explicit analysis of the link between performance-related pay and motivation in the workplace in the civil service are relatively few and far between. Locke et al. (1988:379) assert that "Money is the

crucial incentive because it is related to all of man's needs". In contrast Pfeffer, (1998:12) argues that "People do work for money- but they work even more for meaning in their lives. Some people find satisfaction just to be at work because they love what they do. Curuth & Handlogtan (2001:4) express their wisdom on pay-motivation link that, "A compensation system that rewards employees fairly according to efforts expended and results produced creates a motivating environment.

A survey conducted by Figlio & Kenny (2007) among 1300 American schools revealed that the 'academic performances' of the pupils were higher in establishments that pay their teachers in line with their performance. Similar surveys conducted at a finer level by Eberts et al. (2002) show that paying the teachers of an American high school according to their performance did not bring about an improvement in the academic success of the pupils. While the above studies supply elements of understanding relating to performance-related pay and its effects on performance, the researcher believes that motivation has a greater impact on performance hence evaluating the effect PRP to work motivation.

PRP can also de-motivate workers. If employees are sceptical of management, it can be difficult to make a pay-for-performance system work. The scheme is usually not fair when employees are faced with performance constraints that are beyond their control. The controversy surrounding PRP as a motivator for sustainable performance is the claim that monetary rewards are usually transitory in regards to their motivating effect (de Silva, 2011). It is further suggested that for extrinsic rewards like PRP to exert a continuous impact on performance, there is need for consistency in management objectives and used to reinforce a motivational system that has intrinsic rewards such as training opportunities, employee involvement in decision making, career development and have an adequate support system.

2.8.3.2 Linking PRP and teacher recruitment and retention

Promoters of PRP argue that its most important purpose in any organisation is to recruit, retain and motivate the workforce. Many organisations want to recruit highly skilled manpower and strive to retain them. Recruitment is an inherently social process in which personal relationships among employers, job seekers, and intermediaries play a leading role, providing intensive, hard-to-measure information, attracting candidates who would not apply through formal labour market channels, and securing a smoother adjustment and more effective training for new hires (Yakubovich & Lup, 2006). Recruitment practices are about seeking people, and employing people, who can articulate a well-developed philosophical base that 'fits' with the organisation. In simpler terms recruitment is a process of seeking and attracting a pool of people from which qualified candidates for job vacancies can be chosen (Byars & Rue, 2008).

Organisations like to promote the idea that employees are their biggest source of competitive advantage. Yet, at the same time, many organisations are ill-equipped for the challenge of finding, motivating and retaining skilled and talented individuals in today's labour market (Härtel, Fujimoto, Strybosch & Fitzpatrick, 2007). Organisations use different strategies to recruit their staff which includes employee referrals, newspaper advertisements, private employment agencies, and walk-in applications (Martinez, 2001). From these methods, HRM are able to pick candidates they think are well suited for the position in the organisation.

According to Mulkeen's (2007) understanding recruitment refers to the identification of potential pre-service students to enter the field of education, and yet, little attention is given to the initial recruitment of qualified candidates into the schools. The trend is that districts and schools hire teachers guided by the economic labour market theory of supply and demand. The theory has been used in the economic setting although numerous authors have described the application of the theory to the specifics of teacher labour markets in detail (Boardman, Darling-Hammond, & Mullin, 1982; Haggstrom, Darling-Hammond, & Grissmer, 1988). In many countries teacher

recruitment systems are highly centralised as teachers are appointed by the Ministry of Education and then posted to schools (Bennell, 2004). The situation in Zimbabwe is that at the end of the year graduates from training colleges complete employment forms stating the provinces and district of their choice. It is from these lists that districts recruit and deploy teachers to schools as per the declaration of vacant post by heads of schools.

Loock, Grobler & Mestry (2006) propose that an effective recruitment programme ensures that the standards of educators are maintained and sufficient staff is available to continue the level of effectiveness of education and gradually improve it. However, the exercise of recruiting and retaining effective teachers is frequently hampered by insufficient and sometimes dwindling human resources. It has also been observed that while centralised deployment systems are generally free from local pressures, they also undermine the rational operation of the posting system (Hedges, 2002). The system is often accused of being bureaucratic and unresponsive yet it is due to inadequate data from schools (Gottelmann-Duret & Hogan 1998; Rust & Dalin, 1990). At times schools may give adequate data on their teacher requirements but districts fail to attract teachers with the requisite skills. Jacobs (2007) also realized this situation when he commented that reaching the best candidates in the market, particular in a market short of skills, requires an advanced approach to sourcing talents.

Literature suggests that recruitment and retention of teachers in the profession is influenced by the conditions of service. While teachers may stay in the profession because of personal commitment and gratification, less altruistic reasons such as lack of job mobility, lack of skills to work in other fields or insufficient alternative employment opportunities make them stay Mulkeen (2007). Recent research indicates that “teachers with positive perceptions about their working conditions are much more likely to stay at their current school than educators who are more negative about their conditions of work, particularly in the areas of leadership and empowerment” (Hirsch & Emerick, 2007:14).There is a close link between the general notion of retention and the phenomenon of stress and burnout. Stress and burnout have been linked with

increased turnover, reduced job satisfaction and organisational commitment and lower performance effectiveness. Job dissatisfaction, mainly due to poor salary, poor administrative support, and student discipline problems, is also among the most frequent reasons teachers give for leaving the profession (Ingersoll, 2002; MacDonald, 1999; Tye & O'Brien, 2002).

Teachers in different countries may advance varied reasons for leaving the profession and these may include government policies, portrayal of teachers in the mass media, economic challenges and political instability. In most African countries, the phenomenon of teacher turnover is associated mainly with the HIV/AIDS epidemic, especially in sub-Saharan countries like Zambia, Kenya, Nigeria, the Central African Republic and South Africa (Coombe, 2002:3). Besides the HIV/AID pandemic, teacher turnover has been affected by the economic and political factors. Whereas the community stands to gain from schools, community attitudes also influence teachers' general esteem and status in society, which features largely in their professional commitment and morale.

2.9 THE GAP, SILENCES AND CONTRADICTIONS IN THE LITERATURE

In as much as research has been carried out on the implementation of the performance appraisal elsewhere, not much has been documented on its successes and failures in aiding teachers to improve the quality of education. Capper & Munro (1990) and Macpherson (1989) assert that the reform policy on performance appraisal was strongly influenced by increasing impatience, both public and political. While this may be true elsewhere, Zimbabwe gave in to the reforms dictated by the World Bank.

While it is stressed that PAS is a joint venture between appraiser and appraisee in that they agree on the targets to be achieved, literature is silent in terms of then deciding on the course of action the appraisee should follow in order to achieve these set targets. It is also silent in terms of ensuring the resources are in place in order for one to achieve the set targets. Studies have been carried out on teachers' perceptions and attitudes towards performance appraisal in Zimbabwe (Pretorius & Ngwenya, 2008): in Botswana

Monyatsi et al. (2006) but not much has been done in evaluating its effectiveness in ensuring quality education. While structural solutions might include teaching school heads how to interpret policy text and how to plan for implementation, solutions in a dilemma management framework go straight to the heart of the matter.

2.10 CONCLUSION

This chapter reviewed literature that is related to the concept of evaluation and the rationale for evaluation in education. Evaluation of programme effectiveness and quality education were also explored. The concept of performance appraisal, its purposes and the historical perspectives were examined. The literature review also demonstrated that for teacher appraisal to have an impact on the teaching and learning of students, it should not be introduced in isolation, but ought to be intertwined with the rhythm of everyday school activities. The chapter also ventured into the area of performance-related pay and motivation. Studies related to the subtopics were also reviewed. The reviewed related literature also assisted the research in exploring the extent to which the performance appraisal system has been effective in ensuring quality education at primary schools in Bulawayo. Chapter three provides information regarding the design and methodology employed in this study.

CHAPTER 3

RESEARCH METHODOLOGY

3.1 INTRODUCTION

This chapter addresses the methodology that was employed in the quest to evaluate the implementation of the teacher performance appraisal system applied to enhance quality education in Zimbabwe. The methods employed are presented and their use justified. The chapter covers the research paradigms; the research design which is the mixed methods that amalgamates the collection and analysis of data both qualitatively and quantitatively before the presentation of findings and the interpretation of data. Furthermore, it presents the population and sampling procedures; the research instruments that were used to collect data; as well as the ethical considerations that were observed.

3.2 RESEARCH PARADIGM

Paradigms are perspectives or world views based upon sets of values and philosophical assumptions, from which distinctive conceptualizations and explanations of phenomena are proposed. These philosophical frameworks give researchers a starting point where they should reflect on the world, search for what they believe in, why they view them as such and what philosophical framework shapes them (Gibson & Sanderson, 2003). There are a number of theoretical paradigms discussed in literature such as: the positivist (and postpositivist), constructivist, interpretivist, transformative, emancipatory, critical, pragmatism and deconstructivist (Mackenzie & Knipe, 2006). It is essential that the researcher chooses a research paradigm that suits the knowledge interests or purposes of the research being undertaken. This study is underpinned in the framework of the post-positivist paradigm as it is a foundation of education and psychology evaluation (Mertens, 2005).

A paradigm is a way of looking at the world. It is composed of certain philosophical assumptions that guide and direct thinking and action as researchers perceive reality, hence represent what they think of the world (Guba & Lincoln in Maree, 2007; Mertens, 2010). In other words, a paradigm is a comprehensive belief system, world view, or framework or theoretical perspectives that are congruent with the researcher's epistemology and demonstrate the kind of research methodologies that emerge from it then guide research and practice in a field (Gray, 2004). Feilzer, (2010:23) expounds on Kuhn's, (1962) view and explains that a paradigm is an "accepted model or pattern, as an organizing structure, a deeper philosophical position relating to the nature of social phenomena and social structure". This definition of paradigm relates it directly to research, as an epistemological stance (Morgan, 2007). In this sense, a paradigm directs research efforts, it serves to reassert itself to the exclusion of other paradigms and to articulate the theories it already established. According to Blanche, Durrheim & Painter (2006) paradigms are all encompassing systems of interrelated practice and thinking that define for investigators the nature of their inquiry along three dimensions of ontology, epistemology and methodology. The researcher thus has to make a choice that guides subsequent choices with regards to the methodology, the strategies, literature and the research design.

With regards to epistemological assumptions, Cohen & Manion, 1994; Burrell & Morgan in Cohen et al., 2006 explain that concern the bases of knowledge, its nature and forms, how it can be acquired and how it is communicated to other human beings. In this sense a paradigm is a set of practices which define what a given scientific discipline actually does. In a nutshell, the methods used, questions asked, phenomena examined and observed, and the interpretation of results, are all part of the overall paradigm of a discipline. Nonetheless, Kuhn, (1962), cited in Feilzer, (2010), laments that a paradigm can constrain intellectual curiosity and creativity, blind researchers to aspects of social phenomena and theories and limits their sociological imagination. These limitations were taken into consideration in the study. The following section discusses the interpretive paradigm at length, in turn giving details why it was adopted in this study.

3.2.1 Interpretive Paradigm

The interpretivist paradigm emerged out of the philosophy of Edmund Husserl's phenomenology and Wilhelm Dilthey's and other German philosophers' studies of interpretive understanding called hermeneutics (Mertens, 2010; Nieuwenhuis, 2007:59). Interpretivists' approaches to research have the intention of understanding "the world of human experience" (Cohen & Manion, 1994:36), while Creswell (2003) and Nieuwenhuis (2007) suggest that reality is socially constructed. The interpretivist's researcher tends to rely upon participants' views of the situation being studied and recognises the impact of the research in terms of their own background and experiences (Creswell, 2003; Nieuwenhuis, 2007). Furthermore, the interpretivist does not generally begin with a theory rather, "generates or inductively develops a theory or a pattern of meanings". The Interpretivist paradigm therefore allows investigation of the subject matter by the natural sciences where human beings can interpret the environment, their experiences and themselves (Hammersley, 1992; Onwuegbuzie, 2000). A pattern of meanings is generated through interviews and documentary analyses in the evaluation of the performance appraisal where teachers relate their experiences and perceptions with the system in their natural setting.

The interpretivist researcher is most likely to rely on qualitative data collection methods and analysis or a combination of both qualitative and quantitative methods (mixed Methods). Rensburg (2001:17) explains that "by using interpretivism, our knowledge interest would not be technical, that is, to inform interventions through our research, but to develop a deeper understanding of a situation, person, community or the case". Habermas calls this a practical knowledge interest, in reference to the assumptions that if people understand their own situation better, they would be able to take practical actions within it (Rensburg, 2001). In this study, it is hoped that using this paradigm could deduce knowledge which will assist the policy makers and other stakeholders to better understand how performance appraisal is being implemented at primary schools.

While interpretive research is recognised for its value in providing contextual depth, results are often criticised in terms of validity, reliability and the ability to generalize,

referred to collectively as research legitimisation. The other critique levelled against the interpretivist's research paradigm is directed towards the subjectivity and the failure of the approach to generalise its findings beyond the situation studied (Nieuwenhuis, 2007:58). This implies that the results from the evaluation of PAS in the selected schools may not be assumed to portray the same situation in schools outside the sampled cites. Human bias can never be underestimated nor can the notion of objectivity/subjectivity. Cohen et al. (2000:120) concede that "qualitative research methodologies are criticised for being impressionistic (based on reaction or opinions, rather on specific facts or details), biased, insignificant, ungeneralisable and idiosyncratic, subjective and short sighted". Additionally, the subjective involvement of the researcher makes him/her to share the experiences with his/her research participants.

Despite its limitations, the study incorporated the interpretivist's paradigm as part of the mixed methods approach adopted in the study. From an interpretive perspective, Eisenhardt (1989) recommends that researchers should start with a broad research question, establish systematic data collection and ensure case access to create strong triangulated measures. Qualitative research findings can be strengthened in this way by analytical and statistical generalisability. The next section focuses on the positivist paradigm.

3.2.2 Positivist Paradigms

Positivism is a scientific research method that is based on the rationalistic, empirical philosophy that originated with Aristotle, Francis Bacon, John Locke, August Comte, and Emanuel Kant (Mertens, 2005). According to Borg, Gall & Gall (2003), positivism is a system of philosophy that excludes everything from its consideration except natural phenomena and their interrelationship. Positivism therefore is an approach in the social sciences that seeks to apply the natural science model of research to investigations of social phenomena and explanations of the social world (Denscombe, 2001). It views knowledge as hard, objective and tangible hence it demands the researcher to play an

observer role together with an allegiance to the methods of natural science (Cohen & Manion, 1990). Gray's (2004:2) explains this concept further that:

- Reality consists of what is available to the senses- that is what can be seen, smelt, touched etc;
- Inquiry should be based upon scientific observation and therefore on empirical inquiry;
- The natural and human science share common logical and methodological principles dealing with facts and not values.

Mertens (2005:8) adds that "the underlying assumption of positivism includes the belief that the social world can be studied in the same way as the natural world, that there is a method for studying the social world that is value free, and that explanations of a causal nature can be provided". Positivism therefore is a system of philosophy that excludes everything from its consideration except natural phenomena and their interrelationships.

Blanche, Durrheim & Painter (2006:6) argue that if the researcher believes what is to be studied consists of a stable and unchanging external reality, then he or she can adopt an objective and detached epistemological stance towards that reality and employ a methodology that relies on control and manipulation of reality. The choice of the paradigm thus is guided by the objectives the researcher proposes to accomplish. In this study the researcher explored the respondents' reality about the introduction, the implementation and the impact of the performance appraisal system in education.

Williams & May (1996) state that some philosophers have identified flaws in the assumptions underlying positivistic science, hence they described it as one of the heroic failures of modern philosophy. One of the fundamental mistakes of positivism is based on the assumptions it made about scientific inquiry. Science is certainly, interested in producing theoretical explanations but not just on the basis of what can be observed. Borg et al. (2003) confirm that while much of the knowledge that has been acquired about education has resulted from positivism, some philosophers have found flaws in

four of its assumptions underlying positivistic science. Positivism assumes that hypotheses derived from theories can be confirmed or disconfirmed through objective, neutral observation (Borg et al., 2003). It insists that the test of knowledge claims are restricted to observable phenomena which in educational research is the observable behaviour of the persons being studied, their performance on tests or their response to paper-and-pen. Critics of this assumption point out that there is no such thing as a theory-free observation. However much of the phenomena of interest in educational researchers are not directly observable but still are important to research, such as intentions, feelings, values, attitudes, interests and cognition of individual persons (Borg et al., 2003).

Adopting a positivistic stance is not only about adopting certain approaches to the design of research studies. As Crotty (1998) points out, it implies that the results of research will tend to be presented as objective facts and established truth. Robson, (1993) however suggests that no theory can ever be proved simply by multiple observations, since only one instance that refuted the theory would demonstrate it as false. Kuhn (1970) calls it a paradigm crisis where normal science is a puzzle-solver and if it persistently fails to solve problems then the failure of existing rules will lead to a search for new ones.

The second assumption of positivism is that the observations used to test the validity of knowledge claims are value-free (Borg et al., 2003). The belief lies in the fixed reality that the truth is out in the world and the researcher can discover it by a scientific study that is generally consistent across settings and time. This implies that if the observations are not value-free then the findings from the scientific study may reflect the values of the researcher rather than reality that is true about the world. Similar sentiments were expressed by Van Rensburg (2001:14) when he opines that,

> *Educators and others working in the social contexts argue that many aspects of social life cannot be measured but are still important to research. What you cant measure still exists…..a deterministic view of human beings as rather passively affected by factors, an objectivist approach to facts which is simply oblivious to the way in which assumptions of research and research framework frame the design*

> *and research outcomes, a tendency to preserve the status quo as the research design has no transformative potential.*

The third assumption of positivistic science that has been criticized, as Borg et al., 2003) attest, is its requirement that tests of knowledge claims be restricted to observable phenomena. Many of the phenomena of interest to educational researchers, however, are not directly observable. Phenomena such as intentions, feelings and cognitions of individual persons are not observable.

The final assumption of positivism is that the world out there is generally consistent across settings and time periods, which implies that if the researcher tests a knowledge claim in one setting and find support for it, they are likely to feel confident that the knowledge claim will be true in other places and other time periods (Borg et al., 2003). The underlying assumptions of positivism include the belief that the social world can be studied in the same way as the natural world, that there is a method for studying the social world that is value-free, and that the explanations of the casual nature can be provided (Mertens, 2005). Reichardt & Rallis (1994), however reveal that this type of logical positivism was discredited shortly before the World War 2 and was replaced by postpositivism which is discussed in the next section.

3.2.3 Postpositivism

The flaws found in the assumptions of positivism led to the revised view of what constituted legitimate scientific inquiry and led to the formation of postpositivism (Borg et al., 2003). Embracing the postpositivism's assumptions, Cook & Campbell (1979) cited in Mackenzie & Knipe (2006:3) declare,

> *We share the postpositivist's belief that observations are theory-laden and that the construction of sophisticated scientific apparatus and procedures for data presentation usually involve the explicit or implicit acceptance of well-developed scientific theories, over and above the theories being tested. However we reject the position that observations are laden with only a single theory or paradigm.*

Postpositivism reflects a deterministic philosophy in which causes probably determine effects or outcomes (Creswell, 2003). Since evaluation in education began in the postpositivist paradigm and is usually allied with the need for information for decision making about situations (Mertens, 2005) the study adopted this approach. Previously, Ralph Tyler used postpositivism to develop the objectives-based model for evaluation and Malcolm Provus to develop the discrepancy evaluation model (Stufflebeam & Shinkfield, 2007). Nieuwenhuis (2007:65) theorizes that "researchers working within a postpositivist paradigm follow critical realist ontology. The crux of critical realism is that all knowledge is fallible, but not equally fallible". In other words these researchers believe that knowledge does exist but can never be perfectly understood.

Nieuwenhuis (2007) is of the opinion that objectivity in postpositivism is recognized as an ideal that can never be achieved, and research is conducted with great awareness of subjectivity. O'Leary's (2004:6) definition of postpositivism aligns in some sense with the interpretivists paradigm claiming that postpositivist see the world as ambiguous, variable and multiple in its realities-"what might be the truth to one person or cultural group may not be the truth for another". Postpositivist methods in evaluation research therefore are empirically grounded, and research objectives are aimed at assessing the effectiveness and efficiency of interventions (Kim, 2002). The current expansion of evaluation research among positivistic researchers reflects their increasing awareness to ensure the feasibility and utility of interventions formulated from research (Borg, Gall & Gall, 2003).

Since the postpositivist paradigm shows promise of yielding important new knowledge about education, it was used in this study as it can possibly to contribute new knowledge on the implementation of performance appraisal in order to ensure quality in education. In addition, the combination of quantitative and qualitative research designs enabled the researcher to carry out surveys among the subjects of a large sample to establish the trends and patterns and small groups for in-depth understanding of the phenomena under study (Van Rensburg, 2001). The major limitation of the postpositivist paradigm though is the length of time involved in data collection which stems from two

mini-separate research studies that run parallel up to the interpretive stage where they finally integrate.

The researcher adopted the postpositivist paradigm firstly, because of its ability to develop researcher's experience in evaluating the PAS. Secondly, the researcher employed this paradigm because it allows the use of both qualitative and quantitative methods which permits the researcher to use questionnaires and also interview respondents in their natural environment. The adoption of the postpositivist paradigm assisted the researcher in quantifying data collected from teachers, Heads, Education officers and Public Service Inspectors so as to interpret different meanings from their perceptions on the implementation of performance appraisal at primary schools. The researcher believes that issues of subjectivity could be reduced or minimized through the use of the postpositivist paradigm. This stance is supported by Seale, (2002) cited in Nieuwenhuis, (2007:65) who contends that postpositivism is a useful paradigm for researchers who maintain an interest in some aspects of positivism such as quantification, yet wish to incorporate interpretivists concerns around subjective and meaning, and who are interested in the pragmatic combination of qualitative and quantitative methods.

3.3 RESEARCH DESIGNS

According to Denzin & Lincoln (2005) and Johnson (2008) the research design is the blue print for conducting a study. A research design is the plan or strategy which moves from the underlying philosophical assumptions to specifying the selection of respondents, the data gathering techniques to be used and the data analysis to be done (Maree, 2007). In Yin's (2009) view, the design is the logical sequence that connects the empirical data to a study's initial research questions and ultimately, to its conclusion. This means that this logical plan allows researchers to navigate their way from the first point of their study to the end of the road when they present their findings and make recommendations.

3.3.1 Mixed Methods

This study adopted the mixed methods which is viewed as a class of research where the researcher mixes or combines qualitative (QL) and quantitative (QN) research techniques, methods approaches, concepts or language in a single study (Creswell, 2007). The mixed methods study involves the collection and analysis of both qualitative and quantitative data in the research methodology of a single study in which the data are collected concurrently or sequentially and involve the integration of the data collected, make analysis and inferences at one stage or more stages in the process of the research (Fielding & Fielding, 1986; Creswell, 2007; Happ, 2009; Johnson, Onwuegbuzie, & Turner, 2007). Its aims and benefits appear rather simple: take the best of QL and QN methods and combine them (Bergman, 2008)

Mixed methods were used because they provide the best opportunity to address the questions set, or specific sub-facets of the research topic. The growing tendency is to combine the use of different methods and different research strategies within individual investigations, playing to their respective strengths and compensating for their respective weaknesses, in order to achieve the most robust and valuable findings that are possible under the circumstances (Denscombe, 2001). The findings are brought to life, make clear sense, are persuasive and interesting when reported qualitatively (Stufflebeam, 1999). In collaboration with the above scholars are Briggs & Coleman, (2007) who say mixed methods may be used to specific sub-facets of the research topic. Quantitative data generally is in numerical form, often derived from questionnaires or structured interviews while qualitative data is descriptively presented from observation or unstructured interviews.

The Mixed Methods approach, which was employed in this study, is grounded in the postpositivist paradigm. The postpositivist paradigms allows for combined application of both positivist and interpretive paradigms as complimentary partners, hence exploiting the advantages or strengths of both qualitative and quantitative research approaches and neutralize the biases and weaknesses. The researcher chose the mixed methods design for its appropriateness in assessing programme implementation as it allows for

formative and summative evaluation (Stufflebeam & Shinkfield, 2007). In using the QN method the researcher looked for standardized, replicable findings on a large data set while QL methods sought for elucidation of the programme's cultural context, dynamics, meaningful patterns and themes, deviant cases, diverse impacts on individuals and groups (Stufflebeam, 1999)

The advantage of using both QL and QN is that they provide cross-checks of different subsets of the findings and allow for a more comprehensive analysis of the research problem and comparison of data produced by different methods (Creswell, 2007; Denscombe, 2001; Maree, 2007; Stufflebeam & Shinkfield, 2007). Mixed methods can nourish research in these disciplines through the acknowledgment of the importance of context, recognition of both the particular and the general, identification of recurring patterns, development of insight into variation, seeking of multidimensional results that encompass both magnitude and lived experience, and achievement of neutrality balanced by advocacy (Greene, 2008). By using both QL and QN the research questions can be answered in a single study (Mertens, 2010) making the stakeholders have confidence in the overall findings.

In a mixed methods approach data collection can either be sequential or concurrent where sequential procedures require that QN and QL data be collected in phases, while concurrent procedures entail collection of both QN and QL data at the same time. In this study, the researcher collected data through the use of survey questionnaire and the qualitative in-depth case study method regarding the implementation of performance appraisal in the primary schools concurrently in order to save time and cut costs.

In this study the researcher also utilized the triangulation strategy. Triangulation is the process of using more than one source to confirm information: confirming data from different sources, confirming observation from different observers, and confirming information from different data collection methods in an attempt to get a true fix on the situation (Denzin & Lincoln, 2005; Silverman, 2010). It is a means for seeking convergence across qualitative and quantitative methods. Mertens (2010) also defines

triangulation as a vehicle for cross validation when two or more distinct methods are found to be congruent and yield comparable data.

The triangulation strategy therefore involves mixing approaches so that the researcher can obtain two or more perspectives on the phenomena under study. The resulting dialectic of learning flourish on the contrast between what seems patently obvious in interviews, and what seems to underline the stated discourse, what appears to be generally true in the survey, and what differences arise when comparing all these with official interpretation of the performance appraisal (Olsen, 2004). Triangulation was developed after researchers realized that all methods had limitations, hence felt that biases inherent in any single method could neutralize or cancel the biases of the other and is not a tool or strategy of validation, but an alternative to validation (Fink, 2002).

Quantitative data consequently was of assistance in assessing the qualifications, experiences, the training of educational personnel and the availability of resources to implement the appraisal system in schools. The main reason for adopting the concurrent triangulation design was to assess the implementation of the appraisal system as it is in primary schools. Different forms of data that were collected aided in the comprehensive understanding of the research question which was made possible by “use of a variety of methods” (Gorard & Taylor, 2004:7).

Guba & Lincoln (1998) however, no longer support the notion of triangulation because it implies that it is possible (or desirable) to find consistency across sources, which contradicts the notion of multiple realities. Other critics of triangulation lament that too little attention is paid to the issue it seeks to investigate in a specific way (Bloor, 2004). Fielding & Fielding (1986:33) contend that triangulation is faced with “extreme eclecticism”, while Silverman (2005:21) feels that “This casts great doubt on the argument that multiple research methods should be employed in a variety of settings in order to gain a ‘total’ picture of some phenomenon….”.

Despite the criticisms already alluded to, this study espoused the triangulation of data as multiple methods such as questionnaires, interviews, document reviews and focus

groups were used to collect data from multiple sources such as teachers, Heads, Education officers and Public Service Inspectors. Firstly, the data collected from a wide variety of sources using multiple instruments provided diverse views which allowed for greater accuracy in the findings. Secondly, the desire to gain insight about the phenomenon drove the researcher to triangulate the data. This stance taken is supported by Flick (2002) who asserts that the use of multiple methods, or triangulation, reflects an attempt to secure an in-depth understanding of the phenomenon in question. This study carried out an assessment of quantitative data and the case study for in-depth qualitative data concurrently. A summary of the research framework is shown in figure 3.1.

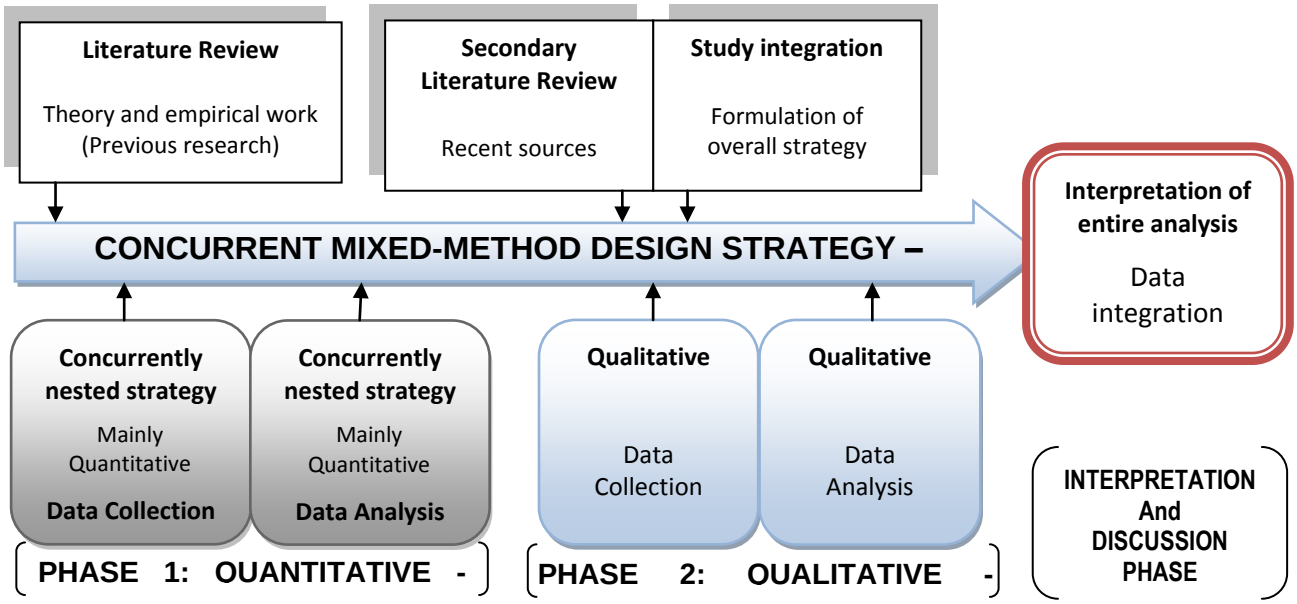

Figure 3.1: Study framework

3.4 RESEARCH APPROACH

3.4.1 Quantitative Research

Quantitative researchers attempt to be objective, meaning that they wish to develop an understanding of the world as it is 'out there', independent of their personal bias, values and idiosyncratic notions hence they strive to personally detach themselves from those

they study so that their observations are as objective as possible (Borg et al., 2003; Maree, 2007). Quantitative research thus is grounded in the positivist paradigm (Gibbons & Sanderson, 2003; Denscombe, 2001) and the researcher relies on numerical data to describe the trends and explain the relationships between the variables (Charles & Mertler in Maree, 2007; Borg et al., 2003). Quantitative research is defined, not just by its use of numerical measures but also that it generally follows a natural science model of the research process measurement to establish objective knowledge. According to Maree (2007) the quantitative researcher asks specific, narrow research questions or formulates hypotheses about the variables that can be observed or measured. The sample size is randomly selected from the large population to enable for generalisation of results to this population.

A properly conducted quantitative approach to assessing programme implementation has an advantage of permitting generalisation to a large group, even though sample representation may be smaller. While data in quantitative research is collected in numerical form, the research standards are maintained (Rao & Woolcock, 2003). Furthermore they add that carefully constructed questions in quantitative assessment can yield more understated issues such as heterogeneity in levels of participation in decision making across different groups. On the other hand, qualitative researchers have raised concerns about strictly using quantitative models for drawing conclusions that are often pragmatically irrelevant (Reichardt & Rallis, 1994), for employing methods that are overly mechanical, impersonal and socially insensitive (Muturana, 1991; Scott & Usher, 2002).

Quantitative researchers use pilot tested, self-developed survey questionnaire instruments to gather large-scale data from a sample of a large population in their effort to describe and explain the status of the phenomenon, to trace change and draw comparisons (Cohen, Manion & Morrison, 2000; Johnson, 2008; Maree, 2007). The survey questionnaires structured with open-ended, closed-ended and questions with pre-determined multiple choice responses were administered to seek respondents' perceptions on phenomenon under study. Quantitative data was collected from

teachers, Head-teachers, Education officers and Public Service Inspectors on their perceptions and knowledge of the implementation of performance appraisal at primary schools. The advantage of using the quantitative design is that it utilises numbers to ensure precision in measurement. While there is always some error in measurement, quantitative methods allow opportunity to assess the measurement error with some degree of confidence.

3.4.2 The qualitative research

Evaluation research is the systematic application of social research procedures for assessing the conceptualization, design, implementation and utility of social intervention programme (Rossi, Lipsey & Freeman, 2004). Qualitative research is fundamentally an interpretive inquiry process that is based on a naturalistic approach where a researcher develops a complex, holistic picture, analyses words, reports detailed views of informants and conducts the study in a natural setting (Creswell, 2007; Denzin & Lincoln, 1998).

Evaluation research carried out in the social science is about appraising human activities in a formal, systematic way that aims to better the lot of humankind (Rossi, Lipsey & Freeman, 2004). Meaningful programme research is defined by Patton (2002:22) as “a detailed description of situations, events, people, interactions and observed behaviour; direct quotations from people about their experiences, attitudes, beliefs and thoughts; extracts or entire passages documents, correspondence, records and case history”. Through this approach, the researcher was able to find out about what does and does not work, and how things work so that lessons can be learnt and taken forward in future attempts to improve the social world in which we live. It is broadly used to include any effort to increase human effectiveness though systematic data-based enquiry. When this examination of effectiveness is conducted systematically and empirically through careful data collection and thoughtful analysis, one is engaged in evaluation research (Patton, 2002). In carrying out this study the researcher identified most of the factors that influence performance appraisal in as far as making educators perform better in their daily duties towards achieving quality education.

The goal of qualitative research thus is to explore and understand a central phenomenon in its real-situation. The research questions are broad and general and seek to understand participants' experiences with the central phenomenon (Creswell, 2007; Maree, 2007). Qualitative data are empirical and involve documenting real events, recording what people say, observing behaviour of participants who are immersed in the natural setting of everyday life in which the study is framed (Maree, 2007; Neuman, 1997). In the current study, the researcher aimed at understanding the experiences and views that are as near as possible to how the participants lived. This is because, many policies developed in isolation from the available evidence, or initiated and continued in the absence of monitoring and formal evaluation of impact and effectiveness, may well be ineffective in meeting their primary or secondary policy objectives and in some cases may even have unknown and unexpected adverse consequences (Glukman, 2011). Accordingly, evidence-based approaches are needed for scientifically underpinned proof of the effectiveness, efficiency, quality and acceptance of political programmes and measures in all areas of society. This will lead to greater efficiency in the provision of public services.

Evaluation may be understood to be responding to various requirements. Firstly, it checks the effectiveness, efficiency and goal attainment of political, social and ecological programmes (Kardorff, 2004). Secondly, its results are expected to provide support in decision-making and to assist in better monitoring, higher rationality and improved quality of programmes, and provide arguments for a legitimate pursuit of goals and interests (Rossi et al., 2004). Thirdly, it is intended to promote, document and monitor desired social and intra-organizational changes and learning processes (Torres, Preskill & Piontek, 1997). Finally, evaluation should lead to a deeper understanding of the areas under investigation (Chelimsky & Shadish, 1997). The main strength in qualitative research is that it can offer the policy maker a theory of social action grounded on the experiences, the world view of those likely to be affected by the policy decision or thought to be part of the problem (Walker, 1985:19 as cited in Huberman & Miles, 2002:306).

Qualitative research has restrictions just like any other design. The assumptions are that using this design the researcher will have limited resources, little or no external funding available for a large-scale research study. Robson (2000:3) highlights these assumptions as being;

- Restricted in place to one locality rather than being regional or national;
- restricted in scope to one or at most two sites and programmes;
- restricted in time to less than six months;
- restricted in personnel to one evaluator or a small team;
- restricted in funding and resources.

While these restrictions may have an impact on the research design, the researcher might be comfortable with small-scale research. The restrictions highlighted by Robson may prove to be strengths. In a small-scale evaluation the researcher is able to develop a close relationship and work can be negotiated throughout the project with greater ease. Secondly the evaluation is likely to focus on the delivery of very specific local service making recommendations for improvement have greater chance of implementation (Hall & Hall, 2004).

In this study, the researcher adopted the implementation models to assess the training of teachers, the design, the implementation and utility of the performance appraisal system. The design used questionnaires, interviews, focus group interviews and documentary analysis. The justification of the choice of instruments used is discussed below. The main research question influenced the researcher to choose this evaluation design as it focused on the aims of the programme and it investigated the extent to which the intentions of the programme providers were realized. The evaluation report in turn commented on the effect of performance appraisal system on educators or its implementation.

3.4.3 Case Studies

A case study is an intensive description and analysis of a phenomenon or social unit such as an individual group, institution or community. It tends to be concerned with investigating many, if not all variables in a single unit and seeks to understand individuals' perceptions of events (Cohen et al., 2000; Yin, 2009).

The essence of a case study, is that it tries to illuminate a decision or set of decisions: why they were taken, how they are implemented, and with what result (Schramm, 1971 in Yin, 2009) The purpose of a case study, according to Cohen & Manion (2000) is to probe deeply and to analyze intensively the multifarious phenomena that constitutes the life cycle of the unit with a view of establishing generalization about the wider population to which that unit belongs. A case study provides a unique example of real people in real situations, enabling readers to understand how ideas and abstract principles can fit together (Nisbert & Watt cited in Cohen et al, 2000).

The choice of this research design was influenced by the nature of the problem, the sample and epistemological position of the study. The case design enabled the researcher to get immersed with the participants and get an in-depth detailed understanding of patterns and trends emerging from the survey stage. It also enabled the researcher an appropriate opportunity to better understand the dynamics (Creswell, 2007; Denscombe, 2001; Maree, 2007). This type of research design enabled the researcher to assess the respondents' nature of implementing the performance appraisal and it unravelled the attitudes and perceptions of teachers and heads towards the process.

Lang (1993:140) states that, "The case study, is the method of choice for studying interventions or innovations, and education is replete with these". The case study is preferred in examining contemporary events. According to Yin (2009), a case study method has a distinct advantage when a "how" or "why" question is being asked about a contemporary set of events over which the investigator has little or no control. Merriam (1988) defines the case study as an examination of a specific phenomenon such as a programme, an event, a person, a process, an institution or a social group. She further

states that a case study is a design particularly relevant to situations where it is impossible to separate the phenomenon's variables from their context.

The individual school is the unit of analysis, or the "case" for the purpose of the study. The unit constitutes a "bounded system" or "an instance drawn from a class" using the terminology of Merriam (1988). Since there is enormous potential for schools to differ, by virtue of mission, ethos, clientele, and the personalities which constitute the administration and staff generally, all of which in turn constitute the context in which appraisal takes place, this study is envisaged as being a multi-site case study, that is, it involves two different schools, a P1 school and a P2 school (see Table 4.3). The findings were concurrently presented and analyzed with the survey design by way of triangulation. Leedy & Ormrod (2005) point out that the strength of the case study is that it is very useful for learning about situations which might be poorly understood like the case of the implementation process of the performance appraisal system in education.

3.5 STUDY POPULATION

The population is the entire group in which we are interested and which we wish to describe or draw conclusions about (Briggs & Coleman, 2007). The population in a research context is any target group of individuals that has one or more characteristics in common that is of interest to the researcher for the purpose of gaining information and drawing conclusions (Best & Kahn, 2003; Tuckman, 1999). Concurring with the above scholars are Czaja & Blair (2005) who confirm that the population is the group or aggregation of elements that we wish to study, the group to which we want to generalize the results of the study. The population depends on the research problem, what we want to study and what we want to know.

The target population in this study comprised primary schools, teachers, school heads, Education officers and Public Service Inspectors in the Bulawayo Metropolitan Province in Zimbabwe. The population was chosen because it included programme participants who can provide information that may not be available from other sources. From this population, the researcher was able to decide who the most knowledgeable

respondents are (also known as informants) that can provide accurate information about the phenomenon under study. Besides the respondents, it is essential to consider the geographic area we want the survey to represent from which a sample is drawn; hence the subsequent section defines what a sample is.

3.5.1 Sample

A sample is a small portion of the total set of objects, events or persons that comprise the subjects of the study. Macmillan & Schumacher (1993: 598) define the word "sample" as comprising a number of individuals selected from a population for study. It can be viewed as a subset of measurements drawn from a population in which the study is positioned (Denscombe, 2001; Cohen, et al., 2000).The process of deciding on a particular sample for particular entities in a study is called sampling (Leedy & Ormrod, 2005). Basically sampling is about deciding the place or site and the respondent or person from who the data will be collected (Punch, 2006).

It is important that a sample has to accurately reflect the characteristics of the population from which it is drawn. Another important factor brought in by Flick (2002) is that the issue of sampling is when the researcher decides on which persons to target so as to obtain relevant data. This calls for the researcher to understand the population well so that drawing a sample is an easy task. The major reason for sampling is feasibility as it may not be possible to collect data from the population. Ideally, one should select a sample which is free from bias. This is necessary as the type of sample selected greatly affects the reliability of the subsequent generalisations. The sampling of respondents and sites follows in the discussion.

3.5.2 Sampling the Research Sites

While there are a number of sampling strategies that can be used, researchers usually choose a sampling strategy such as probability, purposive, random, stratified, snowball, convenience sampling and many more depending on how well it fits in their research design. In this study the researcher purposively sampled twenty schools in Bulawayo

where the researcher handpicked the sites based on her judgement. Purposive sampling, according to Maxwell (1997:87) is a type of sampling in which, ‘‘particular settings, persons, or events are deliberately selected for important information they can provide, that cannot be gotten as well from other choices’’. Purposive sampling techniques are basically used in qualitative research (QUAL) based on specific purposes associated with answering research questions of the study (Teddlie & Yu, 2007).

The researcher purposively selected schools to include five Primary 1(P1); schools where children pay high tuition fees; five P2, schools where children pay low tuition fees; and five P3, schools with non-payment of tuition fees. Two schools were selected as case studies based on their performance at Grade 7 (see Table 4.3). The relevance of this information was that funding and acquisition of resources in the categories of these schools vary in line with their fee structures. This also assisted the researcher to establish the effects of resources to the implementation of performance appraisal system.

3.5.3 Sampling of the respondents

In mixed methods sampling, strategies involve the selection of units or cases for the research study using both probability sampling (to increase external validity) and purposive sampling (to increase transferability) (Teddlie & Yu, 2007). The quantitative phase employed the probability sampling techniques which involved ‘‘selecting a relatively large number of units from a population, in a random manner where the probability of inclusion for every member of the population was determinable’’ (Tashakkori & Teddlie, 2003a:713). Random selection ensures that whatever we find out about the sample can be generalised to the population (Bernard & Ryan, 2010). The probability sampling technique was used to sample12 heads and 36 teachers in schools in a random manner. A total of forty-eight participants responded to the questionnaire forming the sample of this study.

In the qualitative phase, purposive sampling was utilised where the researcher handpicked respondents on the basis of her judgement of their typicality (Cohen et al., 2006). The purposive sampling technique involves selecting certain units or cases "based on a specific purpose rather than randomly (Tashakkori & Teddlie, 2003a:713). Bernard & Ryan, (2010:365) assert that "purposive sampling is quota sampling without a grid" where one simply decides on the purpose the informants will serve, then take what they get. The researcher purposively sampled the Reigate District in the Bulawayo Metropolitan Province because it is the only district with a mixture of categorised schools.

Three Education officers and three Public Service Inspectors, who represent the three categories of schools, were interviewed. The researcher conducted interviews with three focus groups comprising seven teachers in each group from each category of the schools. An interview was also conducted with one school head per category of schools. Two schools were purposely sampled as case studies where the head and one teacher were respondents in each school. The data collection plan tabulated below shows how the sites and respondents were used to gather information for this study.

In focus group interviews, purposive sampling allows for data to be interrogated purposefully in order to carry out systematic comparison (Barbour, 2008). Krueger & Casey (2009) however feel that those researchers intending to use focus group interviews should not carry with them the traditions and procedures that were intended for qualitative studies. They argue that focus groups can be randomly selected to provide insights about how people in the groups perceive the situation (Krueger & Casey, 2009). For this study, the researcher purposively sampled the focus groups respondents from the three categories of schools so as to acquire a wide range of responses that would shed light on the experiences and challenges teachers faced on the implementation of the PAS. The table below shows how the data was collected from the respondents.

Table 3.1: Data collection plan from the sample

SCHOOL	TEACHER	HEAD	FOCUS GROUPS	INTERVIEWS
P1.1	Questionnaire	Questionnaire	Group one (FGA) Selected teachers from P1 schools	Head P1. Sch5
P1.2	Questionnaire	Questionnaire		DEO 1
Pl.3	Questionnaire	Questionnaire		PSC 1
P1.4	Questionnaire	Questionnaire		
P1.6				Case study Sch P1.6 Head & 1 Tr
P2.1	Questionnaire	Questionnaire	Group two (FGB) Selected teachers from P2 schools	Head P2. Sch5
P2.2	Questionnaire	Questionnaire		DEO 2
P2.3	Questionnaire	Questionnaire		PSC 2
P2.4	Questionnaire	Questionnaire		
P2.6				Case study Sch P1.6 Head & 1 Tr
P3.1	Questionnaire	Questionnaire	Group three (FGC) Selected teachers from P3 schools	Head P3. Sch5
P3.2	Questionnaire	Questionnaire		DEO 3
P3.3	Questionnaire	Questionnaire		PSC 3
P3.4	Questionnaire	Questionnaire		

3.6 DATA COLLECTION PROCEDURE

This study collected data from respondents in the identified sample as they were directly involved in the implementation of the performance appraisal system. Data was collected from the participants using 12 questionnaires directed to the school heads and 36 teachers. Face-to-face interviews were carried out with three school heads, 3 Education Officers and 3 Public Service Inspectors. There were three focus groups with 7 participants in each group. The researcher also carried out documents such as the appraisal form, Grade 7 results statistics and Minute Circulars from the MoESAC and the PSC. The researcher used a letter of introduction from the University of Fort Hare to seek permission to carry out the research from the Provincial Education Director of

Bulawayo Province. Permission was granted and the letter of introduction to the research sites was given to the researcher. The letter was used to access the respondents in the schools and offices. The purpose of the research was fully explained to the heads and an appeal was made to them to ensure that participants responded to the questionnaires in goodwill. A consent form was attached to each questionnaire which explained the rights of the respondent. These were hand delivered to the research sites and at the same time invitations for focus groups participants were also sent out. An agreement was set with the gatekeepers that the questionnaire would be ready for collection in ten days. Appointments for interviews and focus group discussions were made with relevant respondents.

3.7 DATA COLLECTION INSTRUMENTS

In choosing the appropriate instruments the researcher was guided by the nature of the research problem and the type of questions to be addressed. In addition, the choice of the paradigm and the research design also guided the researcher in adopting the instruments that were considered relevant to collect data that would address the key issues of the study.

3.7.1 Questionnaire

The questionnaire is the conduit through which information flows from the world of everyday behaviour and opinion into the world of research and analysis; it is our link to the phenomena we wish to study (Czaja & Blair, 2005). It is a document that contains questions designed to solicit information appropriate for analysis (Tuckman, 1999). The main purpose of a questionnaire is to gather as much relevant information related to the phenomenon under study as possible. Questionnaire issues include how many and what kind of questions need to be asked to adequately measure the concepts and achieve research objectives. In order to adequately respond to the research question, questionnaires can include open-ended as well as closed questions.

The strength of the questionnaire is in accessing, in a standardized format, high on reliability, a large number of respondents in a short period of time (Hall & Hall, 2004). The questionnaire allows for anonymity and privacy, which may encourage "more candid responses on the sensitive issues" (Babbie, 2006:236). The other advantage of the questionnaire is that it can be administered to many respondents in a large geographical area, making it possible to save time, finance and generally providing a higher percentage of usable responses (Best & Kahn, 2003; Cohen et al., 2000; Tuckman, 1999). A carefully constructed questionnaire receives positive attitude when administered, is easy to complete and does not demand too much of the respondent's time (Best & Kahn, 2003). It can provide a valuable summary of programme provision and impact.

The use of questionnaires has limitations too. Questionnaires do not necessarily provide much detail on processes (Hall & Hall, 2004) as open-ended questions can be ignored, as respondents just tick the boxes. The language may also be ambiguous causing respondents to give irrelevant information. However, the limitations were overcome by pilot-testing the instruments to remove ambiguity, to simplify the language and ensure the right questions were asked.

In this study, 12 heads and 36 teachers in 12 schools in the Redrup District[1] responded to the questionnaires which were used to solicit information addressing all the research questions. Through the questionnaires the researcher acquired the views of many respondents regarding the impact and challenges on the implementation; and the effectiveness of the PAS in enhancing quality education in primary schools. The respondents were also able to advance their proposition on the success of its implementation and sustainability. Giving respondents a specified period to complete the questionnaire and making follow ups, assisted the researcher to ensure most of the questionnaires were returned. This helped to avert the problem that usually arises with the use of questionnaires where a large number are not returned by the respondents (Maree, 2007).

[1] Not real name

3.7.2 Interviews

An interview is a face to face confrontation between the interviewer and the participant or a group of respondents (Wiersma, 2000). As a research instrument, the interview is unique in that it involves the collection of data through direct verbal interaction between individuals (Borg, et al., 2003). Guba & Lincoln (2005) posit that interviews are used when it seems the members of the target population are unlikely to respond to a written survey, when the respondents may not answer difficult or sensitive questions unless an interviewer is at hand to encourage them, or when evaluators are not all that sure what is most important to potential respondents. Tuckman, (1978) in Cohen et al. (2000:268) supports this idea by saying that "By providing access to what is "inside a person's head, (it) makes it possible to measure what a person knows (knowledge or information), what a person likes or dislikes (values and perceptions), and what a person thinks (attitudes and beliefs).

The strength of the interview approach is in the richness and depth of information, high on validity, where the outcome is not predetermined by the researcher, and where the interviewee can provide a narrative on the process of interaction (Hall & Hall, 2004). The researcher was able to solicit relevant information, the response rate was high, the respondent were able to understand what was being asked, and the respondents were more relaxed as the interviews took place in their territory. The interviews lasted for thirty to forty minutes depending on the interviewee as some were more elaborative than others.

The researcher used a semi-structured interview to solicit data from the respondents as it allowed respondents to express themselves at some length, but offered enough shape to prevent aimless movement (Yin, 2003:88). Semi-structured interviews are based on an interview guide- a list of questions and topics that have to be covered (Bernard & Ryan, 2010). Bernard & Ryan further postulate that the interviewer covers each topic by asking one or more questions and using a variety of probes (like "Tell me more about that") and decides when the conversation on the topic has satisfied and the research objectives (Cannell & Kahn, 1968:527 cited in Bernard & Ryan, 2010). The strength of

the semi-interviews lies in their flexibility because they allow the interviewer to modify the order and details of how the topics should be covered (Bernard & Ryan, 2010; Maree, 2007)

The limitations of interviews are that they are costly in terms of transport as they compel the researcher to travel; and costly in terms of time, the process can be longer than expected (Czaja & Blair, 2005). In addition, in a face-to-face interview, respondents are likely to modify their behaviour so that they give responses they believe the interviewer wants to know and they may tend to over report socially desirable behaviour. However the researcher was able to overcome this limitation by assuring the respondent that this interview was purely for research purposes, no victimisation would follow and pleaded with the respondents to be as forthright as possible. The issue of travelling costs and time factor were addressed by choosing sampling sites that did not require travelling costs and choosing willing respondents. Interviewer bias tends to be very high in face to face interviews (Cohen et al, 2006). The interviewer can reduce the biases by adhering to the research ethics and data that was collected from the respondents.

Despite the flaws identified in the interviews, the researcher chose to use the interviews; as the interview, “is a two person verbal conversation initiated by the interviewer for the specific purpose of obtaining research relevant data focused on content specified by the research objectives” (Payne & Payne, 2004:129; Robson, 2002:18). In order to obtain verbatim accounts of the interview, the researcher tape-recorded the interviews. This also assisted in eliminating omissions in the interview. Face to face interviews were ideal for this study in that they unravelled deep rooted concerns of teachers, heads, Education Officers and Public Service Inspectors about the performance appraisal in relation to quality education.

3.7.3 Focus groups

Morgan (2002) in Briggs & Coleman (2007) defines focus groups as a research technique that collects data through group interaction on a topic determined by the researcher. It is a carefully focused discussion designed to obtain perceptions in a

defined area of interest, in a permissive, non threatening environment, from a predetermined and limited number of people (Krueger & Casey, 2009). They further posit that focus group interviewing is about paying attention, being open to what people have to say and being non-judgmental. Focus groups offer unique insights into the possibilities of or for critical inquiry as a deliberative, dialogic, and democratic practice (Denzin & Lincoln, 2005). Flick (2007) asserts that any group discussion may be called a focus group as long as the researcher is actively encouraging of, and attentive to, the group interaction.

The purpose of conducting a focus group in this study was to listen and gather information that was related to the phenomenon under study. Through the focus groups the researcher was able to understand the views, the feelings perceptions and opinions of participants about the programme under study. Lively conversation among focus groups participants can elicit information that paints a portrait of combined local perspectives helping the researcher to see how it “all fits together” (Duncan & Marotz-Baden, 1999). Participants in focus groups sessions are generally allowed to say anything and are considered to be naturalistic (Krueger & Casey, 2009).

A focus group interview is an inexpensive, rapid appraisal technique that can provide managers with a wealth of qualitative information on performance of development activities, services, and products, or other issues (USAID, 1996). The process is facilitated by the researcher, who is able to probe deeply and obtain information about different perspectives, experiences, feelings, and preferences about the phenomena under study (Wolfson, 2007). The advantages of this method include the creation of an open forum for discussion and brainstorming that provides insights into public discourses and the researcher can obtain input from the stakeholders who are usually not consulted in a more reactive manner (Kitzinger, 1999; Wolfson, 2007).

In the first encounter with the focus groups, the researcher assured them that the discussion was purely for research purposes and reminded them that they were free to withdraw from the group should they feel uncomfortable. The researcher and participants engaged in a friendly chat to establish a rapport within the group. This

approach assisted the researcher to improve the interaction within the group. In this case, the researcher needed to create an environment that was conducive to the participants after which, they were asked to share ideas, experiences and perceptions about the PAS and PRP. Krueger & Casey (2009) alluded to this idea when they wrote,

> *Paying attention to what people have to say and being non-judgmental. It is about creating a comfortable environment for people to share. It is about being careful and systematic with the things people tell you. And people go away feeling good about having been heard (pp.xiii).*

It is through this discussion that the researcher gained insight knowledge into the performance appraisal system itself. Issues and question raised during the discussions addressed all the research questions and objectives.

This technique has several advantages. It is low cost and provides speedy results. Its flexible format allows the facilitator to explore unanticipated issues and encourages interaction among participants (Czaja & Blair, 2005). In a group setting participants provide checks and balances, thus minimizing false or extreme views. The group interactions during the focus group discussions were productive in widening the range of responses, activating forgotten details of experience and releasing inhibitions that may otherwise discourage participants from disclosing information about how PAS and PRP were being implemented in the schools (Maree 2007).

Focus groups however have some limitations too. The flexible format makes it susceptible to the researcher bias, which can undermine the validity and reliability of findings and discussions can be sidetracked or dominated by a few vocal individuals (USAID, 1996). Focus group discussions do not always work as they should because they are susceptible to personalities and organisation politics that interfere with the process (Wolfson, 2007). This weakness was addressed by forming a group comprising of knowledgeable teachers working in neighbouring schools and were familiar with each other.

3.7.4 Document Analyses

Documentary analysis is a form of qualitative analysis that requires readers to locate, interpret, analyze and draw conclusions about evidence presented (Briggs & Coleman, 2007). Governments produce many official documents, such as policies, enquiry reports, circulars and Statutory Instruments. Schools also produce documents like the mission statement, minutes of meetings and pass rate schedules. In this study documents such as circulars, the Statutory Instrument, pass rate schedules, performance appraisal forms, reports and results from national examinations were analysed to solicit information.

From these documents the researcher was able to establish interpretations and explanations that formed the basis of alternative arguments. Grade seven results were relevant to this study because they indicated the change that could have taken place over time because of the performance appraisal system. Results are seen to reflect an appropriate statement about quality achievements by the learners on an objective set of criteria which are not influenced by local condition. Reports on courses aimed at addressing teachers' developmental needs were also analysed. Nevertheless, while it may be easy access to documents from schools and the district education office, it was an uphill task to access documents from the government pertaining to the introduction of the PAS and the PRP, and the training of education personnel. This could have been due to the high staff turnover Zimbabwe experienced over the years.

3.8 VALIDITY AND RELIABILITY

3.8.1 Validity

The concept of validity tells us whether an item measures or describes what it is supposed to measure or describe (Bell, 1999). Validity is an essential requirement in qualitative and quantitative research. Denzin & Lincoln (1998) emphasize the central importance of validity within positivist paradigms. The issue of 'validity' is important and is often related to the 'worthwhileness' and quality of the research and the degree to

which it can legitimately lay claim to an accurate representation of the 'object' or phenomenon under study (Thomson, 2008). How one ensures validity, particularly in qualitative, interpretive research, is constantly open to debate, and a range of different and contentious positions can be identified in the literature. Hammersley (1992), cited in Cohen and Manion (2000:107) suggests that "validity in qualitative research replaces certainty with confidence in our results, and that, as reality is independent of the claims made for it by researchers; our accounts will only be representations of that reality rather than reproductions of it". Others argue for "authenticity" and "understanding" as more suitable terms than 'validity'.

In order to ensure validity in this study the researcher pilot tested the questions in the questionnaires and the interview schedules on non-participating members of the population. By carefully listening as the participants responded to the instruments, observing how they answered the questions, helped the researcher managed to clarify the areas of ambiguity and assess if the questions adequately addressed the research questions (Krueger & Casey, 2009).

3.8.2 Reliability

Reliability is the extent to which a research instrument is repeatable and consistent (Murphy & Davidshofer, 2005; Creswell & Plano Clark 2007). Lincoln & Guba, in Maree, (2007) argue that there is no validity without reliability hence a demonstration of validity is sufficient to establish reliability. Cohen et al., (2000:117) speculate that reliability is "essentially a synonym for consistency and replicability over time, over instruments and over groups of respondents. It is concerned with precision and accuracy". Reliability can therefore be viewed as a measure of consistency over tine and over similar samples. A reliable instrument will yield similar data from similar respondents over time, if the same methods and instruments were to be used.

A reliable research is characterized by the production of similar results when carried out on a similar group of respondents in a similar context. Use of simple language that is well understood by the respondents as well as pre-testing the questions on a smaller

percentage of respondents assisted the researcher to assess the reliability of the instruments with the quantitative research. Pre-testing gave respondents the chance to clarify certain issues that seem ambiguous to them, and after the interview the researcher was able to read the response to the respondents so as to ascertain the authenticity of the recorded responses.

In order to ensure reliability, the researcher made use of a voice tape recorder to capture the responses during the interview. This step is captured clearly by Cohen et al., (2000) who say qualitative researchers can ensure the retest reliability of their analysis by maintaining meticulous records of interviews and observations, by documenting the process as it occurs in its natural setting with a high degree of accuracy and comprehensive coverage.

3.8.3 Trustworthiness

Kincheloe & McLaren, (1998) reject 'traditional' validity as unhelpful for 'critical' qualitative research. They concur with Bassey, (1999) in advocating the alternative concept of 'trustworthiness'. Trustworthiness is a means to support the arguments that the inquiry's findings are "worth paying attention to" (Lincoln & Guba, 1985:290). Flick (2002) argues that qualitative researchers need to be as vigilant as positivist researchers about ensuring the validity and reliability of their studies, even if they choose to use other terms such as credibility and authenticity, to describe the qualities that establish the trustworthiness of their studies. Concurring with the above scholars are Guba & Lincoln, (2005) who also suggest the use of trustworthiness as a criterion for evaluating qualitative research.

Trustworthiness consists of four criteria namely credibility, meaning the relationship between the findings and collected data; transferability, whether findings can justifiably be transferred to other contexts; dependability, is the assurance to the people about the findings from the raw social context; and conformability, ensuring public that action were appropriate and without biases (Lee & Lings, 2008). Trustworthiness in this study was ensured through member checking.

3.8.4 Member checking

According to Guba & Lincoln (1989) checks relating to the accuracy of data may take place “on the spot” in the course, and at the end of the data collection dialogues. Member checking is basically affording the respondents the chance to check (to approve or disapprove) particular aspects of the responses they provided (Doylet, 2007; Merriam, 1988). It is a way of finding out whether the data analysis is harmonious with the respondent’s experiences (Curtin & Fossey, 2007:92). Member checking is the most effective way of eliminating the possibility of misrepresentation and misinterpretation of the “voice” (Maxwell, 1996). It is important that the researcher ensures credibility and reliability of the data collected and this can be done through member checking or feedback from participants. In member checking respondents may be asked to edit, clarify, elaborate and at times delete their own words from the narratives if they are not comfortable with the recording. The use of a tape recorder enhanced credibility and reliability of the study (Schumacher & MacMillan, 2001). The researcher played back the recorded responses to the respondents for them to confirm that what was recorded was what they actually said and meant. It also gave the researcher the opportunity to collect more information to enrich the study as respondents made additions.

3.8.5 Pilot-testing

A pilot study is the pre-testing or trying out of a particular research instrument (Baker, 1994) Pilot testing is necessary to determine if the ways in which respondents understand questions are relatively similar across the group and whether the information is easily accessible to respondents. It is necessary to ensure that the items are such that responses correlate to what the study intends to measure (Collins, 2003). Pilot studies can be based on quantitative and /or qualitative methods and large scale studies might employ a number of pilot studies before the main survey is conducted (Tashakkori & Teddlie, 1998). One of the advantages of o conducting a pilot study is that it might give advance warning about where the main research project could fail, where the research protocols may not be followed, or whether proposed methods or

instruments are appropriate or too complicated (De Vause, 1993). A pilot study was conducted to check the validity of the questionnaires and at the same time it involved the use of in-depth interviews and focus groups to establish the issues that were addressed in a large scale questionnaire survey.

3.9 ETHICAL CONSIDERATIONS

The main goals of research code of ethics are to support sound and ethical practice in the conduct of public opinion research and in the use of research for policy and decision making in the public and private sector, as well as to improve public understanding and the proper use of opinion research results (Czaja & Blair, 2005). Moral and ethical codes apply equally to quantitative research methods as to research based on qualitative data (Briggs & Coleman, 2007). In conducting this study, the researcher observed the rights of the participant by seeking their permission before involving them in the research. The researcher promised to observe all their rights including the right to withdraw from participating in the study at any stage and observed the ethical considerations as stated by Rule E5 in the University Of Fort Hare Faculty Of Education Handbook (2010). The observed ethics are discussed in the next section.

3.9.1 Protection from Harm

The foremost rule of ethics is that participants should not be harmed in any way, physically or psychologically. Ethik-Kodex, 1992:1B (cited in Flick et al., 2004) elaborates that people, who are observed, interviewed or who are involved in any way in the research process, or analysis of personal documents shall not be subject to disadvantages or damage as a result of the research. Physical harm in educational research may seem to be minimal; there can be traces of victimisation since employees sign the official Secrecy Act as the case is in Zimbabwe. In conducting this study the researcher avoided exposing information about individuals, sites or groups. After obtaining permission to carry out the study the researcher established rapport and

addressed any reservations that respondents had in giving out earnest views, opinions and responses. Respondents and sites were coded to conceal identity.

3.9.2 Informed Consent

When carrying out a research, it is important that the researcher gives the respondents adequate information about the research that is relevant to their decisions to assist in the research and should be in a language they are familiar with. The emphasis on informed consent arises from the fundamental democratic rights to freedom and self-determination (Cohen et al., 2000). On the same concern Ryen (2002) talks of codes and consent which mean that research subjects have the right to know that they are being researched, the right to be informed about the nature of research and the right to withdraw at any time. There may be risks involved to participants in any research which then compels the researcher to try by all means to protect them from any harm and violation of privacy, by ensuring that participants are fully aware of those risks and give the researcher informed consent. In this study, the researchers explained the nature and purpose of the study and obtained written consent from those respondents who were willing to participate. The respondents were assured that their participation was by choice and that they had the right to withdraw anytime during the research; a right that the researcher respected throughout the research process.

3.9.3 Confidentiality and Anonymity

Cohen et al., (2000) argue that this is a matter of protecting the rights of the participants; maintaining privacy, anonymity and confidentiality, and avoiding harm, betrayal and deception. On the issues of anonymity and confidentiality in this study the researcher used pseudonyms or coded the respondent and disguised the research site so as to reduce harm. While it can be argued that it may also not be full proof as they may be recognised by insiders, the researcher avoided statements that could be linked to an individual.

3.10 DATA ANALYSIS PROCEDURES

Analysis involves organising raw data into a system that reveals the basic results from the research. Data should be arranged, ordered, and presented in some reasonable format that permits decision makers to quickly detect patterns in the data (Patton, 2002). Data analysis can take qualitative or quantitative forms where the balance of concerns may differ between approaches, but the essential components remain the text, the audience and the diarist. Quantitative research tries to make better sense of the world by using numbers which represent aspects of the observable, physical world, and in this case, the number of people engaged in the implementation of the PAS (Leedy & Ormrod, 2005). Data that was presented in numerical form assisted the researcher to summarize attitudes, activities and make comparisons so as to explain the phenomena under study.

In qualitative research, Wolcott, (1994) cited in Leedy & Ormrod, (2005) suggests that information obtained is organised in a chronological order, describing the daily life of the group, focusing on critical events that describe the story. Data is categorised according to their meaning, revealing patterns, regularities and critical events. In this mixed methods study, the researcher used the concurrent strategy to analyse both quantitative and qualitative data. Triangulation was used to interpret quantitative and qualitative data once all the data had been collected, captured, processed to produce a condensed result report.

Quantitative data was analyzed in quantifiable performance variables using tables, frequencies and percentages. Qualitative data mainly consisted of verbatim transcriptions of interviews and discussions. Through this detail, the researcher identified the categories that were then clustered into meaningful groups or themes. Since this was an evaluation, the researcher sought to appraise the effectiveness of PAS hence the analysis attempted to address the following questions as suggested by Huberman & Miles (2002;307);

- How were the objectives achieved;
- What affects the successful delivery of the PAS;

- How did the experiences affect the subsequent behaviour of teachers; and
- What barriers exist in the operation of PAS

Huberman & Miles (2002:314) went on to suggest that devising and refining thematic framework is not an automatic or mechanical process, but involves both logical and intuitive thinking. Furthermore it involves making judgments about meaning, relevance importance of issues and implicit connection between ideas.

Since piecing together the overall picture in data analysis is not a question of aggregating patterns, the researcher had to combine a number of techniques in order to come up with specific meaning in relation to the phenomenon under study. However the researcher had to maintain consistency and honesty in reporting the findings.

3.11 SUMMARY

This chapter outlined the methodology adopted by the study. The chapter discussed the research paradigms, research approach and design, population and sampling procedures. The study adopted the mixed methods design that enabled the use of various data collection instruments. Data was collected through questionnaires, face to face interviews, focus groups interviews case studies and document analysis to solicit information on the implementation of PAS in primary schools. Data analysis procedures including frequency tables, themes and use of triangulation was discussed. Purposive sampling procedures for sites and respondents were adopted in this study. A detailed account of how the researcher adhered to the ethical considerations was given. The focal point of the next chapter is the actual data presentation, analysis and discussion.

CHAPTER 4

DATA PRESENTATION, ANALYSIS AND INTERPRETATION

4.1 INTRODUCTION

This chapter presents data under the following sections: biographical characteristics of the respondents, the extent of goal achievement, issues on implementation, competence, performance related pay, quality education and the impact of the performance appraisal in the education system. Quantitative data which was collected through self-administered questionnaires which had closed and open-ended questions is presented using frequency distribution tables. Closed questions are presented in frequency tables while the open-ended questions are analyzed thematically. Quantitative data that was collected from 36 teachers and 12 heads is presented concurrently.

Qualitative data was collected from 23 teachers, 5 heads, 3 Education Officers and 3 Public Service Inspectors. Face-to-face interviews and focus group discussions were used to gather information relevant to the study. Respondent reacted to semi-structured interviews and during discussions their responses were captured on the voice recorder and in transcript form. Documents such as Minute circulars from the PSC and from the MoESAC, the Appraisal form and the statutory instrument were analysed. Data was collected concurrently hence presentation and analysis took on a similar stance. This data is a response to the following sub-research questions:

> How is the performance appraisal system being implemented in the primary schools?
>
> How has the performance appraisal system developed teacher competencies at primary school level in the Bulawayo Metropolitan Province?

What motivation have the educators derived from the performance related remuneration/appraisal system?

From the perspectives of the educators, what have been the strengths and weaknesses of the performance appraisal system?

How has the performance appraisal system utilized the strengths and improved the weaknesses exhibited by teachers in enhancing quality education and teachers' professional growth?

How effective is the performance appraisal in ensuring quality education at primary schools in the Bulawayo Province?

What intervention strategies can be employed to improve the implementation of the performance appraisal system at primary school level?

The chapter commenced by presenting the biographic characteristics of surveyed respondents and the profile of interviewed respondents. The following section presents and analyzes data collected through questionnaires, focus groups and face to face interviews. The profile of research sites presented also indicates the diversity of school resources in education and how that impacts on the implementation of teacher performance appraisal.

4.2 BIOGRAPHIC DATA ON SURVEYED AND INTERVIEWED RESPONDENTS

The researcher was interested in the respondents' characteristics such as gender, age, academic qualifications, professional qualifications, their experience in the education system and their knowledge and experience in implementing the performance appraisal system and the performance-related pay system. This information gave the researcher an overview of the calibre of the personnel, their knowledge and level of understanding of the phenomenon under study. Table 4.1 below outlines the profile of the surveyed respondents. Data was collected from 12 school heads and 36 teachers through survey questionnaires that had closed and open ended questions.

Table 4.1: Characteristics of respondents in the survey

Variables	Description of variables	Teachers n=36	Heads n=12
		%	%
Gender	Male	16.7	42.7
	Female	83.3	58.3
Age	20 - 29 yrs	11.2	0
	30 - 39 yrs	25	8.3
	40 - 49 yrs	44.4	8.3
	50 – 59 yrs	19.4	66.7
	60 - 69 yrs	0	16.7
Academic qualifications	"O" Level	92.7	91.7
	"A" Level	8.3	8.3
Professional qualifications	Certificate/Diploma in Education	77.8	41.7
	Honours degree	2.8	0
	Bachelor of Education	13.8	50
	Masters in Education	5.6	8.3
Experience	1-10 yrs	32.2	15
	11-20 yrs	30.6	25
	21-30 yrs	27.7	25
	31+ yrs	5.5	35

Data in the table indicates that the sample comprised of two groups: classroom teachers and school heads. The sample consisted of 83.3% female teachers and 58.3% female heads. There were only 16.7% male teachers and 42.7% male heads. From this data, it seems gender imbalance is prevalent in urban schools where females outnumber the males.

Data also indicated that the majority (44.4%) of teacher respondents were in the age range of 40-49 while the majority (66.7%) of head respondents were in the 50-59 age range. It appears that the majority of schools are managed by mature heads and staffed with mature teachers who are considered stable in the service. The majority (92.7%) of teacher respondents and 91.7% head respondents had "O" Level certificates while a minority of 8.3% in both groups had "A" Level certificates.

In this study, the researcher was interested in the professional qualifications as the participants based on the assumption is that, the more educated people are, the more they understand the policies and are able to evaluate the programmes to assess how beneficial they are to them. It emerged that 77.8% teacher respondents and 41.7% head respondents held a Certificates/Diplomas in Education which is awarded to all those who complete the teacher's training course. The table also shows that 13.8% of teacher respondents and the majority (50%) of head respondents hold B.Ed degrees while 5.6% teacher respondents and 8.3% head respondents had reportedly advanced themselves to attain a Master in Education degree.

Table 4.1 also shows that the majority (32.2%) of teacher respondents had between 1-10 years experience while 35% head respondents had 31+years of experience. The second part of this section explains the biographic characteristics of the interviewed respondents.

Table 4.2: Profile of respondents interviewed

Position	Code	Gender	Age	Aca Qual	Prof Qual	Length of service in office
Chief Provincial Inspector	P1	Male	50-59	"A "Level	B Pl. Ad	18yrs
Chief Provincial Inspector	P3	Male	50-59	"O" Level	M Ed Man	9yrs
District Inspector	P2	Male	60-69	"A "Level	M Ed	9yrs
District Education Officer	E1	Male	50-59	"O" Level	B Ed Agric	5 yrs
Acting District Education Officer	E2	Female	40-49	"A "Level	MEd (EAPPS)	6mths
Education Officer	E3	Male	50-59	"O" Level	MEd (EAPPS)	4yrs
Head	H1	Female	50-59	"O" Level	MEd (EAPPS	16yrs
Head	H2	Female	50-59	"O" Level	MEd (EAPPS	15yrs
Head	H3	Male	50-59	"O" Level	MEd(EAPPS)	13yrs
Case Study A Head Teacher	 CSA1 CSA2	 Male Female	 60-69 40-49	 "A "Level "O" Level	 BEd(EAPPS) DE	 29yrs. 17yrs
Case Study B Head Teacher	 CSB1 CSB2	 Female Female	 50-59 50-59	 "O" Level "O" Level	 MEd(EAPPS) CE	 17 yrs 25 yrs
Focus Group A	FGA	4M 3F	42,41,52,54, 44, 43, 45	7 "O"L	5 DE/CE 2BSc	16,13,12,22, 25,19,20yrs
Focus Group B	FGB	3M 4F	29,32,42,35, 48,37,40yrs	4 "O" L 3 "A" L	5 DE,1BSc 1 M Ed	4,6,8,8,15, 23,16yrs
Focus Group C	FGC	7F	40,52,61,40, 45,44,28	6 "O"L 1 "A"L	3DE,2Bed 1T4,1Bsc	7,13,14,15 16,19,41yrs

Table 4. 2 above shows the profile of the interviewed respondents, focus groups and case studies illustrating their distribution by gender, age, qualifications, experience and post of responsibility. It reveals that out of 11 sampled administration officers, the majority 63.6% were male while 36.4% were female. The Table also indicates that 90.9% were older than 50 years while only 9.1% were younger than 50 years old. Data also indicates that 91.7% of the interviewed respondents hold “O” Level certificates while 8.3% hold “A” Level certificates. As mentioned earlier training to be a teacher or employment in education is based on having a full “O” Level certificate.

Data also reveals that 72.7% of the interviewed administration officials had Masters of Education degrees while 27.3% respondents had Bachelor of Political Administration degrees. It also reflects that 45.4% respondents had between 1-10 years of experience; another 45.4% had between 11-20 years of experience while 9.2% had 21-30 years experience. Data indicates that the majority of personnel in administrative posts are mature and experienced

Data indicates that the focus groups were composed of 66.7% female and 33.3% male. From the focus groups and case studies, respondents 8.7% were in the age range of 20 – 29 years; 13% were in the age range 30 – 39 years; the majority (56.6%) were in the age range of 40-49 while 4.3% is in the age range 60-69. It emerged that the majority (82.6%) had “O” Level certificates while 17.4% possessed “A” Level certificates. For their professional qualification, data indicates that the majority (65.2%) hold CE/DE certificates; 26% hold B Ed / B Sc degrees; 4.4% hold an M Ed degree while 4.4% did not upgrade themselves and have remained with a T4 Infants certificate. It appears that 21.7% had 1-10 years experience; the majority (56.5%) had 11-20 years experience; 17.4% had 21-30 years experience while 4.4% had 41-50 years of experience.

The biographic data of respondents in both the survey and interviews shows that there are more females than males in schools and more males than females in administration posts. The majority (85.4%) of the interviewed respondents possessed “O” Level academic certificates while 14.6% hold “A” Level certificates. In Zimbabwe the “O” Level certificate is the minimum and compulsory requirement for one to be trained as a school teacher and for one to be promoted into headship and an “A” Level certificate is an

added advantage to their status. A teacher graduate is awarded with a CE /DE professional certificate when they leave the training college. Teachers advance themselves to attain degrees. The majority of heads EOs and PSIs had M Ed degrees which might mean that they have a higher level of understanding policy interpretation and implementation. The researcher considered this information essential so as to know the calibre of people who would help in uncovering the phenomenon under study.

4.3 INVOLVEMENT OF EDUCATORS IN THE DESIGN OF THE PAS IN EDUCATION

The study also examines whether educators were involved in the design of the performance appraisal system. The majority (90.4%) of surveyed teachers and 87.9% head respondents and all the interviewees indicated that they were not involved in its design. This was confirmed by CSA1 who commented; "*To the best of my knowledge I don't think so, because I was not.*" Supporting this notion was P1 who stated that; *"Not only the educators, I don't think any of the civil servants was involved in the design*. *It is a concept that was adopted from a developed country."* P3 reiterated the same sentiments.

Besides being not involved, 9.6% of teacher respondents and 12.1% of head respondents accused that the system was imposed onto the civil servants by the employer. This opinion was supported by all focus groups members, as put forward by FGA (B) that: "Initially it was a top down directive with teachers not putting any input although some of the issues were not clear; they were left unresolved up to now." This belief was verified by P2 when he posited, "*Mmm – not as such ……...their involvement would be looking at the aspects that can be improved but at the initial stage it was a top-down approach."* Substantiating this allegation was P1 who posited that:

> *As something that was meant to bring change in the Public Service you find that usually people do not accept change that is introduced from above without people's input, you find that civil servants were hesitant to take full charge or accept the system.*

All interviewed respondents revealed that the system suffered from lack of acceptance by teachers as a result of their exclusion in its design. It is of vital importance that people see the benefits of a programme, accept the change and implement it; hence P3 assumed that it is a process that needed "*giant change of heart, mindset as well as activity."* It was something that could not take a day, a week or even a year to influence people to accept this change (P3). Lack of acceptance of the PAS could have been caused by the manner in which it was introduced as CSAI assumed that, "*my own conclusion is that it was a foreign idea which was brought into the country without correct verification."* This angle which was put forward by CSA1 was confirmed by FGA, who stated:

> *I remember that when it started, work plans were done in October and the final rating by the 30th of September, this is not our academic year. This means that, if teachers had been involved, they would not have agreed to this design.*

The educators also reported that they were not involved in the design of the performance appraisal system by the government. During the data collection phase, the researcher sensed that respondents resented the appraisal system because of being excluded in its design. Oversight of this important element in initiating change was viewed as having compromised the quality of the implementation of the appraisal system at the selected primary schools. Furthermore, there was no documented evidence that indicated any involvement of the civil servants in the design of the appraisal system. The researcher then explored its origins and how it came to be adopted into the Zimbabwe's education system since teachers were not involved in the design.

4.4 ORIGINS OF PAS

The study sought to find out how the appraisal system found its way into the education system. One hundred percent of the surveyed teachers and heads through the open ended questions stated that they did not know who was involved or how it was introduced. From all the focus groups, the response to this question was that they were not aware of how and why it was introduced. Some respondents speculated that it was

copied from other countries to make civil servants work harder. A follow up on this issue with heads and Education Officers through interviews, echoed the same sentiments expressed by the teachers. However E1 who had been in the service for longer than others stated that, "*It was adopted after a survey in order to trim the civil service because soon after that some of my colleagues were offered retirement packages."*

On the same issue PSIs reiterated what the teachers, heads and EOs had already mentioned. P1 advanced that, "*I think the government was reacting to the recommendations from the PSRC by adopting the system meant to change the behaviour of the civil servants.*" P2 added that, *"Yes it was adopted after it was found that civil servants were lazy and wasted a lot of resources.*" P3 who was reportedly engaged in the initial training reiterated that "*After the PSRC report was handed to government; there was need for introducing a system that would make civil servants work more efficiently, be responsive and sensitive to the public.*

Information emanating from the above statement is that the PAS was adopted into the Zimbabwe's civil service which includes education as a corrective measure to trim the civil service, make people work more efficiently and be sensitive to the public needs. The researcher could not get hold of the documents that clearly show the origins of the system except to go along the speculation that it was adopted from Canada judging by its academic year which starts in October and ends in September. Having established how the system came to be in Zimbabwe, the study then sought to explore the element of training in the implementation of PAS.

4.5 TRAINING OF EDUCATORS IN THE IMPLEMENTATION OF THE PAS

Information from the biographic data indicates that all teachers underwent formal training to become qualified teachers. Table 4.3 gives a breakdown of the training that the respondents received according to the group categories created for this study.

Table 4.3: Training of teachers on PAS implementation

	Teachers		Heads		Focus group		CSA & B		H1,H2,H3 P1, P2, P3 E1, E2, E3	
	f	%	f	%	f	%	f	%	f	%
Trained	22	61.1	12	100	16	76.2	4	100	9	100
Not trained	14	39.9	0	0	5	23.8	0	0	0	0
Total	36	100	12	100	21	100	4	100	9	100

4.5.1 Training of Implementers

The study sought to establish which members in the education system were trained in implementing the PAS. Table 4.3 reveals that 61.1% of the teacher respondents, 76.2% of the focus group members, all surveyed head respondents and all interviewed heads; EOs and PSIs indicated that they were trained in implementing the appraisal system. It also emerged that the minority (38.9%) of the surveyed teachers and 23.8% of teachers in the focus groups did not receive any training. This figure almost tallies with the number of teachers (32.2%) who have been in the service for 1-10 years (Table 4. 1). These teaches possibly joined the service after the training had been done. It shows that there are some teachers who were not trained in the appraisal process although they are expected to implement the appraisal system.

A follow up on the training issue with the PSC revealed that at the introduction phase of the PAS, government trained all its employees including educators in its implementation as P2 explained:

> *All those who were government employees when PAS was introduced were trained but you find that at a later stage because of high attrition levels people coming in, maybe because of lack of manpower planning they may not have been trained, but the idea was that everybody who comes in has to be trained.*

This assertion was confirmed by P3:

> *First of all there were those who were referred to as trainer of trainers and from there the training was cascaded down to the lowest person, not only teachers but all those who were part of the government system. So in time everybody was trained, but then, I think what lacked was the continuity of training for those who joined the service after 1997 as they were not provided with the occasion to be trained by the people who had done it before.*

Although the majority of the education personnel were trained in implementing the PAS, there are some teachers who were reportedly not trained. Training is allegedly to have come to an abrupt end in 1997 as P3 stated above which explains why some teachers claimed that they were not trained. PSIs indicated that there was need for continuous training that would cater for new members joining the service. *"In the cases of high staff turnover there is need for continuous training even for those who remain in the service need that touch of training now and then"* (P3). From the information above, one can deduce that teachers were not trained on how to implement the appraisal but on how to complete the forms.

The study further asked if there were any follow up training or staff development courses on the implementation of the PAS. From open-ended questions in the survey, 53.6% teachers and 33.4% heads denoted that they had never had any follow up training on PAS implementation. This figure includes those who never had the initial training in implementing the system. It also turned out that 46.4% of teacher respondents and 66.6% of heads in the survey affirmed that they had received staff development courses on implementing the appraisal from their clusters. These were reportedly varied from once a year to three times a year depending on the resourcefulness of a district or school as these courses were not financed from central government.

Information deduced from the above data indicates a variation in staff developing teachers on the implementation of the appraisal. It also shows that there were teachers who were not trained in implementing the PAS. It is possible that some missed the initial training since it was a once off event. Without any training teachers may find it difficult to implement the system. The next section looks at the duration and adequacy of the training that was done at the initial stage.

4.5.2 Duration and Adequacy of Training

The majority (61.1%) of surveyed teachers and 76.2% focus groups respondents were trained for one day. Middle management personnel (the heads and EOs) who are appraisers or supervisors were mostly trained for three days (PSIs). It seems appear, however, that the duration of the training for the middle management varied as suggested by some respondents, for instance, E1 said "I can't recall precisely, maybe a week or so." H1 and H2 confirmed that they were trained for three days as appraisers. Confirming these variations in the duration of training were the PSIs as P3 remarked, "*The duration of the training varied according to location of the training centres and these ranged from a day to a week."* Data above reveals that training of employees varied from one day to three weeks at most and they felt it was inadequate. With regard to this information, one can conclude that teachers were only sensitized and not trained as such.

In pursuit of more details about the training, the study requested the respondents to give their views about the intensity of the training. Seventy-six point three percent of the respondents in open-ended questions alleged that the training was inadequate, 18.4% thought it was moderate while 5.3% considered it as adequate. CSA1 believed that, *"most probably to meet the initial stage and the implementation of the programme, most probably it shed some light into what was expected."* Those who considered the training to be moderate shared the view of E 1, who assumed that, "*The facilitators had done their research, had been trained by expects from abroad and I believe they were doing their best to be effective.*"

E3 concurred with the majority (76.8%) who lamented that the training was inadequate when he postulated that, *"The training was inadequate, it left a lot of grey areas and I came out of the training programme without much knowledge on the programme."* Confirming this notion were the PSIs noted; "*The training itself was not intense in terms of the end-users as most of the end-users underwent a one-day training and the trainer of trainers were trained for three days*" (P1). P3 observed that "*Unfortunately, the*

duration of the training may not have been adequate with the amount of work that had to be covered and in some cases the training was confined to one or two days."

Further investigation from P3 who was reportedly involved in the initial training revealed that the training was done in a cascading model. This model reportedly involves that a small group of people be trained to become trainer of trainees. A second group of trainers then in turn trained larger groups of end-users of the programme. The duration of training is reduced from more time with the first group to the bare minimum with the last group. This scenario is explained by P3:

> *…there are those who were referred to as trainer of trainers who were trained for three weeks, they trained the next group of trainers for three days, from there the training cascaded down to the lowest person not only the teachers but also all those who were part of the system for one day.*

It appears that the variation in the duration of the training levels was vast although the first group of trainers of trainers had received thorough training as P3 advanced that:

> *In my view I think trainers were well trained because it was not a once off training, I know they were trained in the first instance for three weeks, and then trainers themselves felt they were not ready to do the work and went for further training for another three weeks. It was after the third training of three weeks that they felt capacitated to do the work. This group was composed of officers from all ministries.*

From what P3 articulated, this first group effectively trained for nine weeks which meant that they had to disseminate the information to the next group for the same period but that was not to be. The next group comprising the heads, the deputy heads, teachers–in- charge and supervisors from other ministries were trained for three days. All interviewed Heads confirmed that they were trained for three days as H1, H2, CSA1 and CSB1 have already stated. The teachers, who are the key implementers of the PAS, were reportedly trained by the heads for one day; and two at most. All interviewed PSIs agreed that teachers got a raw deal in terms of being capacitated in implementing the appraisal.

What can be deduced is that although the first group of trainers trained for more days they were not confident or knowledgeable enough to pass on the information as H1

alleged, *"… the trainers were not very sure of what they were teaching us. They could not answer the questions that we put across to them as appraisers."* This was confirmed by P1's observation:

> *Someone who has partly understood the system would find it difficult to also impart the knowledge to the next person, so the entire end-users in most cases were unable to fully comprehend the system, so it was inadequate.*

All focus groups discussions revealed that the training was more theoretical than practical and trainers gave examples that were not relevant to education. FGA3 stated that, "*My group was trained by an officer from Agritex, who had no idea of the teacher's work plans.*" FGA5 added that "*Trainers were reading from their notes, and could not give practical examples related to teaching but gave us work plans of a stenographer."*

The above information was confirmed through documentary analysis where an undated Module two: page15 gave an example of a typist stenographer's work plans and PSC module (1998:11) provided the example of a hostel general hand. Evidence from the documents analysed confirmed what the majority (69.9%) of the respondents meant when they said that the trainers were unable to answer their queries. It appears that these given examples were nowhere near the teacher's type of work. This study found that training was inadequate hence; understanding of the appraisal system and procedures may not be easy for implementers. Trainers' failure to give clear examples related to education may have aggravated teacher resistance to the change.

4.5.3 Focus of the training

The study further sought to find out where the focus of the training was since education related examples were not given. In all the focus groups those who were trained in implementing the appraisal revealed that, on that one day session, focus of the training was on how to complete the appraisal form and much emphasis was put on its correct completion. It was further alleged that perhaps due to the limited time, there was no demonstration on how to implement the system.

It emerged from all interviewed heads that training was not comprehensive as it laid emphasis on the completion of the form more than marrying the appraisal process to the actual execution of one's duties. H1 confessed, "*I cannot say I was trained in implementing the appraisal, it was more of sensitizing us on this new system."* On the same question, H2 remarked*, "What I remember is that we were told to write down job profile from which to draw the Key result areas. We were shown how to complete the form given the example on a typist's work plan."* In his response, H3 stated that *"We were told the importance of prioritizing the KRAs and giving them percentage on a sliding scale so that the highest is on top and the least at the bottom adding up to 100%."*

The same sentiments were expressed by the EOs. According to E2, "*It emphasised on how to complete the forms in which I had to compile everything pertaining to my job*." E1 postulated "*The concentration area was on how the appraiser and appraisee should relate and how they should complete the form*", an idea that was also harmonized up by CSA1 in an in-depth case study. His comments were that: "*I think the emphasis was on completing the form correctly and how we should relate to teachers*." It seems that training on the actual implementation of the system was not effectively done as all respondents affirm that the emphasis was on completion of the form. Furthermore, without adequate training, teachers were not able to appreciate the system and did not comprehend its benefits to them and the organisation.

4.5.4 Reference materials for implementers

The study made further inquiry as to whether or not the teachers had received implementation manual that could act as reference material for implementers. All surveyed and interviewed teacher respondents stated that they did not receive any manual. All heads, EOs and PSIs indicated that they had received some form of a training manual. The study found that while educators were inadequately trained in implementing the PAS they also were not given any reference material. This meant that with inadequate training and with no reference material teachers had to implement the appraisal system on a trial and error basis. The next section intends to find whether by

the end of training, the educators understood the goals of the performance appraisal system.

4.6 THE EDUCATORS' UNDERSTANDING OF THE PAS GOALS

The study required the respondents to reveal their understanding of the factors that influenced the implementation of performance appraisal in the schools. Respondents were asked to respond to a number of factors stated that could bring out the effectiveness of the PAS as an innovation for change in Table 4.4

Table 4.4: Factors influencing implementation of the PAS

	Teachers		Heads	
	A	D	A	D
Issues of concern	%	%	%	%
1. I understand the goals of the appraisal system.	16.1	83.9	16.7	83.3
2. It is aligned with our mission statement.	58.3	41.7	58.3	41.7
3. I am competent in formulating and setting targets.	21.8	78.2	32.6	67.4
4. Reviews are informative and done timeously.	21.8	78.2	79.2	20.8
5. Feedback improves working relation and communication between appraiser and appraisee.	55.6	44.4	50	50
6. I am competent in implementing appraisal.	47.2	52.8	41.7	58.3
7. I am satisfied with the appraisal system.	13.9	86.1	25	75

The study sought to find out if teachers and heads of schools understood the goals of the PAS. Table 4.4 shows that a minority (16.1%) of teacher respondents and 16.7% of the head respondents understood the goals of the performance appraisal system. The general feeling from the focus group interviewees was that they did not understand the goals of the PAS as confirmed by FGA3, *"I only remember that trainers spelt out the objectives of the workshop but did not say what the goals of PAS were."*

The majority (83.9%) of the teachers and 83.3% of the heads in Table 4.4 indicated that they did not understand the goals of the PAS. This was also confirmed by all interviewed heads, EOs and PSIs as P1 commented that implementation had suffered as *"Many teachers and heads claimed that they were not conversant with the system in terms of guidelines in completing the form and its intended targets."* The above views left the researcher wondering how PAS would enhance quality education if the majority of respondents claimed not to understand the goals of the system.

4.6.1 Alignment of PAS goals to school mission statements

With regard to the issue of PAS's alignment to school mission statements, Table 4.4 revealed that 58.3% of teacher respondents and 58.3% of head respondents believed that the goals of the performance appraisal were aligned to the mission statements of their schools. However, an equal number 41.7% of teacher respondents and head respondents indicated that there was no alignment between the appraisal goals and their mission statements. The split-in-half responses seem to confirm that teachers in Zimbabwe are not informed on the goals of the PAS.

All interviewed heads further revealed that most schools crafted their mission statements before the introduction of the PAS. This notion was elaborated by H1 who said "*In my school no one has ever checked that alignment so I have also never bothered myself about it."* H2 and H3 concurred in that they crafted their mission statements from the Client's Charter that was supplied by the Ministry of Education. Interviewed PSIs were not clear on this issue although P3 quickly pointed out that, *"Ideally, the goals of PAS should be aligned with the mission statements but we have never really checked that."* What clearly comes out of the interviews is that people had not checked if PAS goals are aligned with schools' mission statements. This seems to reveal an oversight of an important issue that might enhance the implementation of the PAS. Since respondents seem to suggest a non-alignment of goals, it would be interesting to find out how the whole process is being implemented (PS 1).

4.7 IMPLEMENTATION OF THE APPRAISAL PROCESS

This research sought to understand the process and procedure of the appraisal system. The PSC explained that the implementation process followed phases. The first phase of the appraisal process requires that the appraisee design work plans and set targets that are specific, measurable, attainable, result oriented and time framed (SMART). In the second phase the appraisee and the appraiser then discuss and agree on the set objectives. This exercise should be done between January and 31st March. Thirdly, is the reviews phase where the progress on the work plan is assessed, and adjustments on the set targets are made, if need be.

After the agreements on work plans are done, both parties sign the forms. The appraiser should then monitor the progress on these work plans. At least one but ideally, three reviews should be undertaken before the end of November. The fourth phase is the rating where performance is presented in numerical anchor 1-5 based on the achievement of these targets. Finally validation of the forms should be done by the school committee by the 30 November then sent to the District office for further validation and onward transmission to the highest office. Armed with this information, the researcher sought to find out whether the respondents understood the implementation process of performance appraisal and how PAS was implemented at the primary schools.

4.7.1 Competency in Formulating Targets

All focus groups' respondents revealed that the process of appraisal commences at the beginning of the year when every one compiles their work plans or activities indicating the key result areas (KRAs) and setting targets to be achieved. FGA3 explained, "*Every individual compiles the work plans, discusses them with the supervisor, agrees on the set targets then signs the forms."* The focus group discussions further highlighted the challenges they encountered as FGA4 remarked, "*When setting targets at the beginning of the year one is like working on assumptions, you are not aware of the calibre of children that you will teach and whether the resources will be available."*

Focus group B respondents revealed that setting targets on five KRAs was difficult because it meant leaving out some important elements in the teacher's whole work package. FGB3 stated that "*I have encountered problems such as when I have set the targets with a supervisor I then change to another one who then feels like I have set very low targets and have to change."* This situation reveals that targets that are set vary according to individuals and institutions.

All interviewed heads revealed that while they have to agree on the targets set by their subordinates, they also go through the same process with their supervisors who are Education Officers. H1 established that, "*Setting targets in education is not easy because the mind cannot be manipulated and it is impossible to judge the extent of what the child will have leant at a particular time."* Supporting this view was CSA1, who added that:

> *It is an issue whereby as a head I have to strike a balance as to what the expectations of a teacher are in the classroom, and then probably sum up the requirements of the appraisal process. As far as I am concerned the issue of quantifying work in the education process is problematic because you cannot quantify what the brain will acquire against the teacher's output.*

CSB1 also complained:

> *Personally I find it difficult to set targets and prioritize them in all the tasks that I have to perform involving supervision, administration, teaching, financial management, staff development, appraising staff and attending to my appraisal. Besides I still have to attend to impromptu visits from parents and other stakeholders in education.*

All interviewed EOs and PSIs revealed an analogous outlook on the setting of targets. P3 stated that:

> *The target setting stage is meant to involve both the appraiser and the appraisee so that both know the tasks that have to be completed and align them with the targets set by their department. These targets are the standards that are used to measure the performance of an individual. Achievement of these targets is then given numerical judgement but people still find it a difficult task, most probably because of the nature of the work.*

By and large teachers found goal setting rather difficult especially since it did not adequately cover all that the teachers or heads had to do for pupils to learn. However, the most important element that comes out of this data is that there should be an agreement between supervisor and appraisee, a factor that should minimize conflict. As a follow up on target setting the researcher went on to find out if there was any discussion concerning resources needed for the achievement of these targets from EOs and PSIs. Their responses were the same expressing that there is always talking of 'one must improvise' and in this economy, but it is impossible to improvise. Having established what happens in the first phase of the process, the next section looks at the monitoring and supervision of the progress of work plans.

4.7.2 Monitoring and supervision of work plans

As the appraisees implement their work plan, it is important that the appraiser monitors the progress of these work plans. It was revealed in Focus group A that the monitoring phase was not effectively done as one may not have any lesson observed for the whole school term. FGA1 gave an example that if a teacher planned to give and mark five Mathematics exercises a week, the appraiser's duty was to monitor if that activity was carried out effectively and the exercises given are of acceptable standard.

To back up this view, FGA3 lamented:

> *Personally I am not worried about the reviews but it's the supervision in between the reviews that is lacking, so in the end there is an agreement according to me not the supervisor as he did not monitor the progress on my set targets.*

Interviewed heads echoed the same sentiments relating that at times they could not adequately monitor the progress on their subordinates' work plans due to lack of time. H1 related, "*I might be able to monitor the progress on some aspects of the work plans for my subordinates but my supervisor rarely visits my school to monitor the progress of my work plans.*" Interviewed EOs affirmed that supervision and monitoring of the heads' work plans was lacking due to lack of time and transport, as E1 put it, "*At times you*

would hardly find time to meet with your supervisees within deadline and the sheer numbers of the supervisees as I have told you that I have 41supervisees." E2 added:

> *We usually visit the schools as a team and each school may be visited once in three years. Basically I have not monitored my supervisees on the progress of their work plans. I base my reviews and rating on their word and the evidence they will have manufactured.*

This study thus found out that there was irregularity in the monitoring and supervision of work plans that are agreed upon by the appraisers and appraisees. It also reveals that the principles of an appraisal system may be flouted, meaning that appraisees get minimal or no assistance at all in the implementation process. This left the researcher wondering how those teachers who never received proper training on the implementation of the appraisals operate amidst the absence of monitoring and supervision.

Further inquiry on the issue, revealed that new teachers were inducted by the deputy or the teacher-in-charge. When asked how they did the induction of new teachers if they were not very conversant with the system's operation, most of them were evasive to come up with a clear answer. The indication was that the system was more of paperwork than practical.

4.7.3 Nature of the Reviews

The PAS process requires that at least one and ideally three progress reviews be undertaken during one cycle (Confidential Appraisal Report Document). The reviews help in making adjustments on the work plans and any constraints related to the implementation are noted. The reviews help the appraiser to check if there is progress on the work plans and the nature of assistance that the appraisee requires (Confidential appraisal report document). The study sought to find out the nature of reviews.

Table 4.4 shows that a minority (21.8%) of teachers agreed that reviews were informative and done timeously while the majority (78.2%) vehemently disagreed. It also reveals that the majority (79.2%) of head respondents indicated that reviews were informative while 20.8% of them stated otherwise. There were conflicting responses

between the heads and teachers in the nature of feedback. While the heads said the feedback was given timeously the teachers disputed that. This could be that heads were referring to their own reviews with EOs or they were just hiding their inefficiency in this important stage of the appraisal implementation process.

In the focus group discussions all respondents corroborated in disputing that reviews were informative and given timeously as FGA4 and FGC7 stated that, "*these reviews are not informative as the appraisal process has become a ritual just to please the employer, we don't seem to gain anything from them."* Furthermore, FGA2 alleged that *"due to the large numbers of appraisees per appraiser they have to do the review hurriedly to meet the deadline set by the PSC."* FGA5 added that, "*At times it becomes useless to make any adjustments because resources are never supplied to carry out targets and achieve them, hence we agree on a rating that will not make me lose out on financial rewards."* The general consensus coming out of this study is that the majority of respondents considered reviews not to be informative and certainly not done timeously as there was lack of time and resources.

A follow up with the heads on reviews revealed that reviews were done hurriedly as H1 remarked: *"Although the reviews are carried out periodically, they are not done timeously due to lack of time because there are so many duties that one has to do and at times due to illness, leave or something that causes an officer not to be at work."* On the same issue of reviews, EOs admitted that the reviews were not done religiously as E2 indicated that, "It was a matter of just putting the signature and stamping so that when officers from PSC come they find our files in order."

The study found that the majority (78.2%) of surveyed respondents and all focus groups teachers seemed not to have benefited much from "uninformative and erratic reviews" while heads categorically asserted that they carried out informative reviews timeously. The split responses between the surveyed heads and interviewed heads showed that there was an anomaly in carrying out reviews. The heads were probably trying to hide their inefficiency in carrying out reviews while teachers were expressing dissatisfaction with the system. The quality of feedback which follows may shed light on what actually happens in giving out feedback.

4.7.4 The Nature of Feedback

Feedback is essentially the exchange of information between the appraiser and appraisee about the status and quality of work produced. This helps to direct future setting of goals and plans in the new work plans (Confidential appraisal report document). The study endeavoured to discover whether feedback improved working relations between appraisers and appraisees and guided them in mapping out future work plans. Table 4.4 revealed that 55.6% of teacher respondents and 50% of head respondents indicated that feedback improved working relations between appraisees and appraisers. If effectively done, appraisees benefit as they gear their performance towards achieving set objectives. It also surfaced that 44.4% teacher respondents and 50% head respondents stated otherwise. The half-split-responses could mean that teachers and heads were not fully aware of the feedback and its importance in the appraisal system as it appears that it was not effectively done.

On the same issue, the focus group discussions revealed that, while interviewees were aware that feedback could improve working relations, appraisers rarely gave feedback. FGA respondents affirmed that at times appraisers were overwhelmed with work that they failed to give adequate feedback. FGB1 pointed out that, "*We hear of feedback…, personally I don't think I understand it because we never have feedback on appraisals, we argue and compromise on achieved targets for the final ratings".*

Surveyed heads exposed a split response with half indicating that feedback improved working relations between appraiser and appraisee while the other half indicated that relations did not improve (Table 4.4). A follow up was made on this issue of feedback by seeking the opinions of head respondents through interviews. The three heads expressed that relations were more strained than improved. H1 remarked "*The relations are strained especially when the underperforming teacher thinks you are being unfair to him/her whilst they think they deserve a higher score."* H2 advanced that, "the *system is more judgmental and emphasizes on activities not competence."* H3 commented that "*teachers cry fowl when rewards don't come, they think you as a head manipulated the information, so more than anything else there is more mistrust."*

These remarks concurred with the teachers' views expressed in the focus groups that the feedback process confirmed a deep rooted mistrust between supervisors and appraisees. The split responses expose an anomaly in the way feedback is given suggesting that it is poorly done between appraisers and appraisees. These responses show that the cycle begins without adequate feedback that will make teachers correct their previous mistakes. It means that they may not have the chance to improve their performance in the next cycle. The last stage of the appraisal process is when the appraiser and the appraisee sit down and sum up the appraisee's performance in numerical ratings as presented in the next section.

4.7.5 Rating of the Performance

The final rating is the stage that directly links PAS to Performance-related pay (PRP). The ratings attained from the process of appraisal are then used to determine the pay. The study sought to find out how the final rating stage was implemented. Data from focus groups indicates that in this final stage of the appraisal process, numerical ratings are attached against some performance and the training needs are identified. The majority (90.5%) of the interviewed teacher respondents attested that they hated this stage because of the subjectivity, inconsistency and bias that accompanied it. Additionally, they revealed that supervisors were reluctant to award the highest score of 5 to those who really worked hard and deserved the mark (FGA3). This was reportedly due to that some kind of threat, the higher authority had to come and inspect the individuals to authenticate the mark of 5 made supervisors avoid the hustle (FGB5 & 7).

This reaction was also acknowledged by interviewed heads, and EOs and PSIs. For instance E2 commented: " When we were trained, we were told that 5 was difficult to attain but when you think one deserved the mark the secretary for education would have to come and check, and also the mark of 1 was to be checked." A further probe on the issue indicated that the idea of a second opinion instilled fear and mistrust in the minds of appraisers and appraisees.

All interviewed respondents felt that the system was unfair by “asking some stranger to come and validate what the appraiser would have awarded”. Furthermore, the stranger would give his/her judgements based on a few minutes observation while the usual appraiser bases his/her judgement on the appraisee’s daily performance. CSA2 and CSB2 considered themselves to be high flyers that deserved a rating of 5 but always had to be rated 4.4 to be on the safe side. However, CSA1 accused that:

> *The final rating is about figures that must be attached, to someone’s performance and is rated a 1 to 5. A teacher may apply himself whole heartedly, while children will not be performing, how do you marry a very good class room practitioner with a group of students who are slow learners? If you say the practitioner is a 5, the class results are at 0% …to say somebody is worthy a specific rating becomes a problem. At the end of it all the children may reveal the effectiveness of the teacher.*

Arguments from case study B were based on the fact that children’s minds developed at different rates and were affected by different environmental and socio-economic factors that were beyond their control. In this instance, it means that the teacher’s effort does not really count for something but pupils’ academic performance determines the teachers’ competence. CSB2 confessed that, “*I consider myself a hard worker that deserves a 5 but at times I have a class with many children performing below average no matter how much effort I put in teaching.”*

What comes out of the above data is that the appraisal system does not recognize the teacher’s effort but measures the teacher’s performance based on the pupils’ achievement. PSIs concurred with this view that in the final rating stage, the appraiser and appraisee jointly assess the achieved objectives and summarise them by means of overall numerical ratings anchors 1 to 5 that harmonized what was intended to be achieved and what was actually achieved. Furthermore, PSIs were quick to point out that the stage was prone to subjectivity and bias hence there was a lot of tension between appraisee and appraiser. Due to the element of human bias or feeling that if one was not awarded a high mark, they could not give their subordinate a mark higher than theirs. The example that was given was that:

> *….let's say the Secretary for Education for one reason or other does not get a 5, here is his immediate subordinate who deserves a 5, I am not sure whether in terms of human nature he will be willing to give a 5 to his subordinates when he himself did not get it. The same scenario is bound to affect everyone in the whole system (**P1).***

This study unearthed that the system was laden with human bias, subjectivity and threats that distracted the smooth implementation of the PAS at primary schools. This kind of tension between the appraiser and appraisee could have prevented the educators to realize the usefulness of the programme. These findings show that the whole appraisal process is subjective. In the next section the study focused benchmarks or assessment standards that were put in place to guide appraisers and appraisees.

4.8 BENCHMARKS OR ASSESSMENT STANDARDS

The study endeavoured to find out if there was an assessment standard used to arrive at a particular rating, for instance, if one achieved certain activities, the rating would be so much or a certain number of appraisees to an appraiser. All the surveyed respondents disclosed that they were not aware of a set assessment standard but all decisions depended on agreements between the appraiser and appraisee. All interviewed heads indicated that there was no assessment standard that had been set, as the evaluation and judgement depend on the supervisor. However they hastened to state that there was a formula used when calculating the numerical rating. Focus group interviewees concurred with the heads in that there was no set assessment standard but a formula to calculate the ratings. The focus group respondents further argued that when standards are individually set there cannot be a uniform kind of judgement on them. The issue of different assessment standards was also confirmed by EOs and the PSIs. P1 stated that *"the standards tended to vary according to departments and ministries as they set their own standards and the process was very subjective."*

In terms of span of control (the number of appraisees to a supervisor), all respondents revealed that there was a great variation. For instance E1 noted that, "*there is that inconsistence and there was no recommended supervisor-supervisee ratio, they leave it*

to people to negotiate, one can take any number as long as every appraisee is appraised and as I indicated earlier that I have 41 appraisees." E2 had 25 appraisees while E3 had 18 appraisees. It was further alleged that, this lack of uniformity or consistency created loopholes in the system whereby some appraisers had too much on their plate than others. This seems to suggest that the over-burdened supervisors may not perform as those with fewer appraisees as they are also judged by accomplishing PA duties.

The case studies revealed that besides the challenges experienced of inconsistent standards, PRP was not relevant to the teachers as the issue of quantifying work in the education system was difficult to ascertain as CSA1 explained that, "*because achievement in the education system is not in quantities, you cannot quantify what the brain has acquired as you cannot quantify the teacher's output in terms of knowledge delivered".* Furthermore, the respondents revealed that there was confusion caused by the numerical rating attached to the teachers' work. So without universally set assessment standards to judge the achievement of KRAs, all respondents alleged that a 4 in one station may not necessarily be the same in another station. Some schools would set very high standards while others would set mediocre standards that are easy to achieve, these variations make the whole process subjective (P1, P3, FGA, FGB & FGC).

This study exposed that there was lack of consistency and lack of benchmarks in the setting of standards. This led to individual appraisers using their discretion in awarding rating, a situation that creates loopholes for biases and subjectivity. The next section looks at how convenient the appraisal venues were in ensuring that both parties in the discussion were able to express themselves freely.

4.9 APPRAISAL REVIEW VENUES

The PAS process demands that the reviews be conducted in the appraisee's workplace where the atmosphere is free for the appraisee to express him or herself (PSIs). In pursuit of more information about the review venues, the study sought to find out where

these reviews were usually held. 100% of the surveyed (open-ended questions) and all interviewed teachers and heads concurred that reviews were normally held in the supervisor's office.

All interviewed EOs also confirmed that heads went to their supervisors' offices for the whole process of reviews and feedback. The EOs claimed to be challenged by transport to visit heads at their stations where they had all the evidence of their achievement. Confirming this situation were all interviewed PSIs. For instance P1 affirmed: *"…..you will find that subordinates are called to the office of the appraiser, for example the Secretary for Education will call all the Provincial Education Directors to his office in Harare. This is not appropriate as the appraisee cannot produce all the evidence of the achieved targets."*

Surveyed and focus groups respondents expressed disquiet about the venues complaining that they threatened the appraisee because there was more of supervisor-supervisee relationship than that of colleagueship. Respondents further alleged that this scenario compromised the effectiveness of the interviews. P1 contended:

> *When the interviews are held outside the work station of the appraisee, the quality of the review is compromised. Some documents to be produced as evidence of achievement of the work are not produced forcing that there be a theoretical agreement as to what and how the targets were achieved.*

Data above seems to expose maladministration of the system in the sense that appraisees can falsify the claims of achievements in the set targets.

Since the appraisee cannot carry all the evidence of the set targets, the appraiser has no way of proving true or false the extent to which the appraisees' claims to have achieved the set targets. The study also looked at the factors that influence the implementation of the performance appraisal system and the way it has been implemented at primary schools in the Bulawayo Metropolitan Province. Findings of this study gave the researcher the impression that the respondents were not well versed with the factors that influence the implementation of the PAS hence the principles of the implementation process may have been flouted. The next session explores how

teachers used the PAS to enhance their efficiency and effectiveness in executing their daily duties.

4.9.1 Integration of PAS to Day-To-Day Duties

The study made an undertaking to discover how teachers integrated PAS into their day–to-day duties. The minority (16.7%) of the surveyed teachers complained that appraisals disturbed the smooth running of their lessons and thought of them as a window dresser as they did not know how to incorporate the appraisal system in their day-to-day work. Thirty- three point three percent (33.3%) teacher respondents indicated that when they teach, they were totally divorced from performance appraisal as what was captured on the appraisal form does not cover all the aspects of their total work package. The majority (50%) of surveyed teachers lamented that PA made them focus on the achievement of activities set as targets, causing them to rush through the syllabus even when they felt that pupils had not fully comprehended the concepts.

The focus group interviews uncovered that people did not usually relate PAS and PRP in their daily execution of work. This was confirmed by FGA7 who hesitantly stated, *"I normally write my work plans at the beginning of the year as required but never refer to them during my teaching time. I put the papers in the cupboard and only retrieve them for reviews and final submission."* FGA5 alleged that *"It is not easy to use the work plans in my teaching because they do not cover all that I am supposed to teach for children to learn. I compile the work plans as a formality to fulfil the statutory requirement."*

Similarly, it surfaced from 16.7% surveyed heads that PA gave them direction on the areas of concentration as they worked towards achieving Key Result Areas. The other 16.7% asserted that, ideally, PA should make their supervision easy since every member would strive to fully implement the work plans. The majority 66.6% of them indicated that they have never been able to relate the appraisal system to their daily execution of duties as it was very difficult to do so. All interviewed heads also revealed that using PAS and PRP in their daily execution of work was rather difficult as that

section was not included in the training process. H1 endorsed, "*To be frank, performance appraisal and PRP actually exist on paper. It is difficult to relate them to day-to-day activities.*"

This study unearthed that the majority of the education personnel did not effectively relate the PAS and the PRP to the execution of their daily duties. This seems to imply that teachers were not adequately trained to master the art of integrating PAS and PRP into their daily work making the adoption of these systems a futile exercise. Information above clearly indicates that there was a mirage of the systems since teachers confess inability to apply then in their daily work. With the PAS and PRP having been operational for the past ten years, the researcher went on to find out how competent teachers were in implementing the appraisal system.

4.9.2 Competency in implementing the appraisal system

The researcher questioned the respondents about their competence in implementing the PAS. Table 4.4 indicates that 47.2% of teacher respondents and 41.7% of head respondents declared that they were competent in implementing the appraisal system. It seems that some of those respondents who earlier indicated not to understand the goals of the appraisal were not competent in implementing it. It also emerged that 52.8% teacher respondents and 58.3% head respondents felt that they were not competent in implementing the appraisal system.

Discussions with the focus groups also revealed that the majority of the respondents felt they were not competent in implementing the appraisal system but rather were doing it to fulfil the requirements set by the employer. This notion was confirmed by such comments; FGB7 remarked "*I don't think I am competent because I have never received any reward.*" FGC4 *stated that "I cannot say I am competent because we always complete the form to beat the given deadline."* It turned out in FGA that 60% of the respondents thought they were competent because they always met their set targets while 40% of them confessed that they were not competent since they were not trained in implementing the appraisal system. Confirming this perception were E1, 2 & 3

who asserted that since they completed the appraisal forms in the comfort of their offices, they had no way of proving that their appraisees were competent in implementing the appraisal system. That also did not prove EOs competent in appraisals since they merely completed the forms to fulfil the statutory requirements.

Data above reveals mixed responses about the competency of respondents in implementing the appraisal system. Maybe due to the years of practice, respondents believe that they are now competent in implementing the appraisal system even if they do not understand its goals. The split-in-half responses may be an indication that teachers in Zimbabwe have not mastered the art of implementing the PAS. Amidst this misunderstanding of the appraisal system the study further explored the extent to which the appraisal system that has been operational for so long has enhanced teacher professional growth.

4.10 THE PAS AND TEACHER PROFESSIONAL GROWTH

This study assessed whether PAS has been effective in improving teacher competencies at primary schools. Table 4.5 shows the collective aspects that the researcher sampled for competencies in which the end-users of the PAS should have improved through its implementation.

Table 4.5: Competencies enhanced through PAS implementation

Issues of competence and skills	Teachers		Heads	
	% A	% D	% A	%D
1.Performance appraisal helps to identify strengths and weaknesses of staff/ employees	66.7	33.3	75	25
2. Performance appraisal improves my teaching skills/supervisory skills	30.6	69.4	58.3	41.7
3. Performance improves my administrative skills	N/A	N/A	58.3	41.7
4.Performance appraisal helps improve co-operation and teamwork/	41.7	58.3	50	50
5. performance appraisal feedback improves communication and working relations	27.2	72.8	78.3	21.7
6. Performance appraisal improves work motivation	11.1	88.9	16.7	83.3
7. Performance appraisal improves pupils' academic achievement.	13.9	86.1	8.3	91.7

4.10.1 Identification of Educators' Strengths and Weaknesses

This study investigates the phenomenon of teacher competences as enhanced by the performance appraisal system. In the study, information was sought to determine if through the appraisal system, strengths and weaknesses of heads and teachers were identified. Table 4.5 exposed that the majority, (66.7%) of teacher respondents and 75% head respondents indicated that performance appraisal helps to identify the strengths and weaknesses of staff / employees while 33.3% of teacher respondents and 25% of head respondents felt that the system had not assisted in identifying their strengths and weaknesses.

Interviews with focus groups, heads, EOs and PSIs confirmed that strengths and weaknesses can be identified through a well implemented appraisal system as P3 remarked, *"If fully and properly implemented the system would help to determine the level of the abilities of the workforce so that corrective measures can be taken to address the identified inadequacies".* Asked the same question, P3 reiterated that,

> *I want to think that a well trained and competent supervisor is able to identify the strengths and weaknesses as they relate on a day to day basis with the individuals and know each one of their strengths and weaknesses and would capture them without any hustle but that requires confidence on the part of the appraiser.*

The data above reveals that the system has to be well implemented and supervisors should be well trained and competent so that they can identify the strengths and weaknesses of staff/employees. Similarly, Table 4.5 reveals that 33.3% of teacher respondents and 25% of head respondents felt that the system had not assisted then in identifying their strengths and weaknesses. As indicated earlier, when people are trained and the system is correctly implemented, strengths and weaknesses can be identified. Due to inadequate training and improper implementation of the system 33.3% of teachers thought their strengths and weaknesses could not be identified through the appraisal system.

All interviewed respondents lamented that although the system was meant to identify the gaps so that the employer may reduce them through in-service training or refresher courses; it seems that the corrective measures were never implemented. This was confirmed by interviewee H2 who pointed out that, *"Since they are not carried out in the manner that is recommended by the books as you read widely about performance appraisal, they fall short in so many ways in trying to upgrade the standards of the supervisees or supervisors."* H3 reiterated that, "*As I have indicated this system is more of paper work than practicality, so none of the skills have been developed*….." P1 recapped that "*While the system had provision for improving their skills, implementation of training was never done. So as a result where the skills gaps were identified they have remained on paper without any corrective action taken."*

What emerges from the data presented above is that if the performance appraisal system is well executed, and the appraisers are well trained and competent, they can identify and accurately capture the strengths and weaknesses of teachers. The study further explores if the PAS had improved teaching and supervisory skills in educators.

4.10.2 Improvement of Teaching and Supervisory Skills

Improving the skills of teachers was one of the Zimbabwean government's aspirations when it introduced the PAS in education (Chapter 2 section 2.7.3). The study sought to find out if PAS has been instrumental in improving the teachers' teaching and supervisory skills. It surfaced in Table 4.5 that 69.4% of teacher respondents felt that performance appraisal had not improved their teaching skills, an issue that also came out in focus groups. FGA1 affirmed that "*I don't think this appraisal has had any positive effect on my teaching"*, while others in the group nodded their heads in support of their colleague.

The interviewed respondents expressed similar sentiments with comments such as, "*I will not say performance appraisal is able to make a person very competent per se but a person is competent because he or she has the desire to work"* (H1)*. "Instead of competency and* <u>*what: what*</u>*, I have always thought it has brought a lot of conflict, it is expensive, and we don't understand it and it has actually demotivated teachers*…." (E2). *"In my view, I don't think so. Instead the appraisal system has caused an injury on the achievement of set targets because it wasted a lot of teacher's time and it is not really being done frankly*" (E3). These comments seem to suggest that performance appraisal has not rendered much positive improvement in terms of skills development.

Table 4.6 in contrast reveals that 30.6% of teachers attested that their teaching skills had improved through the implementation of the PAS. A closer look at the length of service of some teachers seemed to show a possible correlation between the number 30.6% of teacher respondents who thought their performance had improved and the number of teacher respondents (30.6% in Table 4.1) who had 11 to 20 years of experience in the service. These teachers are likely to be in the age range of 30- 49. With or without the appraisal system they probably would have improved their skills through the years of practice in the service.

While the majority (69.4%) of teacher respondents in Table 4.5 disputed the fact that the appraisal system had improved their teaching skills, 58.3% of head respondents in the survey indicated that the PAS had improved the teachers' teaching skills. There is a

difference of opinion between heads and teachers; it could be that the heads see the improvement in some teachers that individuals are not able to see in themselves. The same Table also shows that 41.7% of the head respondents indicated that the PAS had not improved the teachers' teaching skills.

This study found that there was a split-in-half response from the heads who expressed different views from the teachers. These conflicting views could be that the heads want to defend the system or because of the closed nature of the question they opted for a safer option that was defending the system. Collected data nonetheless gives conclusive evidence that teachers don't believe their teaching skills improved through the implementation of the appraisal system but through experience gained over years which has actually improves their teaching skills.

4.10.3 Improvement of Head's Administrative Skills

The study further sought to find out if through the PAS heads had improved their administrative skills. The majority of the surveyed heads (58.3%) indicated that they had improved their supervisory and administrative skills while 41.7% head respondents indicated otherwise. However, a closer look at their professional qualifications, data indicated that 66.8% of the head respondents from the survey and all interviewed head respondents had a Bachelors or Masters degree in Educational Administration, meaning that the supervisory and administrative skills could have been as a result of their advanced learning.

As a follow up on the skills improvement, the study sought to find out whether the training needs of the appraisees had been identified. From the open-ended questions in the survey, all respondents confirmed that their training needs had been identified during the appraisal process. All respondents expressed the same sentiments that, although their training needs had been identified, no training has ever been carried out by the employer to address these skills deficiencies. H1 speculated,

> *The government has not offered any training on these identified needs. I suppose this is due to lack of finance or lack of skilled manpower to give necessary training that would suit the identified needs of the appraiser or appraisee. This is my assumption and observation.*

Elaborating on this point P1 claimed *"….it was lack of funds and proper organization to actually assess the training needs and actually carry out the courses".* It emerged that 95.7% respondents felt that PAS had been a fruitless exercise that was time consuming and frustrating. This study unearthed that while training needs had been identified yearly, that information had remained in paper records with no corrective measures taken, suggesting that skills deficiencies had not been addressed.

4.10.4 Improvement of Co-Operation and Teamwork

The study sought to find out if the appraisal system had improved co-operation and teamwork. Table 4.5 showed that 41.7% of teacher respondents and 50% head respondents indicated that co-operation and teamwork had improved while 58.3% of teacher respondents and 50% of head respondents disputed that co-operation and teamwork had improved. This study found out that there was a near tie in the teachers' responses and a neck to neck response from heads concerning the improvement of co-operation and teamwork, suggesting that, it all depends on the school's culture and tone. Schools that had good teamwork spirit before the introduction of the PAS could have maintained the status quo of working in teams or the nature of closed questions could not give them chance to explore and know exactly what the question demanded.

The interviewed heads seemed to suggest that teamwork had not improved as H1 alleged, "*In terms of teamwork, performance appraisal breaks the teamwork spirit as it tends to concentrate on 'one man for himself and God for us all' it makes people compete for the final rating hence there is more competition than collaborating."* It would appear from the information above, that teamwork has not improved probably due to the fact that at the end of the appraisal process there is individual rating.

Focus groups discussions also revealed that teaching is about teamwork. Where there are more classes per grade, teachers need to co-ordinate in content coverage so that

when tests are given to the children, no class is disadvantaged because a certain concept has not been covered. Evidence from this study revealed a mixed response to cooperation and teamwork. A further inquiry into co-operation and teamwork was explored in the case studies. CSA1 was of the opinion that: "……*the whole thing has to hinge on convincing that the teacher has to look at the welfare of the child not the paper. We have amicably agreed to disregard the PAS and concentrate on the child not the paper".* This kind of working relationship was confirmed by the Grade Seven results in this particular school that maintained a pass rate ranging between 91.3% and 99.3% from year 2000 to year 2009.

This response shows that the school does not attribute their good performance to the appraisal system but more to their co-operation and commitment to teaching. **CSB1** remarked similarly to **CSA1** when she stated that *"Here we work in teams and more so we have to cooperate in sharing meagre resources. We only go back to the appraisal forms to meet the deadlines for submission to make them valid.*" A further look into their track record in terms of results revealed that although not as impressive as case study **A,** case study **B** maintained a good pass rate with a drop in the years 2006, 2008 & 2009. The heads reported that the poor results were a result of the severe economic meltdown, shortage of instructional materials and industrial action by civil servants. The researcher was left without any evidence that PAS improved co-operation and teamwork.

4.10.5 PAS and Improved Communication

Public servants were alleged to be arrogant, insensitive, had poor communicators and were prone to favouritism by the PSRC (1989). The study sought to find out if PAS helped to improve teachers and heads in communication and working relations with colleagues and the public. It turned out that 37.2% of teacher respondents indicated that PAS improved their communication skills and working relations while the majority (68.8%) of them refuted this assumption. It also emerged that the majority (68.3%) of head respondents indicated that PAS helped improve communication and working relations while 31.7% of head respondents indicated otherwise.

This study uncovered a difference of opinions in the view of improved communication and working relations. While the majority (78.3%) of heads thought they had improved their communication and working relations, the majority of teacher respondents disagreed. This could be caused by the nature of the heads' duties which demands that they communicate with a wider community more than the teachers do. The other contributing factor could be that one of the prerequisite skills for one to be a leader is to have good communication skills.

The general consensus from focus groups A and C was that communication had not improved, because appraisers often imposed their opinions on appraisees in terms of the KRAs and final ratings. However focus group B could not dispute or agree that communication had improved because they specified that they have always maintained good working relations with their head with or without appraisals. This was a group made up of teachers from P1.4 and CSA, where the academic performance at Grade Seven has been maintained.

4.10.6 The Development of Targeted Skills

In an attempt to address the above research objectives the researcher listed some goals of the PAS and respondents chose their response from not achieved, partly achieved and fully achieved in Table 4.6 below.

Table 4.6: Extent of goal achievement

1 Not achieved 2. Partly achieved 3 Fully achieved

	Teachers						Heads					
Goals	1		2		3		1		2		3	
	f	%	f	%	f	%	f	%	f	%	f	%
Enable to improve pupils performance	21	58.4	13	36.1	2	5.5	8	66.6	3	25	1	8.4
Ensure motivation of teachers	29	80.6	6	16.7	1	2.7	10	83.3	2	16.7	0	0
Enable to develop teachers' skills	30	83.4	5	13.9	1	2.7	8	66.6	4	33.4	0	0
Improve the quality of education	24	66.7	10	27.8	2	5.5	9	75	2	16.6	1	8.4

When teachers join the service, they have theoretical experience that needs to be matched with practical job execution. The appraisal system is designed to improve their teaching skills so that learners gain maximally in terms of academic improvement. As a follow up of the issue of professional development the study sought to find out if teachers' targeted skills had been developed through the implementation of the PAS.

It emerged from Table 4.6 that the majority (83.4%) of teacher respondents and 66.6% of head respondents were of the view that the goal of improving teachers' skills had not been achieved while 13.9% and 33.4% of these surveyed teachers and heads respectively assumed that the goal had been partly achieved. These finding confirm what is said in Table 4.7 where the majority, (72.2%) of the surveyed teachers and 83.3% heads indicated that PRP had not actually improved classroom practice. A similar trend also came from Table 4.5 where 69.4% teacher respondents specified that their teaching skills had not improved due to the implementation of PAS. The responses given by the heads are in accord with the teachers in that the goal of developing the teachers' skills had not been achieved.

All focus groups respondents indicated that the PAS had not helped them improve their teaching or added any skills relevant to their work. Substantiating this view is FGA6 who remarked: "*I may have improved to some extent through experience but not due to the appraisal system."* FGB4 added that, "*The system is very judgmental so much that we don't think of any improvement in our skills but aim to score marks so that we are rewarded."* FGC respondents also pointed out that the development of teachers' skills had not come about due to PAS or PRP, but through experience and close co-operation between new and experienced teachers. Some of FGC members gave the following comments; "*The morale is low, teachers are not giving off their best performance, so it is difficult to say skills have developed" (1). "Since I joined this school we have not held any staff development so I still have my deficiencies" (3).*

> *Although I have indicated that I wish to be computer literate in my appraisal form, we have not been offered the training. I have also stated that I want to be trained in teaching composition writing but no help has been forthcoming, so I cannot say my skills have developed (5).*

It appears that focus group respondents corroborate with interviewed respondents in that the teachers' targeted skills had not been developed. It emerged that none of the surveyed heads thought this goal of improving skills had been achieved at all. Similarly, all interviewed heads indicated that the goal of skills development for teachers had not been achieved. Confirming this line of thinking was CSA1 whose comment was, "*I am not sure, but I believe that if ever an appraisee is to be an outstanding performer it is not about the appraisal system but personal conviction."*

All interviewed respondents EOs and PSIs also reiterated the same sentiments that while the training needs had been identified; training to correct the identified deficiencies had not been effected; hence teachers' skills had remained unimproved. Consequently, professional development that addresses the needs of individual teachers did not materialize in the sampled schools. It may have been the government's aspiration to improve the teachers' skills but due to prevailing economic and political mayhem, the goal could not be achieved. This failure to train people on identified gaps may have rendered the system a futile exercise.

4.11 TEACHER PERCEPTIONS ON PAS AND PRP

The philosophy behind performance-related pay is that high quality workers are attracted to an organization that recognises and rewards their ability. These rewards were also meant to motivate teachers. PAS is a system that was introduced to run concurrently with the PRP in order to entice educators to enhance quality education. The study sought to find out the views and attitudes of teachers in relation to how the PRP motivated teachers toward good performance in Table 4.7

Table 4.7:Factors on performance related pay

	Teachers		Heads	
Factor	% A	% D	% A	%D
1. Pay or bonus should be based on performance	22.2	77.8	33.3	66.7
2. PRP helps to recruit & retain highly skilled manpower.	13.3	86.7	25	75
3. PRP helps to improve work motivation	36.1	63.9	33.3	66.7
4. PRP improves classroom practice	27.8	72.2	16.7	83.3
5. PRP improve quality of work	13.9	86.1	8.3	91.7

4.11.1 Recruitment and Retention of Highly Skilled Manpower

The study made an undertaking to establish whether PRP helped to recruit and retain highly skilled manpower. In Table 4.7, 13.3% of teacher respondents and 25% of head respondents indicated that PRP helped in recruiting and retaining highly skilled manpower. Conversely, the majority (86.7%) of teacher respondents and 75% of head respondents refuted that PRP helped in recruiting and retaining highly skilled manpower.

From the focus group interviews, 61.9% of teacher respondents joined the service before the introduction of the performance-related pay programme which may mean that the programme was not instrumental in their recruitment. It also emerged that the

38.1% of teacher respondents who were recruited after the programme had been introduced, were not attracted by it but rather joined the service to be employed and have a steady income. None of the teachers claimed to have been recruited on the basis of PRP. Interviewed heads, EOs and the PSIs confirm that neither PAS nor PRP have been useful in the recruitment of personnel into the teaching profession but presently, in Zimbabwe people are employed based on their academic and professional qualifications supported by the certificates and not skills.

In pursuit to expose the situation of personnel retention in the education system, the study sought to find out whether the PRP had managed to attract and retain highly skilled teachers. Interviewed heads, EOs and PSIs advanced that the system of attracting highly skilled manpower may have worked well in the industry due to competitive salaries but with government regulated salaries, mere qualifications sufficiently secure an individual employment. These interviewees further noted that the high inflationary environment, the low salaries and the general low morale amongst the teaching fraternity created a high exodus of teachers causing them to take up jobs in other countries. Confirming the situation E2 added:

> *Performance appraisal during those years had collapsed and nobody bothers to ask us about papers, what we have been doing is just to complete the forms at the end of the year. We do everything in November, we complete our agreements, we do our reviews, and we rate each other within the five minutes I have with my appraiser or appraisee then put the papers away.*

The same question was posed to the PSIs who had the capacity to evaluate the situation in the whole education community. PSIs revealed that although teachers might not expect large salaries early in their careers, eventually they become unhappy with their remuneration and some decide to leave teaching. However P1 was quick to point out that *"I think the timing of the introduction of PAS collided with the economic and political problems that affected the country then the system stood no chance of retaining the workforce."*

In response to the same question, P2 pointed out that their department had not carried out any research that could reveal the relationship between performance appraisals and retention of the workforce. In his view, macro environmental factors and very little micro

factors may have affected retention of teachers. In its own right, the PAS may provide an element of retention if its total package is well implemented (P3). This study found out that although performance appraisal is ideally meant to help retain the workforce, this has not been the case in the sampled population as teachers left probably due to environmental factors.

The study further sought to find out if there were any terminations, demotions or discharges due to the appraisals. Responses from the interviewed teachers, heads, EOs and PSIs indicated that they were not aware of any member who had been affected in that way. E1 was quick to point out that *"…even those who refused to comply with the appraisals have gone unpunished although their names had been compiled and sent to Head Office in Harare."* This revelation shows that although the system was enforced by Statutory Instrument those who defaulted in implementing the appraisal still went unpunished.

The study went on to find out if there were any teachers or heads whose status had changed due to the PAS. All of the interviewed respondents were quick to point out that when one applied for promotion a completed, valid form with a rating of 4 and above of the PA cycle was one of the required documents for one to be considered. Qualifying these comments H1 advanced that, *"It is a requirement that is on paper which does not mean the person is a good performer or a hard worker; it is just on paper, no one has ever bothered to confirm the ratings of an individual".* Concurring with H1, H2 stated:

> *I wouldn`t say it was due to performance appraisal but when one is submitting an application for promotion, one has to attach a completed performance appraisal form. By so doing I would say somehow people`s status has been changed.*

Confirming this view was P1 who endorsed that:

> *For all promotional posts in government actually require the rating for the previous cycle, like when we are short listing candidates for promotion, specially in education for the heads and deputy heads people who are promoted should have a rating of 4 and above. So those have benefited from the system in terms of them being eligible for promotion.*

This study found that generally, statuses have not changed due to the PAS per se but rather, those who were already eligible for promotion had to submit the appraisal form

as an added requirement. One may not conclusively say that those who were promoted their statuses did not change due to the appraisal system. For instance, if one had good rating in the performance cycle but did not have the other requirement like a degree, then they are not eligible for promotion.

It is also clear that the requirements of the Statutory Instrument of 2000 have not been enforced. PRP requirements on recruitment have not been enforced and the question still remains unanswered; how does the employer remain certain that the new employees are skilled in terms of lesson delivery, supervision of pupils and general preparation besides relying on their certificate qualifications?

4.11.2 Views on Bonus/ Pay Being Based on Performance

Performance-related pay is a highly contested concept when married to the performance appraisal system. This study endeavoured to discover the views and attitudes of teachers and heads on basing pay or bonus on performance. The majority (77.8%) of teachers and 66.7% of heads indicated that pay or bonus should not be based on performance. All focus group respondents opposed the idea of pay and bonus being paid based on the performance expressing inability of some appraisers to award marks that warrant bonus payment and that the system was subjective. FGC5 remarked, "*Basing pay or bonus on performance is not fair because of inadequate resources to actually carry out and achieve set targets."*

On the same note all interviewed heads and PSIs felt that while the government's intention was to reward people according to their input to the organization, it had inadequate funding to sustain the scheme. All interviewed heads were of the opinion that it is an unfair programme. H1 advanced that*, "I don't like it, I was not well trained to implement it and I don't understand the system."* H2 also declared that: *"The system has been talked of, perhaps if there was good money involved people would not complain"* while H3 affirmed, *"Personally I don't understand it and I don't like it."*

In his view P1 commented: "*I don't think teachers were ever trained to implement the PRP alongside with PAS. It was introduced before people really understood the PAS."*

P2 asserted that, "*I remember that PRP was introduced later than PAS and teachers like other civil servants got confused.*" P3 capped the whole notion by alleging that "*The system is affected by the human element where you can manipulate it, it has an element of being objective in totality but then it can be very subjective."* Information emerging is that respondents felt the system involved so much judgement of others, was tainted with subjectivity more than objectivity and was open to abuse.

The introduction of PRP before people had grasped the PAS sort of deviated the attention from development to accountability. The above responses are also a clear indication that the issue of relating performance to pay/ bonus was not welcomed by the majority of respondents. However, unpopular as it may seem, a minority (22.2%) of teacher respondents and 33.3% of head respondents indicated that pay or bonus should be based on performance. This is probably a group of individuals who have benefited financially from the system.

4.11.3 Remuneration based on performance expected by educators

The study sought to find out whether all the teachers had received performance related remuneration. Survey open-ended questions revealed that only 38.9% of teacher respondents and 16.7% of head respondents had received the performance related pay. The majority (61.1%) of the teacher respondents and 83.3% of the head respondents had never received any payment related to performance. Focus groups interviews revealed that only 28.6% of the respondents had been financially rewarded based on the PRP while the majority (71.4%) of them had not received any performance related pay. Data reveals that the majority of respondents did not receive any remuneration related to performance.

Interviewed heads reiterated a similar trend when they stated that, "*not all, I would say maybe 40% of the personnel received PRP and the unfortunate situation is that high flyers were disadvantaged"* (H1). In support to H1, H2 pronounced, *"I don't think so because I am one of those who did not get any money although I cannot say the number of members who did not benefit"*. Confirming the above information P1, related,

> *This only benefited a few members and I think in the smaller ministries but the bigger ministries like Education, most of the members were indicating that they did not benefit. So in terms of motivation in some sectors people were motivated but not in other sectors. I would say 60% of employees especially in education did not get any monetary reward from the system and tended to dislike the system and were demoralized.*

P3 added that, *"If we want to relate pay to performance then it should be spelt out very clearly to everybody from the onset. People should know the exact position from the very onset".* Information above indicates that payment based on performance has been erratic and policy makers or initiators of the programme may not be aware that the unity of the working force had been destroyed because of these erratic payments.

In the Zimbabwean situation, payment of rewards related to performance is done based on the validity of the form more than performance of an individual, as stated earlier on the focus of training (Directors' Circular Minute No. 34 of 2005; 62 of 2008). Corrective measures on invalid forms or under performance can be done after some form of feedback is given from the employer. Based on this information, the researcher further sought to find out whether employees were given any feedback from the employer as to how they had performed in terms of their ratings and why they were not remunerated.

Interviewed heads and EOs indicated that there was no feedback received from any office stating how individuals had fared in the appraisal process. In this regard E1 remarked "*I don't think people were ever been given any feedback about their KRAs from whatever office. What I know is that a validation committee looks at the forms, do corrections before information goes to the next office".* This was confirmed by the PSIs:

> *Well, I don't think those who did not get any reward were ever given any feedback. A few years back, after an appraisal PSC would copy you a letter written to the Paymaster General that this member has been advanced by one notch to his salary. But in most ministries people found their salary raised by one notch or two without having been informed that it was a result of that appraisal. So the system has not been effective in some departments*.

Concurring with P1 were his colleagues P2 and P3 who mentioned that, "*Not that I know of, considering our situation of high staff turnover at head office, I don't think there has been any feedback at all".*

This study found that there was an oversight on the part of the employer by not giving feedback to the employees. Without feedback, teachers have continued to be sidelined in terms of performance related pay because they probably have continued to make the same mistakes over and over that have caused them lose out on rewards.

With regard to those respondents who reportedly had received the rewards related to performance, they claimed that the amounts received varied and were in most cases insignificant. Comments from focus group respondents who had received the money were that, FGA6 “I received some money but the difference from my previous salary was Z$150.000.00 (US$2)”. FGC4 related that,

> *When I checked with my colleagues who are in the same salary scale with me I realized that I received an amount lower than them but since I was not aware of the rating amount it was difficult to compare and be certain that I was rewarded.*

This study found that the management of awarding money as an incentive to people who scored highly in appraisal reports has not been effectively done. In the education sector, the relationship between money and performance has not been well established hence, money has not improved teachers’ motivation. The selective payment has actually confused and antagonised teachers. It is an issue that needs extensive research before implementation.

4.11.3.1 What was the percentage increment expected?

In the desire to learn more about the effect of PRP in the education system, the study sought to find out how remuneration based on performance was done and what the percentage increment was expected. Hundred percent surveyed respondents were not aware of the increment percentage because the information was never revealed to them. Interviewed heads, EOs and PSIs also expressed the same sentiment as E1 put it, *“That was not clear to everybody how it would be done. We heard of notches but I cannot really confirm what it was because I did not come across that information on paper”.* PSIs also professed ignorance on the issue of the percentage increment as P1 stated,

> *The Commission had made an indication that if one got a 5 they would be given two notches, 4 would get one notch, 3 remained where they were while those who scored below 3 would be penalized. However that information did not filter down to members on the ground.*

The PSIs further affirmed that although PSC had generated a circular about the intended increments and sent to all heads of departments; it did not filter down to its intended beneficiaries. This study found that, teachers, heads and all those in the Education sector were not aware of the benefits due to then if they attained a particular rating summing up their performance. So if people do not know what is entitled to them in relation to ratings and rewards attached to performance, one wonders what the employer is hiding and how that has affected the teachers. Having established that the percentage increment was not revealed to the teachers the next step is to try to ascertain whether assessment standards were set up.

Although the five Key result areas did not cover every aspect of the teacher's job, teachers had to concentrate on the KRAs to achieve high rating that warranted a reward. In-depth case studies expressed similar sentiments as confirmed by CSA1:

> *….PAS and PRP mentality destroy the initiative of the teacher because when the teacher sits down to come up with work plans, it entails that some aspects of their work is left out and they cannot take work home because they wont be remunerated for any work done outside school hours.*

CSA2 added, "*For the child to benefit maximally there is a lot the teacher can do outside the set timetable."* Reiterating the same view CSB2 stated: "*The appraisal requires that one crafts five Key Result Areas (KRAs) which do not cover the whole package of the teacher's work."* Both case studies showcased the reality faced by primary school teachers. While they were entrusted with the responsibility of imparting knowledge on the ten subject areas, they were expected to carry out sporting and extra-curricular activities as well.

All focus groups exposed that, due to low salaries and low morale teachers had resorted to spending as little time as possible at schools so that they could use the rest of the hours doing other jobs that would supplement their income. FGC2 posit, "*Times are so hard that I have to sell sweets and vegetables after school to supplement my income"*, while FGA6 complained that, "*No matter how much effort you put in teaching*

at the end of the month you cant feed your family." Data above seems to suggest that teachers stopped giving extra help to the children due to low salaries, low morale as they spend most of the time fending for their families.

Additionally, due to selective payment and economic meltdown, teachers reportedly would rather spend as little time as possible so that after school they concentrate on moonlighting, a habit that compromised quality education in schools. Since it has been established that teachers have no desire to put extra effort in their work, it is of interest to find out how they relate to the public.

4.11.4 PAS fairness and reduction of grievances

The study sought to find out the views of the respondents in terms of the fairness of the system and if it reduces grievances. Through the open-ended questions, all surveyed teachers and heads concurred that both PAS and PRP were very unfair systems and instead of reducing grievances, they have created conflicts within the schools due to the varied standards based on the appraiser's discretion. Respondents alleged that appraising people on behaviour that included attitudes and personal dimensions was open to abuse. All focus groups respondents accused that the systems were far from being fair as there was no feedback and people were not told how they had faired in terms of appraisals and why they were not rewarded. Furthermore, FGB1 cited refusal by supervisors to award a 5 to deserving individuals and the selective payments as iniquitous.

FGB2 noted that, *"two people can write the same KRAS and produce the same documentary evidence but the ratings will not be the same."* FGC5 observed that "*appraisals create conflicts because some supervisors show biases and favouritism".* It also was a bone of contention in FGA when respondent 7 accused that "*Supervisors may be fair, but when payments are done you find that non-performers are usually heavily rewarded.*" From the sampled population, it appears that such comments seem to suggest that there is no uniform formula in carrying out the appraisals. H1 advanced that "*The system has actually increased the grievances because of the tension between*

the heads and teachers during the appraisal reviews." Supporting this view was P3 who commented that*, "Instead of the reduction of grievance, the system is likely to produce the opposite because of its subjective nature."*

From the documentary analysis, the study found out that the appraisal form stipulates that:

> *If the appraiser and the appraisee do not agree on work plans or the rating of the performance, this issue should be taken to the immediate superior of the appraiser. If not resolved by the appraiser's superior, the matter should be taken to a committee established by the Head of Department or Head of Institution (e.g. school/ hospital) and ideally agreed to by both appraisee and appraiser. If the committee fails to achieve agreement the matter should be referred to the head of Ministry. The Head of Ministry may resolve the matter or it may be dealt with as a normal grievance.*

The study found that while the system provided for grievance resolution the, MoESAC did not put in place the structure in terms of people who would receive and solve appraisal disputes and grievances. All interviewed heads and EOs reported that this was a lengthy process that educators always avoided as much as the seeking of the second opinion on the rating of 1 and 5. This study found that there was a degree of mistrust between heads and teachers due to biases associated with rating.

The study sought to find out what major benefits teachers had enjoyed through the implementation of the PAS and PRP. The majority (91.7%) of teacher respondents and 100% of head respondents indicated that they had seen no benefits of the PAS and PRP and hastened to point out that it encouraged cheating so that people could earn high ratings even when they did not deserve the mark. However, 8.3% of teacher respondents pointed out that, when one is to be promoted to a higher post, a complete cycle (one year) of the appraisal form was one of the required documents which was the only benefit they saw.

All interviewed heads, EOs and PSIs confirmed that the only benefit they had seen was in promotion. However CSA1 was quick to point out that, *"the presented document may be impressive but that is only a paper that could be manufactured, no one had bothered*

to check and give a second opinion on the alleged performance". Respondents were asked whether PAS and PRP should continue as is, be modified and continued or be abandoned. The majority (75%) of head respondents and 77.8% of teacher respondents were of the opinion that the PAS and PRP should be abandoned giving the following reasons;

- Government has no financial and material resources to sustain the programme.
- Teaching deals with the mind which makes it difficult to quantify in measurable terms the teacher's output and the pupil's outcome.
- The system has not been effective to motivate teachers in order to improve pupils' academic achievement.

It also emerged that 22.2% of the surveyed teachers and 25% heads were of the view that it should be modified and continued. Suggestions on modification are discussed in chapter 6 as strategies and recommendations to improve the system.

All focus groups expressed the same sentiments as survey respondents, where the majority suggested that it be abandoned. A few of them were of the opinion that it should be modified and continued proposing that the industry oriented aspects of the appraisal be removed and replaced with ones that dealt with the total education of the child (FGA). A suggestion to modify the system came from FGC that the system be designed to measure short term and long term goals to accommodate the different learning abilities of the child and teachers of special needs children.

Interviewed heads expressed mixed views with two advocating for its total abandonment while H2 suggested that *"If it is modified and continued, I think the better and more so people should be given enough training on the system so that they be capacitated on how they have to use it and why it is being implemented."* In his opinion E1 stated:

> *I advocate for its continuity but with major modification and the first thing is to remove is the element of money. Secondly, the actual document is rather too bulky in terms of pages to be completed; I wish they could remove some of the items that are not necessary and emphasize the practicality of the system, in terms of what exactly is to be done. Because I can write excellent work plans, present them to impress the supervisor but am I actually doing that, and also when we set standards we should link them with the availability of resources.*

On the other hand, E2 emphatically stressed: *"Personally I think it should be abandoned, totally, surely, I think so. Because it has not been implemented correctly, it's not uniform; people don't understand it after so many years people still have grey areas about it." Similarly, E3* advocated*, "I would be happier with it abandoned or modified greatly."* The case studies revealed that work plans designed at the beginning of the year may not match the level of children's learning capacity as CSA1 detailed:

> *Because the needs of a child dictate what one must do, so you may find that in the process of teaching, what was programmed to be achieved may not make sense and one needs to revisit and apply that which is dictated by the situation and hence when you talk of evaluating the work plans that you will have come up with, it may not always be applicable…*

Being one of the few who received training P3 proposed*, "Essentially it is not good to throw away everything, I believe that like any system with time when we grow in it, we discard those issues that we regard as not essential and at the same time crafting it to suite our own situation and it should be an ongoing exercise so that we continue to improve on it."* The other suggested adjustment to the system and the need to set rigid goal posts that have clear universal standards that are applicable to people in the same environment. P1 suggested:

> *On the rating itself, I think there is need to improve on what constitutes a grading of a 5 and what constitutes a grading of a 4; and there should be agreed standards, universally agreed in a department that if someone performs to this extent that is a 4 without someone deciding because the system as it is, as far as I am concerned it has a lot of subjectivity…. there is need to improve on ranking whereby we bring in benchmarks and targets that are universally acceptable to everyone.*

The researcher noted that while the majority of the respondents advocate for the abandonment of PAS, there are some who believed that it is a good system that needs modification. The indication was that if the system was to be continued, serious

adjustments were to be made like the removal of industry oriented aspects and designing one that would be suitable for dealing with the education sector. There was also need to include all activities that educate the totality of a child. More suggestions on modification are discussed in Chapter 6.

4.11.5 Teacher Motivation

In Zimbabwe PRP was introduced alongside PAS to motivate teachers to generate quality education in schools (motivation is fully explained in Chapter 2). It is against this background that the study sought to find out if PAS and PRP have ensured that teachers are motivated enough to improve the quality of education. Appendix D shows that 80.6% of the teacher respondents and 83.3% head respondents indicated that teachers' motivation had not increased. Information surfacing from the data suggests that teachers were not motivated at all. This seems to tally with responses that came out earlier on in Table 4.5 where the majority (88.9%) of teacher respondents and 83.3% of head respondents advocated that the PAS had not improved work motivation.

A similar response also emerged in Table 4.6 where the majority (63.9%) of teacher respondents and 66.7% of head respondents indicated that PRP did not improve work motivation. However some respondents felt otherwise; as a minority, (2.7%) teacher respondents presumed that the goal to ensure teachers are motivated had been achieved. This view is probably from a group of teachers who receive financial rewards or are naturally hard workers who could not be deterred from working by the introduction of PAS and PRP.

Talking about motivation in the focus group interviews was like raising tempers with all of the groups lamenting that PAS and PRP had actually killed their working spirit. FGA1 commented that, "*The majority of us are demotivated because we did not get what the government promised."* In support FGA3 questioned: "*How can I be motivated when after working so hard I am not rewarded and not given any reason as to why I was not paid?"* From the second group FGB5 pointed out: *"before the introduction of this system I was motivated to work when my class passed well."* FGB3 added, "*The promised pay*

due to performance was so insignificant and selectively paid." FGC2 mentioned that lack of feedback explaining why they were not paid demoralized them. These sentiments seem to suggest that the goal of motivating teachers has not been realised in the sampled population.

All interviewed heads concurred in that if properly and fairly implemented; PRP could improve work motivation as H2 pointed out:

> *In my opinion I would say PRP can motivate the subordinates but as I said it is not properly used and people are not adequately trained on this, maybe that is why it is not giving us adequate results.*

H1 *concurred that, "PRP has actually demotivated employees or teachers because of the lack of consistency in the payment, the level of performance has gone down partly due to lack of motivation although mostly I would think it is because of low salaries and other factors affecting the whole teaching population".* H3 was of the same opinion adding that *PRP has actually demotivated employees or teachers because of the lack of consistency in the payment".* All interviewed EOs noted that money could be a good motivator; however this has not been realized in Zimbabwe where the employer has not been able to honour the promise in terms of the PRP. This line of thinking was confirmed by E1 who posited that, "*Monetary rewards have been paid selectively which has caused people to be demotivated."*

Interviewed PSIs also revealed similar sentiments that their motivation had been negatively affected because the system had failed to deliver what was promised in terms of rewarding best performers. As mentioned earlier, the selective payment of PRP dampened the spirits of the work force and destroyed the faith teachers had on the system. It also came out that appraisals in themselves were not key factors towards motivation.

Other factors like working conditions, pay, job security, ministry policies recognition for achievement and pupils' academic achievements were suggested as other issues that could foster positive work motivation amongst teachers (P3). This study established that generally teachers in the sampled population were demotivated which calls for the employers to modify their strategy of motivating teachers.

4.11.6 Satisfaction with the PAS and PRP

Table 4.4 revealed that a minority (13.9%) of the teacher respondents and 25% of the head respondents were satisfied with the appraisal system whilst the majority (86.1%) of teacher respondents and 75% of head respondents claimed that they were not satisfied with it. The general feeling from the focus group discussions was that teachers were not satisfied with the appraisal system. FGA3's comment was "*It was imposed on the civil servants by the employer."* FGA5 added that, "*I cannot say I am satisfied because up to now I have not seen how the system works to benefit me."*

This reveals that the respondents have a negative attitude towards the appraisal. The situation is aggravated by selective payment of PRP. An interview with EOs gave the researcher the impression that they were also not happy with the system as E2 commented that, "*Since its policy we have to do these appraisals although I have not seen the change in people.*" Similarly, PSIs were not satisfied as P1 revealed:

> *If people or individuals don't own something, and they were not involved at its formation stage there is bound to be some laxity in carrying out the system and actually appreciate the benefits that might accrue by carrying out the system.*

Data also revealed that respondents were not competent in implementing the appraisal hence they generally were not satisfied with it. The next section looks at the profile of research sites and the situation that prevailed in terms of quality indicators that could enhance quality education in primary schools.

4.12 EFFECTS OF EDUCATIONAL QUALITY INDICATORS ON PAS

Provision of quality education was one of the main reasons behind the introduction of the performance appraisal system in Zimbabwe. Since education was considered pivotal to the economic development, the extent to which quality education was enhanced at primary schools was an issue of interest in this study. Quality that has been discussed in Chapter 2 and it was indicated that quality indicators such as teacher capacity, infrastructure, teaching and learning materials are essential and linked to

academic achievement of students. As teachers implement appraisals they need these resources to plan and deliver their lessons and achieve their set targets. Table 4.9 shows some indicators of quality that the study endeavoured to evaluate. The study sampled three types of schools where pupils paid high fees, low fees and none payment of fees. Funding of these schools is in line with their fees structures hence there is bound to be variation in terms of resources (See Table 4.8 below). The study sought to find out how the quality indicators affected the implementation of the PAS in the schools.

Table 4.8: Profile of research sites

School Code	Responsible Authority	Location of school; Enrolment	Fees structure at that school	State of resources and staffing
P1.1	Government	I) Low density areas which were formally reserved for whites only now mixed. 2) Normal enrolments, no double sessions	Pupils pay high tuition fees and levies set by parents. Govt per capita grant $1.80 per child per term	Adequate infrastructure furniture, moderate textbook situation. Parents pay teacher incentives
P1.2	Government			
P1.3	Government			
P1.4	Pvt NGO			
P2.1	Government	1) High density areas which were formally and still are blacks. 2)Very large enrolments with double sessions	Pupils pay medium tuition fees and medium levies set by parents. Govt per capita grant $2.12 per child per term	Inadequate infrastructure and furniture, high pupil-textbook ratio. Parents pay low teacher incentives
P2.2	Government			
P2.3	Lga, Pvt			
P2.4	Lga, Pvt			
P3.1	Pvt, Church	1) Peri-urban areas. 2) Low enrolments no double sessions	Pupils do not pay tuition fees, wholly subsidized by Govt. Minimum levies set by parents. Govt per capita grant $3.17 per child per term.	Adequate but dilapidated infrastructure. High pupil-textbook ratio. Parents pay low incentives to cover transport only.
P3.2	Lga, Pvt			
P3.3	Government			
P3.4	Government			
CSA	Government	I) Low density areas. 2) Normal enrolments, no double sessions	Pupils pay high tuition fees and levies set by parents. Govt per capita grant$1.80 per child per term	Inadequate infrastructure High pupil-textbook ratio. Parents pay low teacher incentives
CSB	Government	High density areas. Very large enrolments with double sessions	Pupils pay medium tuition fees and medium levies set by parents. Govt per capita grant $2.12 per child per term	Inadequate infrastructure and furniture, high pupil-textbook ratio. Parents pay low teacher incentives
Key:	Lga Pvt: Urban council private. NGO: Board of Trustees. Pvt Church: Church school			

The 1991 Act (No.26/1991) introduced fees at primary school level that had been tuition-free since independence, a reversal of the principle of free and compulsory primary education enacted into law by the 1987 Act. The three categories of schools were known as Group A, B and C. It is important to point out that even after this Act, rural and peri-urban primary education continued to be mainly tuition/fee free.

Table 4.3 shows the profiles of the research sites and schools coded as P1.1-4 are those situated in the low density areas where it is assumed the affluent families live. It is alleged that before the political independence, in 1980, these schools enrolled only white children. Although the racial discrimination was abolished at independence, the schools remained serving the affluent blacks and whites. P1.4 schools were constructed and are completely funded by a Non-Governmental organisation. P2.1-4 schools are in the high density suburbs. The enrolments are very high compelling the schools to have double sessions. P2.3 & P2.4 were constructed and are fully funded by the Local Urban Council. P3.1-4 schools are situated in Peri-urban areas where the main source of income to many families is communal farming.

Funding of the schools is done by the Responsible Authorities, mostly church organisations. All teachers in Zimbabwe's public, private and rural schools are employed and paid by the Public Service Commission under the Ministry of Education, Sport, Arts and Culture. Since PAS was introduced to enhance quality education, the next section explores how material and human resources were put in place to support the implementation of the PAS.

Table 4.9 below tabled some indicators of quality that the study endeavoured to evaluate. The study sampled three types of schools where pupils paid high fees, low fees and none payment of fees. Funding of these schools is in line with their fees structures hence there is bound to be variation in terms of resources. The study sought to find out if the performance appraisal system has adequately addressed the quality indicators in schools.

Table 4.9: Indicators of quality education in schools

Respondents	Teachers						Heads					
	Inadequate		Moderate		Adequate		Inadequate		Moderate		Adequate	
Indicators	f	%	f	%	f	%	f	%	f	%	f	%
1.Infrastructure	17	47.2	11	30.6	8	22.2	6	50	3	25	3	25
2.Teaching & learning resources	33	91.2	2	6.1	1	2.8	12	100	-	-	-	-
3.Teaching staff	4	11.1	6	16.7	26	72.2	1	8.3	5	41.7	6	50
4.Pupil supervision	2	5.6	14	38.9	20	55.5	0	-	11	96.7	1	8.3
5. Tr. supervision	22	66. 1	11	30.6	3	8.3	0	-	7	58.3	5	41.7

4.12.1 Infrastructure of the Schools

The most crucial quality indicator is the provision of shelter in the form of classrooms where teaching and learning can effectively take place. The study sought to evaluate the situation in schools in terms of infrastructure as one of the quality indicators. Table 4.9 shows that the majority (47.2%) of teachers and 50% heads affirmed that the infrastructure in schools was inadequate. These responses mostly came from P2 schools (Table 4.8). Thirty point six percent of teacher respondents and 25% of the head respondents in P3 schools considered the situation on infrastructure moderate in their schools. It also turned out that 22.2% of teacher respondents and 25% of head respondents regarded the situation as adequate. The researcher found out that P1 schools (high fees paying schools) reported that their infrastructure was adequate with one stating that it was moderate. The school that reported having moderate infrastructure had temporary wooden structures used as classrooms.

The question on infrastructure and how it affected the implementation of PAS was posed to interviewed respondents. FGA considered the infrastructure situation as inadequate as double session was the order of the day. Double session, is whereby due to high enrolment the school is divided into two parts. The first half of the school comes in the morning with their teachers while the second half comes in the afternoon with

their own teachers different from the morning ones. This situation sometimes referred to as hot seating made teachers fail to meet their set targets as part of teaching was done outside.

Complaining about the same situation was E2 who stated that, *"Infrastructure is grossly inadequate. As you asked that question, what comes to my mind is one school which has 30 classes outside sitting on the ground during a session in the Redrup* District. So the resources are very minimal, they are very scarce".* E1 further mentioned that the situation did not allow children to study at school. If there wasn't any double session, schools would end at 1o'clock then from 2 o'clock to about 4 o'clock it would be supervised extension work time where children would revise, research and do their home work. This does not happen because children have to leave the room and give way to the new group. Elaborating on the situation E2 stated that, "….*in this particular school I'm having in my mind, I'll give you an example that on a very cold day, windy day or rainy day, you would find 120 students in one classroom with 3 teachers, so there is no effective teaching and learning under such conditions".*

FGC viewed the infrastructure situation as moderate because the school enrolments usually matched the classrooms available. There were instances whereby one or two classes may hot seat. However, FGB painted a rosy picture where they had adequate infrastructure adding that besides normal classrooms, they had specialist rooms used as a library, a gym and a computer lab. This study found that this variation was a result of the colonial era where former 'whites only' schools were adequately equipped with infrastructure and has been further reinforced by their high fees structures. Another revelation made by this study was that the situation was more pathetic in P2 schools more than P3 schools because of the high enrolments that prevailed in P2 schools. This means that where infrastructure is barely enough to afford adequate and effective teaching then learning is minimal and sometimes supervision is none existent which means implementation of PAS is flouted.

4.12.2 Teaching and Learning Resources in Schools

In a school set up, it is essential that teachers are provided with the resources such as syllabi, teacher's guides, in different subjects taught, exercise books and a variety of consumables used in the process of teaching to carry out their work effectively. The study sought to find out how the situation was in the sampled research sites in terms of resources. It emerged in Table 4.9 that the majority (91.2%) of teacher respondents concurred with 100% of head respondents in indicating that the teacher's resources and textbooks were inadequate in schools. It also turned out that 6.1% teachers thought the resources were moderate while just 2.8% indicated that the resource situation was adequate.

Focus groups A and C were in accord with survey respondents on that teachers' resource books and textbooks were in short supply due to ballooning enrolments which were not financially matched in their schools. FGA1 commented that *"When the school was established, there were three classes in each Grade but now they range from 5 to 9 classes in each grade. Teachers have to share the guides."* It also turned out that the situation of teacher's resource shortage was worst in the P3 schools. Some teachers in the focus group C confessed that they had not seen any syllabus.

Focus groups A and C articulated that due to the economic meltdown, schools had not been able to buy books and that most of the books had over lived their life span, and the duration of the textbooks was further compromised by the high pupil-book ratio. Focus groups also revealed that in order to alleviate the textbook situation, schools used to charge parents a special levy to replenish textbooks in a school. However, this has since stopped due to high cost of books and parents failing to pay levies. The textbook situation was also confirmed by EOs, as *E1* remarked:

> *The textbook situation is bad, I went to one of my primary schools for supervision in 2009, and I was shocked. There wasn't a single textbook in the school with an enrolment of over a thousand pupils, when I inquired what had happened to the books the head said there were no books when he came in.*
>
> *As parents were not able to pay fees and levies to the schools books were not being replaced. Where the situation is better you would find 10 pupils sharing one book. Parents were also not able to buy their children personal copies. As a result the performance went down and children could not even do their home work (E2).*

Without question, the serious shortage of essential teaching and learning materials has a negative impact on achievement of quality education and as such teachers may not achieve their set targets. While focus groups A and C painted a gloomy picture in terms of resources in schools, respondents in focus group B drawn from P1 schools revealed that although they had syllabi shortage other teacher's resources were well supplied.

This study found that generally, infrastructure, textbooks, teacher's resources, teaching and learning resources were inadequate in schools. Interviewed EOs confirmed that they had been shocked by the pathetic shortage of teaching and learning in some schools. The EOs also revealed that due to the economic meltdown, the Ministry through the Curriculum Development Unit (CDU) had not been able to produce copies of the syllabus of any subject. The economic turmoil facing the country also made it difficult to replenish furniture and books making the achievement of set targets a difficult task.

4.12.3 Adequacy of the Teaching Staff

All interviewed heads indicated that there was adequate teaching staff in their schools. H1 stated that while all classes had teachers, some were untrained and employed on closed contract basis meaning that they may not be re-employed the next term. H2 remarked, "*I wouldn't say we have adequate teachers because so many of them leave and we replace them with temporal teachers before trained ones are appointed.*" H3 echoed the same sentiments. Following up on this issue with EOs indicated that schools were not adequately staffed as E1 revealed:

> *So many qualified teachers resigned some absconding due to economic mayhem and left gaps. There is a time, especially in 2007-8 when teaching could not even attract temporal teachers because of the low salaries. So right now in 2010, I wouldn't say the situation is normal.*

EO2 and EO3 also confirmed that teacher turnover was very high with some teachers leaving during the term. EO3 added that the death rate also robbed the system of trained manpower. The outcomes of this study are that schools may have professionally qualified personnel to teach, but a good number of them were not trained in implementing the appraisal system as shown in Table 4.3 More so, there were a high number of temporary teachers who are excluded from carrying out PA because of their short stints in schools.

4.12.4 Quality of Pupil Supervision

The study sought to find out whether through PAS teachers had improved in supervising pupils' learning. Table 4.9 revealed that the majority (55.5%) of teacher respondents and just 8.3% head respondents believed that supervision of pupils' work was adequately done. It also emerged that 38.9% of teacher respondents and the majority (96.7%) of head respondents conceived that the supervision was moderately done. It appears that the majority of teachers were defending their stance on pupils' supervision while none of the heads could provide evidence for the sterling job they claimed they did.

As a follow up EOs were asked if they thought teachers had adequate time for teaching and learning activities that enhanced quality education. In his response E1 postulated,

> *We still have these financial problems; the salaries have been too poor for them to teach effectively. Therefore the teachers have to share their time, between the work they are employed for and supplementing their merger salaries .This tends to interfere with their teaching time. They don't teach the whole day. They have to set aside an amount of time to scrounge around for extra money to feed their families and send their children to school. At times you do understand the situation and you forgive them.*

Confirming this situation was one interviewed head, who concluded that,

> *They do have the time; it's only that these days in Zimbabwe teachers` moral are very low. Teachers are not being paid adequately. They have the skill and*

> *the capacity, they can do it, but they have decided to stop putting effort in teaching because at times they engage themselves in other activities to get money for their families.*

This study found that the PAS or the PRP have not produced the positive results that were expected towards teachers' working habits. This could mean that the appraisal system at primary schools did not enhanced pupil supervision by the teachers. The researcher also noted that moonlighting on the part of teachers is the order of the day due, to meagre salaries Government is paying them.

4.12.5 Quality of Teacher Supervision

Appraisal of teachers consists of a rating scale which is based on supervision through class observation, exercise book scrutiny, and inspection of record books and assessment of progress on set targets. The study sought to find out how the PAS had improved supervision of teachers in schools. A minority (8.3%) of teacher respondents and a relatively high number 41.7% of head respondents assumed that teacher supervision was satisfactory. It also surfaced that 30.6% of teacher respondents and the majority (58.3%) of the head respondents believed that teacher supervision was moderate. In contrast, the majority (66.1%) of teacher respondents and none of head respondents indicated that teacher supervision was not as effective as expected.

The focus group respondents concurred with the surveyed teachers by suggesting that the supervision and monitoring of the appraisal progress in between reviews was not as effective as need be. The respondents alleged that at times they went into the next review without having class visits from the supervisor to ensure they are on the right track in terms of the appraisal progress. This confirms what the study brought to light earlier in section 4.5.3 where respondents revealed that they were not satisfied with the supervision and monitoring by supervisors in between reviews.

The mixed reaction suggests a possibility of mistrust between appraisers and appraisees. While heads may claim to be giving adequate supervision, their supervisees seem to be dissatisfied with the quality of assistance they receive from them. Interviewed EOs expressed a similar predicament where they also felt

challenged in terms of supervising their appraisees due to lack of time and transport that caused their to be supervision less effective. Confirming this view was E1 who postulates;

> *These supervisees are situated out there in the schools, I don't know what they do daily, I cannot be monitoring them as constantly due to lack of transport. We sometimes visit the schools maybe once a term checking whether they are complying but it is very difficult to do it properly because time is limited as you have to observe the lessons, check record books so the supervisory aspect is not as effective as one would like it to be.*

This study found that there was insufficient supervision of teachers in schools. It can be argued that although all heads claimed to have been trained in implementing the appraisal system, they do not seem to have grasped the importance of supervision that makes the system effective. Equally, the EOs also rarely carried out supervision on heads mainly due to lack of transport to regularly visit the schools. It would appear that effective implementation of PAS has been grossly compromised due to lack of adequate supervision and resources to ensure its success.

4.13 PROBLEMS ENCOUNTERED IN IMPLEMENTING APPRAISALS

This section assesses the problems the workforce in education experienced in implementing the appraisal process. The first problem teachers encountered as already stated was lack of adequate training. The open-ended questions established that the majority (83.3%) of teacher respondents and 91.7% of head respondents saw eye to eye in expressing that the problems they faced were lack of understanding of the value of the system; lack of interest and commitment from the policy makers to fully capacitate the end-users in the implementation process. They further alleged that the appraisal system had become an end-of-year ritual that caused tension within the school between the appraisers and appraisees.

Focus group interviews revealed that the problems teachers faced were shortage of resources, insufficient incentives, lack of consistency in rating and lack of feedback from policy makers. Confirming the teacher's plight were these comments;

> *Lack of resources and rewards is frustrating. You need to provide your own resources to implement the system that does not reward you in the end. For these reasons teachers are reluctant and sceptical on its implementation* (FGA4).

FGB2 added that "*The appraisal system does not take cognizance of the appraisee's plight as it is a top-down system that is planned at the head office not with the appraisee's input on the merits and demerits of the system and no feedback is ever done"*. FGCI in turn confirmed that "*We want to achieve our targets but not all children have books and pens, and stationery, forms completed for appraisals are usually not available. When we finally get them we just fill and sign"*. From these statements, it is evident that teachers and heads encounter several problems ranging from lack of knowledge, time resources and political will in implementing the appraisal system.

All interviewed heads complained that the other major problems they faced were shortage of resources such as syllabi, lack of time to effectively supervise many teachers and give them fair and deserved ratings. This was due to the fact that the ratio of supervisor-supervisee was varied and sometimes very high, for instance in some cases it was reportedly to be 1-7; 1-25; and could also be 1-40. It further emerged that the system was bedevilled by a lot of paperwork that was time consuming and so teaching time was greatly compromised. Confirming this notion CSA1 postulated,

> *The major challenge is the time factor, to have to sit down and go into it according to the spirit of the paper and more so when I know at the back of my mind as well as the appraisee's that this is merely a ritual not worthy anything.*

All interviewed EOs corroborated as challenges the shortage of transport to effectively supervise heads in their stations, lack of clear standards on the rating and lack of stationery. Confirming this view was E1 the following remarks: "*If I set my target to supervise and produce 36 reports by the end of the term I fail because I encounter transport problems, vehicles are in short supply; typing reports takes long due to shortage of staff and lack of computers for one to do his/her work" . E2 added "I have encountered problems of unclear standards for rating, lack of stationery as individuals have to buy the appraisal forms and lack of benefits in carrying out this appraisal".*

Interviewed PSIs as an agency responsible for monitoring performance in all government departments, reiterated the shortage of resources as a major challenge in achieving set targets for many implementers. P1 advanced,

> *In my view the major challenge is **lack of acceptance** of the system. People did not know why it had been adopted and what benefits the system would bring to the individual and to the organization. Because it was introduced as government policy, there is denial in terms of acceptance then the system wont work. The other challenge was the non- availability of resources; I would like think that the government hurriedly adopted the system without having put in place enough resources to ensure that if people set targets resources would be there to support whatever targets they would have set for themselves.*

Supporting the notion was P2, who asserted,

> *I think that the major challenge has been that since the system was **imposed,** implementers have no voice and continue to implement the appraisal under duress. Secondly **lack of proper or meaningful reward system** has turned the system to a mere ritual that frustrates the implementers. Thirdly teachers complain that the system is more industry oriented and not relevant to the teaching situation.*

Besides the element of imposition of the system to the people, the issue of piloting came up as P3 insinuated that,

> *Perhaps I may start where the error was made in the entire system, what should have been done was **pilot-testing of the system** before full scale implementation. Sample it with a chosen ministry or teachers or whatever and only implement it after having done some adjustments here and there in order to ensure that it will persist.*

There is overwhelming evidence that there are so many problems encountered in the implementation of the appraisal system in this Province. This study found that teachers and heads felt that they did not understand the value of the appraisal system and were further frustrated by the shortage of material and time resources to fully monitor the progress on the process. Lack of incentives, consistency and feedback; were identified as elements that challenged people in implementing the appraisal system.

This study also unearthed that there was general lack of acceptance of the system as people viewed it as imposed and implemented under duress. Failure to pilot the system was reportedly an enormous oversight on the part of the policy makers. In view of the

many challenges, the study went on to evaluate the effectiveness of the system in terms of it enhancing quality education at primary level.

4.14 EFFECTIVENESS OF PAS AND PRP IN BULAWAYO'S PRIMARY SCHOOLS

4.14.1 Improvement of Pupil Performance

The study sought to find out the respondents' views on whether the goals of the performance appraisal system in terms of it improving pupils' performance had been achieved. The majority (58.4%) teachers and 66.6% of head respondents indicated that the goal of improving pupils' performance had not been achieved at all. This confirms what was earlier revealed by Table 4.6 where the majority (75%) of teacher respondents and 58.3% head respondents indicated that PAS had not improved pupil achievement. It also emerged that 36.1% of teacher respondents and 25% head respondents thought the goal of improving pupils' performance had been partially achieved. While the goal of PAS was to improve academic achievement of pupils the above information seems to suggest that it has not improved.

The focus group respondents avowed that pupils' performance had not improved citing teacher absenteeism which seemed to be widespread. The respondents further alleged that due to low salaries teachers spent the bare minimum time with their pupils. One respondent in focus group B noted that, "*Teachers have to spend some time queuing for mealie-meal just like everyone in the community hence teaching time is compromised.*" Another respondent in the same group remarked, "*With so many strikes and school breaks due to elections, surely pupils lose out on learning time so we can not say teachers have improved pupils' performance.*" It appears that teachers do not think that that appraisal system has been instrumental in improving pupils' performance due to the situation they find themselves in although the system is still operational. The majority point out that the goal of improving pupils' performance was not achieved.

On a similar note all interviewed head respondents acknowledged that they did not think the goal had been achieved as H1 postulated, "*That is difficult to answer but I don't*

think it has been achieved since the civil service is still the same if not worse in terms of service delivery." H2 assumed that *"To a lesser extent, maybe because the appraisal system has not been fully or correctly implemented."*

Information from the interviewed EOs shows that; from the year 2006 educational activities were disturbed causing the pass rate of pupils in the national examinations to drop. Furthermore, education was affected by the industrial action by civil servants, massive exodus of teachers to neighbouring countries, elections that always altered the school calendar, shortage of resources, the low morale in teachers and selective payment related to performance. EOs noted with regret that results from the public examinations was on a downward trend as E1 observed:

> *…if you look at the performance of our pupils in public examination over the few years it has gone down, but I don't want to link it to performance appraisal per se but rather, the economic meltdown that the country was experiencing…..*

Data above reveals that generally respondents are of the opinion that the goal of improving pupils' performance through the implementation of the PAS had not been achieved. However, a minority 5.5% and 25% teacher respondents and 8.4% head respondents in the survey assumed that the goal of improving pupils' performance had been fully achieved. Other factors like the economic meltdown, industrial action, shortage of resources and the exodus of teachers could have contributed to the failure of PAS in achieving the goal of improving pupils' performance. With such conditions prevailing, the study went on to explore how the situation impacted on teacher motivation whose discussion follows.

4.14.2 Improvement of Quality Education

Improving the quality of education was the main motive behind the introduction of performance appraisal system in the Zimbabwe's education system. The study endeavoured to ascertain if this aspiration of improved quality education had materialized at primary schools in this Province. Table 4.5 revealed that the majority (66.7%) of teacher respondents and the majority (75%) of head respondents insinuated

that the goal of improving the quality of education had not been achieved, meaning that the standard of education had not improved.

This response seems to harmonize with Table 4.5 where the majority (86.1%) of teacher respondents and 91.7% of head respondents indicated that PAS had not improved the quality of education. Surveyed respondents in Table 4.7 showed that the majority 69.4% teachers and 66.7% heads indicated that PRP had not improved the quality of work. In as far as improving the quality of work in the implementation of PAS and PRP, they seem not to have yielded positive results. The open-ended questions revealed that the majority (77.7%) of teacher respondents corroborated the heads in that the goals to improve quality education had not been achieved, 13.8% claimed they were not aware of the goal while 8.5% suggested that if performance appraisal had been implemented well, goals would have been achieved.

Responding to the same question, the focus groups respondents also revealed that goal of improving quality of education was not achieved. Some of them remarked as follows; *"It has not enhanced quality education since it does not address the issue of inadequate teaching and learning materials"* (FGA4). *"I don't think PAS has helped to improve quality education because the identified training needs have not been addressed"* (FGC2). The views of teachers in the focus groups are in accord with the surveyed respondents. Although the systems have been in operation for ten years, teachers seem not to have realized any tangible benefits from them.

Responding to the open-ended questions, the majority (66.6%) of surveyed heads indicated that it was difficult to measure this goal achievement as teachers still did not understand the system. Thirty three point four percent thought that a certain measure of achievement was noted in terms of adherence to deadlines, an element that cannot be associated with quality education. The opinions of all interviewed heads were akin to the surveyed heads in that PAS and PRP had not been instrumental to the improvement of quality education. Some sentiments expressed were that Zimbabwe had quality education before the PAS and the PRP. H1 elaborated:

> *Maybe it came at a wrong time when the country experienced many problems in politics, economy and general instability. With so many shortages achieving quality education would be a miracle so it was not achieved. Instead of improving quality in education it probably has contributed to the opposite. Since the promised rewards were not well paid people have never been happy with the system. Secondly this selective payment of teachers shows that the government has not taken the system seriously too.*

In as far as improving quality education was concerned, interviewed EOs and PSIs also concurred with teacher and head respondents, E1 advanced:

> *Like I said, things have gone down but I'm not saying it's because of the performance system but I'm saying the resources in the schools are no longer there, things are breaking down the system is really in serious trouble. So it is the resources that might have pulled the system down.*

E2 was also quick to point out that "*Quality education is there in Zimbabwe, but I don't give credit to performance appraisals."* To cap on this idea P1 had this to say:

> *…. there was a movement towards that direction but we fell short of what we wanted to have in Zimbabwe. We did not realize that goal of improvement in our education system because of a number of issues so in the end we cannot say the quality of education improved, it didn't improve but has gone down.*

Evidence from the interviewed EOs seem to concur with the surveyed and interviewed heads in that it was difficult to measure goal achievement because the appraisal implementation was not followed to the letter. This is confirmed by E2 who commented that, "*we just complete the forms and submit to higher office, no one makes a follow up on the operations of the appraisal system."*

Grade Seven is the exit point for the primary school, where learners write national examinations that are used to measure quality education at primary level. A closer look at the statistics on the pass rate at Grade Seven shows that there wasn't any significant improvement with more downward than upward trend after the introduction of PAS and PRP. However interviewed EOs hastened to point out that credit or blame on declining quality education could not squarely be pinned to PAS or PRP. Expressing his view E1 posited that:

> *If you look at the performance of our pupils in public examination over the few years it has gone down, but I don't want to link it to performance appraisal per se but rather, the economic meltdown that the country was experiencing and we lost a lot of qualified teachers.*

Evidence from the data above seems to imply that the goal of improving quality education may not have been realised. Nevertheless, the study found that while PAS and PRP may have been implemented to enhance quality education some factors may have been impediments in this goal becoming a reality. It can therefore be argued that the goal to achieve quality education is a far off dream as the implementation of the PAS had developed into a ritual without positive impact on the teachers.

Interviewed PSIs noted with regret that the system had failed to make people deliver quality service as other factors essential to support the system were not in place. In their opinion the system failed to achieve its intended goals as it lacked ownership and coordination between policy makers and implementers. Consolidating this line of thinking was P1who observed,

> *While policy makers may have had good intentions of introducing the policy of appraisal, communication fell short of convincing implementers on the importance of the system hence the system has not achieved its intended goals of, enhanced quality education and improved service delivery.*

P3 further supported this view by remarking that, "*While introduction of the system was a noble idea it fell short of an evaluation package so that effect corrective measures could be done on the implementation process".*

The oversight by policy makers to conscientise the end-users on the goals and benefits of the PAS and PRP may have contributed to the failure of the systems to make a positive impact on the workforce. This revelation engineered the researcher to find out how the systems have impacted on teacher performance.

The researcher asked focus groups' respondents if they thought they were better teachers before or after the introduction of the appraisal. Of the 76.2% teacher respondents who were trained in implementing the PAS, 47.6% declared that they were better teachers before the introduction of the PAS while 28.6% of them thought their performance had not changed. Interviewed heads expressed similar sentiments that the appraisal system had sort of made them slacken a bit due to the added burden of appraisal and lack of incentives. However CSA1 gave himself credit that the PAS had not changed him in terms of being committed to work. Similarly E2 remarked that, "I

don't think I have changed my style of work because of the PAS but promotion from headship to an EO has motivated me"

This study found that generally teachers felt they were better teachers before the introduction of the appraisal system. This feeling could be a result of the PRP whose goals could not be consolidated well with those of PAS. The study then turned its attention to further examine the strengths of the systems.

4.15 STRENGTHS OF THE PERFORMANCE APPRAISAL SYSTEM

The study sought to find out if the population was aware or had experienced the strengths of the system. The open-ended questions revealed that minority (36.1%) teachers and 16.7% heads cited improved communication as the strengths of the system because it gave the appraisee a chance to discuss issues with the supervisor, helped in the management of resources and made teachers meet deadlines in terms of submitting schemes of work. It emerged that 2.8% of teachers stated that if well implemented, PAS could improve teamwork.

In contrast, the majority (61.1%) of teacher respondents and 83.3% of head respondents indicated that they did not see any strengths of the system. Furthermore, it seems hat the strengths of the system were not emphasised during training at the inception of the programme to make trainees appreciate it. 16.7% of the head respondents listed the following as the strengths of the system:

> *Encourage people to work hard according to their set targets so that they achieve them.*
>
> *Encourages competition and self evaluation amongst teachers, as they work towards achieving the set targets*
>
> *It highlights priorities and clarifies set standards or targets.*

Focus group respondents concurred with the surveyed respondents in that they had not realised the strengths of the system. However, there were suggestions that if well

implemented the system was capable of the following; *"The ability for the teacher to achieve the best out of himself / herself" (FGA5). "Teachers are able to set their own targets, work hard to achieve them within the time frame" (FGB3). "The system seeks to reward performance not experience even though performance is improved through experience" (FGC2).*

Interviewed EOs revealed that the strengths of the system were stated on paper and they were so many that had the system had been well implemented, most of its goals may have been achieved. Conversely, from the case studies it emerged that the respondents had not experienced any strengths of the system, an issue corroborated by interviewed heads and EOs. E2 was quick to point out that

> *Maybe in promotion only, without the performance appraisals form you are not considered for promotion…..I would say that is the only strength of the performance appraisal I know of so far.*

The PSIs authenticated this information as P1 indicated,

> *If fully and properly implemented the system would help to determine the level of abilities of the workforce so that you are able to take corrective measures to address the identified inadequacies. It would also motivate individuals to work hard in order to be rewarded accordingly i.e. the monetary aspect due to deserving individuals. But, practically the system has shown no strengths at all.*

Information revealed by the above data seems to indicate that so far the population under study has not experienced any strengths of the system. The same may be said on the strengths of PRP as it has been established that not all teachers had been rewarded accordingly for the hard work they have done or those rewarded found the payments insignificant.

4.16 WEAKNESSES OF THE PERFORMANCE APPRAISAL SYSTEM

The study explored the weaknesses that teachers experienced with the appraisal system. From the open-ended questions it was revealed that 44.4% teacher respondents indicated that it was a protracted, time consuming exercise that had too many threats attached to highest and lowest performance rating. On the same question

55.5% of them claimed that it was difficult to implement the PAS and certainly it was not relevant to education as it was difficult to quantify the teacher's output in terms of lesson delivery matching it with pupil outcomes in terms of academic achievement. The majority, 83.3% of head respondents criticised the emphasis of the appraisal on the completion of the form at the expense of performance whilst 16.7% of them felt that the issue of money clouded people's decisions in terms of assessing performance of an individual.

Interviewed heads also identified the lack of benchmarks or assessment standards as major weaknesses of the system. It also surfaced that the focus on producing a valid appraisal form created weaknesses some of which are listed below;

- Teachers leaving students to prepare their performance appraisal reports;
- Difficulty in matching performance appraisal with the real situation at school;
- Curriculum is narrowed down to what has been targeted and to that which can be tested;
- lack of feedback mechanism that spells out how the workforce has performed or pinpoint the shortcomings so that corrective measures can be incorporated;

All interviewed EOs complained that time was wasted completing four forms in which additional paperwork was needed in order to address what the original instrument required. Additionally, the difficulty in trying to measure personal dimensions was encountered as E2 explained;

> *…..it's not easy to come up with somebody's personal dimensions over a short period of a term or a year because personal dimensions relating to judgment, initiative, creativity, are behavioural attributes that are measured over a long period of time. Measuring against very clear standards then I can say this teacher is poor in judgement if he was not able to meet set criteria but I have nothing to measure the personal dimensions against, which to me is a major weakness of the system.*

Another major weakness of PAS noted by PSIs is that the system does not have an evaluation component which facilitates the adoption of new ideas and redefining strategies. This study found that the system had more weaknesses than strengths as

articulated by the teachers in the sampled population in this Province. The next section presents data pertaining to the strengths of the PRP.

4.17 STRENGTHS OF THE PRP

All surveyed respondents and interviewed respondents concurred in that they had not identified the strengths of PRP. As P1 commented,

> *When it was introduced it was said there would be parallel progression of salary which meant that a teacher could earn as much as the PED while still in the classroom. The aim was to motivate good teachers to remain in the classroom as long as the salary was increased based on their performance. But this has not happened instead there are some very good performers who have not been paid for their performance.*

P3 reiterated that "*One reads of the strengths of PRP on paper but in Zimbabwe we have not seen its strengths. The selective payments that have no explanation seem to cloud the good intentions that might have been there in the beginning*". Information emerging from this discussion seems to suggest that respondents have not seen or experienced the strengths of PRP. Having discussed the strengths and weaknesses of both systems the study now focuses on teachers' perceptions of both systems.

4.18 WEAKNESSES OF THE PERFORMANCE-RELATED PAY SYSTEM

The study sought to determine the views and attitudes of educators towards the PRP and the weaknesses associated with its implementation in the education sector. The open-ended questions revealed that the majority 22.3% of teacher respondents suggested that it be scrapped as it had turned teachers into scribes and did not reflect the teacher's true performance in relation to results whilst 13.9% of them complained that it was not fair as some teachers had benefited financially and yet others had not benefited at all. The other 13.9% indicated that it was difficult to criticize the system as it was not properly implemented.

It also emerged that 11.1% of the respondents lamented that it created division, promoted corruption and favouritism among the employees and at the same time 11.1% carped that it was very ineffective as the system was implemented differently according to institutions and supervisors. The other 11.1% teacher respondents categorically stated that they hated the system because it was not transparent and was very subjective as it has no universally set standards. It also surfaced that 8.3% surveyed teachers complained that it did not exist as they had never received any performance-related pay and at the same time 8.3% of them insinuated that it was not applicable to the teaching profession as there were other factors that contributed to pupils' performance that were beyond the teachers' control.

Focus groups revealed that they had experienced more negative aspects of the PRP system than the positive ones. The respondents noted that in as much as the PRP system had meant to motivate teachers so that in turn they would improve pupils' performance, the system fell short in many ways. For instance in FGA respondents came up with comments as follows;

> *No matter how hard some of us have worked, when the rewards were paid out, the amounts varied and others were so insignificant; so I would say lack of reasonable rewards for those who have done well is a major weakness of the system (3).*

FGA1 quickly pointed out that,

> *I think the major weakness of the PRP system is that it is implemented alongside with PAS hence one cannot ascertain where one ends and the other one starts but what I can say is that it is difficult to say one's performance is worth so much when people deal with minds and work under different environmental conditions.*

Besides reiterating what the other group has mentioned, FGB respondents talked about lack of clear standards that match the performance of an individual which caused the rating to depend on the appraiser. FGB7 posited that, *"Some appraisers are stingier while others bring out the misunderstanding that you may have had with them".* In addition, FGC respondents talked of the ambiguity in payments; teachers were not aware what percentage each notch was. Data seems to reveal that teachers were

generally not happy with the performance-related pay system. The researcher sensed an air of disappointment amongst teachers about the system.

From the survey 16.7% head respondents revealed that it would have been a good system that motivated teachers, had it been done properly, consistently, certainly in good faith, but the employer had failed to honour the promises. It also emerged that 25% thought the system had definitely discouraged a lot of good teachers and narrowed the curriculum to five measurable key results. Conversely, the majority 58.3 % postulated that because it was not systematically implemented, it had caused friction, dented relationships in the school and was an unfair practice as teachers dealt with a human mind that develops at its own pace and was affected by a variety of variables.

Besides reiterating the surveyed heads' sentiments, interviewed heads also noted that the major weakness of PRP was that people tended to focus on money at the expense of performance itself, hence competition and cheating to get money was rife. Furthermore it was established that there were no standards or benchmarks that determined the amount of pay that was given to an individual according to a particular rating. Interviewed EOs and PSIs expressed the same outlook as P1 observed,

> *There are no benchmarks to say for this type of performance we award so much. If benchmarks were known by everyone it would be a good system. If it is an individual who decides that your performance has been a certain standard and you are awarded so much then it is open for abuse whereby there will be a lot of favouritism here and there in terms of awarding people, people who do not deserve will end up being awarded because they are connected to the appraiser .*

The sentiments expressed above clearly indicate that the PRP system has frustrated teachers so much that morale is low, moonlighting is high and teachers have lost the zeal to work. While the PRP was not fairly implemented causing a lot of frustrations among the teaching fraternity, the economic meltdown may also have played a big part in this dilemma. In as much as the government would have honoured its promise of payment for performance, shortage of funds in the country could have made the government fail to pay all teachers accordingly. The researcher concludes the chapter by presenting a summary of findings.

4.19 SUMMARY OF MAJOR FINDINGS

- Overwhelming evidence shows that respondents expressed that implementing the appraisal system was a challenge due to lack of understanding of the value of the system, shortage of resources and general lack of communication between policy makers and implementers. The system was haphazardly introduced, hence most surveyed and interviewed respondents claim the training they received did not adequately prepare them for the implementation of the systems.
- There were many controversies surrounding the government's intention of adopting the wholesome industry oriented appraisal system which the respondents found irrelevant to the education system. Generally, respondents felt that PAS was inappropriately implemented as monitoring and supervision were not effectively carried out. Teachers felt that appraisals were done to fulfil the statutory requirement, treated as a ritual and did more harm to the teachers than the good as was intended.
- Although all the surveyed and interviewed respondents claimed to have identified their deficiencies in the execution of their work, training or staff development in these deficiencies was not done.
- Bolting or tying the PRP to PAS turned to derail the government's intention to create a vibrant civil servant, but managed to produce a generation of demoralized, demotivated teaching force. The study found that there were selective payments of performance related rewards as P1 indicated that about 60% of people in the education did not receive these rewards. What came out clearly was that the officer responsible for the system at Ministerial level did not give feedback as to why some people had not been paid after having complied with the requirements. Cumulatively these factors demotivated the teachers.
- While the system is designed to identify strengths and weaknesses, the appraisers in the education system were not capacitated to carry out this task hence P3 stated that, it required competence and confidence on the part of the appraise. Lack of adequate training might have robed the appraisers of this crucial element of the appraisal process.

- Due to the controversies and challenges surrounding the implementation of the PAS, the system did not utilize the strengths of teachers whose performance was considered outstanding while the weaknesses were equally left unaddressed.
- The study found that the performance appraisal as applied in the Zimbabwean education system was effective in enhancing quality education. Factors such as lack of material resources, high teacher turnover due to economic meltdown may have caused the performance of pupils to decline over the years.
- The study found that issues of pilot-testing the system before full scale implementation, continuous training of personnel and replacing the industry oriented aspects of appraisal with those geared towards total education of the child were strategies that could improve the implementation of appraisals.

4.20 CONCLUSION

The chapter presented data related to the implementation of performance appraisal at primary schools in the Bulawayo Metropolitan Province. Biographic data revealed that generally there was gender imbalance in the urban schools where the majority of respondents were female. Data also indicated that the implementation of the performance appraisal seemed to have a number of controversies and challenges. The schools were staffed with mature teachers and heads, EOs were mature managers. The academic and professional background of the respondents gave the impression that the subject of PAS could be easily understood but respondents claimed that they were not conversant with the goals of the appraisal. Problems, strengths and weaknesses of PAS and PRP were highlighted. Impediments that affected the effectiveness of appraisals were also outlined.

CHAPTER 5

DISCUSSION OF FINDINGS

5.1 INTRODUCTION

The problems associated with the design, implementation, and operation of formal performance appraisal systems are well documented yet they still continue to frustrate managers and practitioners alike in Zimbabwe. As such, this chapter discusses the findings of the study, focusing on the implementation of the performance appraisal system, development of competencies, performance-related pay, quality education, designing the PAS, challenges/problems encountered, effectiveness of PAS and PRP, teacher perceptions and strategies that can be utilized in order to create a user-friendly system of appraisal in education. Such a system will help relieve tensions that are associated with the current appraisal system in Zimbabwe, as shown in the previous chapter. The above mentioned concepts will be discussed in the order they are presented, thus, following are notes on the introduction of the performance appraisal system in Zimbabwe.

5.2 GENERAL UNDERSTANDING OF APPRAISAL IN ZIMBABWE

5.2.1 Involvement of teachers in the design of PAS

In the study, the researcher noted that educators were not involved in the design of the appraisal system. In turn, the educators claim they are not aware of who was involved in its design. This could be the reason why there is a lot of reluctance and resistance amongst educators when it comes to the implementation of the system. This observation is in line with what Whetten & Cameron, (1995:369-371) proclaims that people resent systems and policies because they would not have been involved in the initial planning. Sharing the same view is Solie (2002) who asserts that participation

leads to ownership and ownership leads to acceptance. Fullan & Hargreaves (1996) express similar sentiments when they also warn that change efforts in schools that alienate teachers from reforming their instructional practices are often met with resistance, teacher willingness or unwillingness to change, can affect whether or not an initiative is successful. In order to ensure their buy-in, there is need to involve civil servants in the design, the development and implementation of PAS.

In the context of the study the claim by teachers that not involving them in the design of the appraisal system turned them into parrots that only do the same work assigned to them yearly without adding value to their job execution. The researcher observed that the findings of this study are similar to observations by Tanner & Tanner, (1975:580; 630) who state that the denial of the teacher's right to participation and involvement may lead to his/her being regarded as a technician who merely has to read the instructions to carry out the task, while professional decisions are taken elsewhere by other persons. Contrary to the findings of this study are results from a study by Piggott-Irvine (2003) which found that 70% of the schools indicate that they were involved in the initiation activity of the appraisal and the implementation activity was evident in approximately 60% of the schools.

The study also established that to ensure compliance, the government legalised the appraisal system through the Statutory Instrument 1 of 2000 (SI I of 2000). Those who complied with the Statutory Instrument turned the system into a ritual and this rendered the system ineffective. This finding is in line with OECD (2001b) who found that change designs with little involvement of those destined to use them are rarely effective. It is against this background that various researchers advocate for greater teacher involvement in the development of the appraisal procedures and criteria so that the evaluation process can be a more constructive process that promotes the professional development of teachers (Mo et al., 1998; Stiggins & Bridgeford, 1985; Valentine, 1992). On reflection the researcher views as unfortunate the resounding deskilling of teachers' evaluation capacity because the government had a highly intellectual workforce which was reduced to ritualistic workers mandated to maintain a status quo.

In reviewing literature, one finds that research worldwide on participation in decision making (PDM) proves that greater participation leads to greater job satisfaction. Contrary to the expectations of policy makers, this study reveals that there was no ownership and commitment by the implementers which could sustain the system. The results from this study are in contrast with Vroom's 1964 review of five correlation studies and three field experiments which found that PDM had a positive impact on both production and job satisfaction (Jones, 1997). Jones,(1997) added that participants' experiences provide essential information about what does and does not work, what type of outreach and strategies would be most effective and how best to meet the needs of the organisation and participants. The possibility of employees accepting and being satisfied with the appraisal system is very high when they participate in the development of appraisal criteria and measures, and in the process of conducting appraisals (Cawley, Keeping, & Levy, 1998; Roberts, 2003).

There are some theorists who are not fully convinced that PDM is essential. For instance, decision-making models by Fiedler (1967); Hersey & Blanchard (1996); Tannebaum & Schmidt (1957) and Victor Vroom (1973) all assert that while some contingent style of management may call for subordinate participation, others may not. These theorists suggest that managers need to consider factors such as employee maturity, skill level, willingness to be involved, leader personality and the type of problem at hand when employing PDM techniques in designing policies or programmes (Jones, 1997). In light of these developments the researcher questions why the government sidelined decision makers in the education sector. However whatever the reason, Zimbabwe deprived itself of the cooperation and enthusiasm of teachers in the implementation of PAS.

Another important finding is that teachers revealed that the system was adopted from a developed country and imposed wholesome without any adjustments to suit the local environment. The reason for this wholesome adoption could be due to craft- illiteracy and craft-incompetence on the part of policy makers. The researcher concurs with the findings of the study which validates the observation by de Waal (2007) who affirms that, poor management practices, bureaucratic inefficiencies and low productivity levels

in many organisations of developing countries create considerable pressure for managers to adopt speedy, ready-to-implement strategies.

With regard to the issue of policy design, Stone (1999) who states that decision making in one country may import innovatory policy developed elsewhere, in belief that it will be similarly successful in a different context. Decision makers send fact finding missions to monitor overseas developments and use collected evidence to shape policies at home. This is probably what happened in Zimbabwe since the respondents claimed not to be aware of who was involved in the design of PAS. Penetration or what is known as external inducement (Ikenberry, 1990) and direct coercive transfer (Dolowitz & Marsh, 1996) entails a compulsion to conform. It is not a co-operative or voluntary arrangement but a situation where political actors of one country or IMF or World Bank have impact on the policy affairs of another country (Bierstaker, 1992:110). This confirms what was alluded to in Chapter 1 section 1.4. While adopting ready to implement policies may be the quick and an easy way to foster change, usually such policies suffer tissue rejection. Another important point to note is that, there was so much pressure to implement the new system even though it had persisting teething problems laced with resistance to implement it which led to its legalization. The Public Service Commission sent out Circular No. 1 of 2000 to all ministries enforcing the implementation of the PAS that was then adjusted to operate in line with the normal academic year of January to December (SI I of 2000).

In the light of the information presented above, the researcher argues that countries with dissimilar economic and social conditions may share similar goals but require different paths to achieve these goals. Zimbabwe, like Canada and USA, aims for improved production from schools. Yet, Zimbabwe may not have all the economic components in place to implement a programme that promotes academic excellence through professional growth. The results of this study are substantiated by Fagerlind & Saha (1997) who assert that while governments may adopt educational plans consistent with specific development goals and strategies, they can only be partially certain that outcomes of these will correspond to original intentions; the more political the goals of education are, the more problematic the outcomes. These scholars further argue that in

developing countries, educational demand must be modified in order to bring costs and benefits to more realistic levels.

Additionally, in some cases developing nations often go to source policies from developed countries they have political connections with. This has a weakness that the countries visited for ideas may not have conditions and circumstances that replicate those of the developing country in question. So you find there may be dissonance between the people's aspirations and the policies. That may lead to tissue rejection by the implementers (Phillips & Ochs, 2003). The researcher has observed the situation unfolding in Zimbabwe where teachers view the appraisal system as a waste of time as there is a mismatch between the aspirations of the people and the system imposed on them.

In such situations, the adoptive countries are usually incapacitated to carry out evaluation on adopted policies due to the fact the fact finding missions are usually done by people connected to the political circles of the country. These people may be subservient to the government and may not critique its policies. When such instances face them, policy makers are quick to abandon policies and opt for new ones like South Africa that has changed from DAS to WSE then PA. When these three policies faced implementation problems they were consolidated to IQMS (Daniels, 2007:5; De Clercq, 2008).

Similarly Zimbabwe plans to introduce the Result Based Management (RBM) to replace the Performance Appraisal System which has not been fully evaluated. People are being trained for a day or two which is more of conscientisation. It is the researcher's observation that the previous system is being thrown out wholesale and a new one being thrown in. The new system is being implemented full scale without piloting or evaluation it for suitability. It is possible that the RBM may encounter the same problems and meet the same fate of rejection by implementers. The constant change of policies reveals inconsistent political signals implying that actions are more in line with the desires of the more immediate elected officials (Langbein, 2000). A similar view

comes from Stone (1999) who attests that conditions of uncertainty brought on by crisis and political conflict, the absence of scientific consensus or lack of information, or by new problems and political disasters potentially induces a proclivity among policy makers to look for experiments elsewhere that have been developed in response to similar conditions of uncertainty. Assertions by Langbein and Stone substantiate the findings of this study.

In assessing the implementation of appraisal the researcher found that there was no documented evidence that a needs analysis was carried out at grassroots in the education Ministry that warranted the adoption of the PAS as explained in section 1.4. It is the researcher's assertion in view of the findings of the study that, in implementing policies street-level bureaucrats respond to the individual needs of clients within a humanistic ideology but do this from within a bureaucratic structure orientated towards needs defines on a mass basis (Lipsky, 1980).

The findings of this study show that a high staff turnover, impromptu change of policies and the political instability prevailing in the country coincided with the introduction of the PAS. It is the researcher's assertion that these factors may have caused the dearth of literature in terms of the adoption and sustainability of the PAS. This discrepancy was also noted by Chimbunde (2001:2) who states that "the consultancy team suffered a rapid turnover of staff, including three replacements of team leaders. Consequently the team lost its understanding of the project objectives and user needs."

When introducing the PAS, policy makers did not conform to the CIPP model that before a programme is implemented a needs analysis should be carried out to ensure that there is an alignment of people's needs to the programme's objectives (Hockings et al., 2006; Stufflebeam, 1971, 2001). This factor, combined with the fact that implementers did not set a clear path on how PAS was going to be implemented could have contributed to the failure to effectively implement the system.

5.2.2 Training of implementers (Teacher Capacity)

It is the researcher's contention that most interesting finding of this study is that teachers were not adequately trained in implementing the appraisal system leaving them with little understanding of the appraisal system and procedures. It emerged that there was the first group of trainers of trainers (TOT) which effectively trained for nine weeks. This group cascaded the training to the second group of TOT for three days. This second group of TOTs comprising heads and deputy heads in turn cascaded the training to teachers who are chief implementers of the PAS for one day. While the cascading model was cost effective, did not require long periods out of service and used the existing staff as trainers (Gilpin, 1997) it also had disadvantages.

Because of the periods of training involved in the series of training, there was a dilution of training where less and less was understood the further one goes down the cascade. The entire end-users were therefore unable to fully comprehend the system due to this short training which according to the researcher's view was merely conscientisation. This view is also expressed by the Green Paper (1998) in DfEE (1998) which stipulates that when a central message is to be conveyed, the cascade model can be useful but would be less appropriate for a more developmental focus for professional learning. Teachers complained that the training was more theoretical and they were not given practical examples. Although this type of training may have been cost effective in terms of money and time, it did not sufficiently empower teachers to implement the innovation.

Critical of the intensity of training is Chiparadza (1997:1) whose comment is, "Thorough training is a pre-requisite for any appraisal system to be effective. Initially, both appraisee and appraiser need to be furnished in detail with information on what one is being appraised for." Similar sentiments were expressed by the Secretary for Public Service Commission, who admitted that, "the main shortcoming of the new appraisal system has been that relatively few people were trained to understand the new system" (The Herald, 1997). The result of this substandard training is that teachers feel threatened and incompetent due to lack of understanding. One respondent, who

effectively trained for nine weeks articulated that implementation of the PAS, needed a change of mindset, attitude and mostly skills to effect the change. Similar sentiments were expressed in the Green Paper (1998) which stipulates that where training is primarily concerned with imparting knowledge, change of attitudes or developing skills then support and training over time are likely to be needed and interaction between trainers and trainees is likely to be more complex. Nonetheless, this study did not establish the intensity of the trainings, but the effectiveness of the training sessions can be deemed from Sinyolo (1997)'s comments that, there was lack of adequate training on the part of supervisors who appraised the subordinates, insinuating that a lot of junior staff could be victimised as a result. Furthermore he advocates that training be given priority during the whole year, and then the system could be introduced the following year. In this regard the researcher finds it gainful for the Ministry to train all its personnel appropriately so that they are firmly grounded when implementing the appraisals which are an important feature of evaluating their work.

The other finding of this study corroborates the disconcerting findings of a study by Monyatsi et al., (2006) in Botswana where 72.9% of the respondents had not received any pre-service or in-service training on appraisal and its importance to their careers. The current findings are also consistent with those of Wragg et al., (2004) on the views and experiences of heads and teachers in England and Wales who revealed that the training for two days was not comprehensive enough and trainers themselves lacked experience in educational management. Similarly, a study by Piggott-Irvine (2003) provides a strong indication that much of the training conducted nationally for appraisal had largely been superficial. In another study he also found that there was a considerable gap between the appraiser espousal of educational process skill implementation and their actual practice (Piggott-Irvine, 2001a).

The findings of all the current and other studies on training of implementers confirm Kirkpatrick's assertion that, most training evaluation rarely goes beyond level 1 of his four level training model (Kirkpatrick 1996). Similarly, the American Society for training and Development (ASTD) found that 45% of surveyed organisations only gauged

trainees' reaction to courses (Bassi & van Buren, 1999). There may be different reasons why training is usually not adequately or sufficiently evaluated but what seems to be clearly recognizable is the lack of expertise of training designers. Evaluations are usually done haphazardly probably due to pressures for increased productivity and the need to produce a standardised evaluation process to ensure effectiveness of training.
The other reason may be lack of knowledge and experience in evaluation that make policy makers or trainers fail to evaluate training consistently. Probably as a consequence of this, teachers sometimes appeared to have limited understanding of the processes adopted to formulate and measure formal objectives. This contributed to teachers reporting feelings of demotivation and demoralisation owing to that some objectives which they had to set were unreasonable and unattainable.

Another interesting factor that comes to the fore in this study, in the researcher's observation, is that training concentrated on completing the appraisal form at the expense of equipping teachers on how to integrate the appraisal system to their day-to-day duties. Literature has it that while head-teachers in UK had been very critical of their training, teachers on the other hand were not given any training, but received documentation and could access the government's website (Wragg et al., 2004). It may not be possible to determine why teachers were not trained but providing the website means teachers could refer to it whenever need arose. This was probably a better way of being guided than the Zimbabwean teachers who did not receive any reference material after a one day encounter with trainers (Wragg et al., 2004; Sinyolo, 1997).

The success of the implementation of the PAS hinged on the adequate knowledge and understanding of the philosophy of the appraisal system. Without clear conceptual background of the PAS, it became difficult to put it into practice. While the respondents mentioned the issue of marrying the theory of PAS with practice, the issue of praxis which involved action and reflection was missing in the definitions given (Integration of PAS to daily work execution). The findings of this study are confirmed by Breunig (2005:109) who posits that theory cannot be separated from practice if meaningful

learning is to take place. Theory informs practice while experimental and practical knowledge can be employed as a means of understanding and interpreting the theory.

It is the researcher's argument that, while it would be expected that the understanding of PAS should have developed over time with practice; this does not seem to have happened in Zimbabwe. During the course of evaluating the PAS the researcher found that evaluation on the training of the educational personnel which would have revealed their competence or incompetence to implement the intervention was not done. It also surfaced that a good number of participants were not trained which further compromised the implementation. Instead the PAS has been taken as a ritual meant to fulfil statutory instrument requirements. Understanding the design and the goals of PAS

The researcher noted that there was considerable variation in the implementation of the PAS in different institutions. This could be due to confusion and uncertainty on the part of the implementers concerning the precise meaning and purpose of appraisal in primary schools. Failure to involve implementers at design level deprived the system of ownership and commitment of teachers (Fullan & Hargreaves, 1996; Solie, 2002; Whetten & Cameron, 1995). Non-involvement in the design could also be a contributing factor causing resentment and reluctance on the part of teachers to implement the system. Oversight of this crucial stage may have resulted in policy makers and implementers failing to effectively influence the course of events.

The researcher also observes what came out as another major finding of this study is that from its inception, there was no consensus between policy makers and stakeholders whether the scheme was for accountability (Flecknoe & Sutcliffe, 1997: McMahone, 1991; Scholtes, 1997); for performance review, reward sanction or it was to be a professional development (Davies et al., 1990; Hellawell, 1997; Jones, 1987). A contributing factor to this confusion was lack of adequate training on the part of end-users that made them fail to effectively implement the system to its specification as the goals were not clearly spelt out to them. A possible explanation for this might be the trainers themselves lacked a clear understanding and knowledge of the appraisal hence they allegedly gave examples which were not relevant to teaching. However the

disappointing results yielded by formal performance appraisal are best summed up by Clinton (1992) who notes that the primary reasons includes, lack of top management information and support, unclear performance standards, rater bias, too many forms to complete, and use of the programme for conflicting purposes.

In tandem with a further interesting finding of this study that the performance appraisal purpose focused on the individual performance thereby disentangling teamwork and collaboration the researcher concurs that this was a retrogressive practice by the government. The emphasis is on the production of documentation on which development, pay and promotion is based. As teachers set their targets individually, it becomes difficult to consolidate them to engage in teamwork and as a result end-users failed to figure out how to relate PA into their day-to-day work. Contrary to the finding of this study Ghorpade & Chen (1995) found that performance appraisal in Japan was so integrated into organisational life that it was difficult to isolate and talk about appraisal systems and mechanisms. He found that there was no individuality in appraisals as they promoted teamwork.

Exploration studies to review the purposes and practices of PA were also carried out by Conger, Finegold & Lawler (1998) in the USA. He found that the PA gave high focus on documentation, development and linking performance appraisals with pay and promotion purpose. While PA is used for development and promotion purposes in Korea and Australia, there is no mention of pay. It is interesting to note that the purposes of appraisal in US are similar to the findings of this study yet there is a vast difference in their economies and political arena.

5.3 IMPLEMENTATING THE PAS PROCEDURES AND PROCESSES

Evaluating the implementation of PAS in the Zimbabwean context involves examining issues such as competency in formulating targets; monitoring and supervision of the process; the nature of the reviews and feedback; the rating of performance; the benchmarks or assessment standards and the appraisal venues. It is also imperative to

know how the implementers integrated PAS in their daily work and how competent they were in implementing the appraisal.

5.3.1 Competency in Formulation of Targets

On the negative side, the study found seemingly insurmountable implementation shortfalls, firstly as teachers claimed that they did not understand the goals of the PAS. Lack of the comprehension of the goals manifested itself partly in teachers finding it difficult to formulate objectives or targets to be achieved and partly in the negative attitudes teachers have towards the system. The findings of the current study bear a resemblance to a study by TTA & Ofsted (1996) which found that the main weakness of appraisals implemented in many schools is that they lacked rigor in the whole process which is reflected by poor target setting. In line with this view Ofsted (2002) adds that linking teaching to performance is a problematic matter as many schools implementing the appraisals had difficulties in setting targets.

It is the researcher's contention that whilst setting targets may be seen as mapping a clear direction towards reaching the desired goals, it can obscure some essential issues of the job and oversimplify others. Some teachers tend to set targets that may not be related to instructional or classroom activities. These sentiments are validated by the findings of this study. Another issue of concern that was raised by teachers is that they had to formulate targets on only five Key Result Areas that did not cover the total package of the primary teacher's job; hence, to them this process of formulating only five KRAS was not doing justice to their professional needs. The reason behind formulating five or any number of targets is not fully discussed in literature. One can only speculate that it is due to human error on the part of policy makers or for making it easy to compute performance ratings. Ideally target setting has to take into account all the key aspects to the performance of a primary teacher.

On a more positive side, the study found that the targets were jointly set by the supervisors and their subordinates. It is against these targets that performance is measured. The study however, found no evidence that during the target setting session

there is talk of how these targets will be achieved, by what means and the availability of the means.

5.3.2 Monitoring and Supervision of the PA Progress

As illustrated in Figure 2.1, supervision is arranged in a hierarchical form where one is supervised by an immediate supervisor. Ministry rules and regulations require them to do so. The power base of supervisors is organisational authority and that of supervisor is expert knowledge hence the supervisor has to appraise the one below in status. On the question of monitoring and supervision of the appraisal process, this study found that this aspect of the appraisal was not effectively done as heads find it difficult to effectively assess all teachers in all the aspects of the appraisal process citing lack of time. Similarly, EOs expressed the same challenges more so they needed transport to visit the heads in schools.

While monitoring consists of collecting empirical data on performance at different stages, this current study has been unable to demonstrate existence of such information. On the part of the EOs monitoring heads, they cited lack of time, inadequate transport and similarly the PSIs were challenged by the same constraints to effectively monitor all government departments. The findings of this study indicate that the developmental aspect of the appraisal is defunct. This means that mentoring could not be carried out since monitoring leads to mentoring.

These constraints severely handicapped supervisors' efficiency in carrying out their duties. The findings of this study are in line with Giwa & Illo (2000) who expressed that the problems militating against schools' inspection is shortage of manpower and quality of the personnel available for the work. According to them, in most African countries, the roles of inspectors tend to be ineffective due to severe resources constraints. In the findings, it was realized that the number of inspectors and monitoring officers were newly employed with no practical experience on the job and were recently posted to the inspectorate unit of the Ministry of Education.

Another major finding of the current study is that monitoring was inadequately done due to inconsistency in the number of appraisees per supervisor. Some felt that they were overloaded with work of which they were expected to perform as efficiently and effectively as those with fewer appraisees. The researcher observed that, due to the constraints met by supervisors, monitoring in schools tended to be a mockery of the appraisal system rendering it ineffective. The tendency was to have the job done even though it did not yield any positive results. It is the researcher's assertion that the training package did not envisage this challenge so as to equip supervisors with tips on what to observe during monitoring sessions.

The findings of this study are similar to the various studies conducted by De Grauwe & Naidoo (2002) which found that one of the deterioration of quality of schools is precisely related to the weakening of evaluation mechanisms including professional supervision and support services. While inspection and supervision of schools regularly and effectively calls for provision of resources as well as experienced officers to obviate ineffectiveness in performing their duties (Fagbamiye, 2004), the current study did not find evidence of regular and effective supervision of schools. The study found similarities to these assertions in as far as insufficient resources were the order of the day and some EOs were relatively new in their posts and were not trained as appraisers. It is the researcher's view that the government should devise well equipped structures to effectively monitor school effectiveness.

Furthermore, the study also found that teachers were not happy with the quality or the lack of monitoring throughout the appraisal process which meant that the appraisee had not received any mentoring, coaching or assistance towards achieving the set goals. As monitoring was not properly done, appraisers had to take the appraisee's word in terms of achieved targets. At the same time, the gap that was meant to be filled remained uncorrected or eventually widened. It is the researcher's opinion that lack of monitoring demotivated the appraisees who felt frustrated because the way forward was not clear. The omission of this phase in the implementation of the PAS is evidence of lack of consistency in monitoring, insufficiency of close supervision, supportive contact

between appraisee and supervisor as well as lack of follow-ups and scarce reporting. All these compromised the effectiveness of the system confirming the controversy that policy borrowing.

While monitoring consists of data collection throughout the entire implementation process, this study found no documentary evidence that could confirm this phase having taken place in Zimbabwe schools. Data collected throughout the appraisal process is viewed by all concerned parties noting the strongest and weakest links after which corrective measures are incorporated. It is then that baseline indicators of quality are formed and acknowledged by appraisers and appraisees. The researcher perceived that without baseline data, setting targets and monitoring them became a difficult task. Lack of monitoring of appraisees by appraisers could have led to the non-achievement of the PAS goals thereby compromising the effectiveness of the system.

Another peculiar finding in this study is that appraisal reviews were mostly done in the supervisors' office. When an appraiser conducts a review in his/her office, power dynamics of a super-ordinate person over a subordinate come into play. Inequality manifests when an interview is conducted by a person with power over one without power (Emebeta, 2004). The fact that the appraiser and appraisee are different in hierarchical positions means the final decisions of the interview or review rests upon the appraiser. Studies by Bartlett (1998) found that appraisal systems that reinforce the hierarchical staffing structures contribute to the power distribution processes of line management approaches which emphasise superior position of the appraiser over the appraisee. In such instances the appraiser develops professionally at the expense of the appraisee whose autonomy is eroded. It can be argued that the appraiser's territory and position threaten the appraisee so much that they often find it difficult to disclose their perceived weaknesses. It is the researcher's opinion that the appraisee is always at a disadvantaged position as he /she cannot effectively argue his/her standpoint fearing victimisation. The climate of an appraisal review should not be pervaded by hegemonic issues where the appraisee feels disempowered as the appraiser takes

charge of the interview. The interpersonal relationship should be more collegial and collaborative.

5.3.3 Teachers' Views on Reviews and Feedback

This study found that teachers and heads felt the reviews and feedback were not informative. A further inquiry on the issue revealed that this stage was merely done as a formality to adhere to deadlines set by PSC. Furthermore the study found that educators expressed concern that at times appraisers showed ignorance of what they were supposed to be looking for in a review especially when monitoring, supervision and coaching had not been effectively done (FGA3; pp20). The results of this study are similar to the observations by Hattie & Timperley, (2007) who noted that most current assessments provide minimal feedback, too often because they rely on recall and are used as external accountability thermometers rather than as feedback devices that are integral to the teaching and learning process. Although the performance review is an important appraisal meeting between the appraisee and appraiser aimed at providing a formal setting in which the employee receives feedback on his or her performance (Aguinis, 2009), teachers in Zimbabwe were deprived of this crucial stage of the process. It can be argued that the performance appraisal principles were not applied rendering the PA ineffective.

Literature informs that feedback is meant to provide information that relates specifically to the task or process of achieving set objectives that fills a gap between what has been accomplished and what was aimed to be achieved. This current study found no significant improvement related to what is informed by the literature as appraisers were perceived as incompetent in giving feedback and not conversant with the goals of the feedback session. The results from this study leave one wondering what the essence of continuous implementation of flawed appraisal is.

One possible explanation of this result could be that inadequate training that appraisers received caused them to be incompetent in giving feedback. While the heads may have

trained in implementing the appraisal, the major role of giving feedback was not adequately covered in their three day training. Through literature the researcher found similarity in the study on nurses done by Andre et al. (2008:186), which found that "almost half of the respondents could not remember having participated in any training or teaching program in connection with giving feedback" as such appraisers did not conduct meaningful feedback. Not surprisingly, this was one study with overall poor outcomes (Andre et al., 2008). The Zimbabwe experience is a replica of the study by Andre et al., (2008) as the results of the study show no evidence of improved performance in teachers.

The findings of the current study show resemblance to the assertion by Aguinis, (2009), Kikoski, (1999) and Smither & London, (2009) that in spite of the importance of performance management, the appraisal meeting was often regarded as the "Achilles' heel of the entire process" because many supervisors were uncomfortable providing performance feedback, particularly when performance was deficient (Ghorpade & Chen, 1995). Without adequate feedback, the appraisal systems is turned into a once a year ritual and is more likely to be deficient.

One possible explanation for appraisers being incapacitated in giving feedback could be that the goals of PAS were not clearly stated from the onset. The findings of this study confirm the notion that feedback cannot lead to a reduction in this discrepancy if the goal is poorly defined, because the gap between current learning and intended learning is unlikely to be sufficiently clear for teachers to see a need to reduce it (Earley, Northcraft, Lee, & Lituchy, 1990; Erez, 1977; Frost & Mahoney, 1976). The result of lack of feedback is that employees are either unable to make adjustments in job performance or unable to receive positive reinforcement for effective job behaviour (Rogers, 2006). The results of this study explicate why Zimbabwe cannot determine the extent to which it is moving towards its goals, or whether it needs to change in some way to achieve these goals (Sessa & London, 2006). It therefore is against this background that the CIPP model suggests a development of continuous evaluation of

the implementation strategies so that at various tactical period people may accept, refine and modify the programme design.

5.3.4 Linkage between Teachers' Performance and Merit Rating

This study found that linking teachers' performance to merit rating was a highly contested issue because the amount of work that teachers do cannot be captured in the 5 KRAs and are not acknowledged by the PAS philosophy. For example beside compiling schemes of work and work plans, instructional delivery and marking, teachers have to attend meetings, supervise sports and extra-mural activities and be vigilant with pupils for almost seven hours. At the same time teachers are expected to prepare teaching and learning media, counsel, motivate pupils and attend to their own staff development courses for their professional growth. In addition to capturing and prioritising the work into 5 KRAs, the appraisal emphasises apportioning numerical figures representing the teachers' performance which is seen as an irrelevant concept in the education system as it is not easy to quantify teaching and learning activities. Literature provides evidence that apportioning numerical figures to teachers' performance is highly challenged. Dewey cited in Tanner & Tanner (1980) criticised those who sought to reduce education to quantifiable measurements as though such reductionism made education scientific while the function of education was to unleash human potential. Along the same line of thinking is Levinson (1976) cited in Armstrong (2006) who argues that the greater the emphasis on measurement and quantification, the more likely the subtle, non-measurable elements of the task will be sacrificed.

Furthermore, the study found that it is difficult to make valid interpretation of the ratings in terms of the actual meaning of the performance. This problem is also realized by Steiner, Rain & Smalley (1993) based on Behaviourally Anchored Rating Scale (BARS) developed by Smith & Kendall (1963) who caution that numerical rating scales (for example, 1 to 5) or adjectival rating scales (for example, very poor to very good) offered insufficient guidance to enable the appraiser to make accurate assessments. Similarly, Armstrong (2006) disputes the use of ratings as they are largely subjective, and

because the notion of ‘performance’ is often unclear. He further argues that summing up the total performance of a person with a single rating is a gross oversimplification of what may be a complex set of factors influencing that performance, and yet at the same time labelling people as ‘average’ or ‘below average’ can be both demeaning and demotivating.

The study found that there were a lot of ambiguities in the numerical rating which were detrimental to the individual teachers. The results of this study were consistent with those of Craven, Marsh & Debus (1991) who also found that feedback given in numeric form has a negative effect on the self-esteem of low ability students. Sharing the same view is Black (1999) who argues that the best approach in formative feedback is not to use numeric indicators at all. When teachers focus on the numerical mark often used as a means of comparison with colleagues they fail to use the formative feedback to bridge the gap(s) in performance. Contrary to expectations, the current study found that Zimbabwean teachers claimed that the rating of their performance that leads to the rewards made them focus on the payment more than making efforts to improve their performance. This confirms the notion that performance review meetings that are dominated by the fact that they end with a rating are severely limited in forward-looking and developmental focus diminished (Armstrong, 2006).

Another important finding of this study is that there was no performance pre-test done to pupils before they are handed to the next teacher so that value added could be used to assess teachers’ performance. Without baseline data assessing value added becomes tricky because the possibility is that some teachers are assessed based on previous teacher’s efforts. Validating the findings of this study is Ahmadnia (2006) who observes that in the absence of meaningful pre-test data, grades or achievement test scores at the end of the year are hardly valid measures of a teacher's influence during a given year; indeed, they reflect the cumulative effects of what students would have learned at home and school over preceding years. A much more accurate measure of what a student has learned would be reflected by an assessment that is curriculum-aligned and administered both at the beginning and end of the year (Shiri, 1996). When such learning gains are averaged over a whole class of students, we have a general

indication of the magnitude of learning that would have taken place with that group of children. Without pre-testing on pupil achievement, gauging the teacher's actual input to that class becomes problematic.

Levin (1979) and Paulin (1981) have found that teachers, individually or through their professional organisations, have expressed unwillingness to be evaluated, especially when they do not trust the evaluator's expertise and also when they are not represented in both the design and implementation of the evaluation. The findings by Levin and Paulin corroborate the findings of the current study where teachers feel that some appraisers were not confident or competent enough to judge their performance. Armstrong (2006) is of the same view when he affirms that employees have resented the superficial nature with which appraisals have been conducted by managers who lack the skills required, tend to be biased and are simply going through the motions. The possibility of feedback having negative impact on performance is likely to be high in this instance (Kluger & DeNisi, 1996). Feedback that is viewed as not accurate or useful, can potentially lead to discouragement and anger (Brett & Atwater, 2001), while lack of feedback discourages exploration and undermines the learning needed for later more independent performance (Goodman, Wood & Hendrickx, 2004).

In this study it was found that feedback by appraisers is either not accurate because of insufficient monitoring or not given at all, confirming the observations by Brett & Atwater (2001) and Goodman, et al. (2004). Without regular monitoring and effective feedback it means teachers are evaluated using pupils' achievement. This system has its shortcomings in that at times hard working teachers cannot produce good results with a particular class because children's learning is dependent on various factors that may be beyond the teacher's control. Sometime lazy teachers teach children whose parents are very enthusiastic about the performance of their children and would pay for extra lessons. When children have performed well after extra lessons, credit is given to the class teacher although not rightfully deserved. This study found that the PAS did not take into consideration the fact that the mind cannot be easily manipulated to respond to teaching as one would want. In Zimbabwe, evaluating performance is the final stage of the PA that leads to awarding the notches that are then translated to payment rewards.

Because objective measures of performance are not available for many jobs, subjective ratings play a central role in evaluating or appraising employee performance (Smither & London, 2009).

5.3.5 Improvement of Teachers' Targeted Skills

This study found that the training needs to develop educators' skills are identified through the appraisal process year after year. The findings of this study are in line with Digman (1980) and Long's (1986) observations that the lifetime knowledge, skills and abilities of the individual are commonly identified from the performance appraisal process. While training provides adequate criteria to an individual to perform better in a given task and subsequently contributes to the organisation's performance (Drummond, 2000), the current study found that Zimbabwe did not train its personnel on identified needs and by so doing deprived itself of the excellence the workforce would have contributed had they been trained.

In as much as training based on identified needs would help fill the gap between "what is" and "what should be" in terms of teachers' knowledge, skills, attitudes, and behaviour for improvement of quality education (Malone, 1984), the current study established that teachers' identified skills gap was not filled. In dealing with literature, there is evidence that training enhances productivity and its benefits accrue to both employers and employees (Conti, 2005; Dearden, Reed & van Reenen, 2006; Ballot, Fakhfakh, & Taymaz, 2006).

Nankervis, Compton & McCarthy (1999) are of the opinion that effective training will not only equip employee with knowledge and skills needed to accomplish jobs, it will also help to achieve overall organization objectives by contributing to the satisfaction and productivity of every employee. Although this could have been Zimbabwe's aspiration when it introduced the appraisal system however, the study found no evidence of developmental programmes planned for the teachers to equip then with knowledge and skills in order to achieve overall organisational objectives. A possible explanation for lack of training of teachers may be due to economic melt-down that Zimbabwe

experienced as speculated by some respondents who attested that the introduction of appraisals coincided with political and economical turmoil in the country. This backs Lomofsky & Lazarus's (2001) argument that, the biggest challenge to education involves giving teachers the confidence to believe in themselves that they can accomplish the task at hand.

The study found that whatever deficiencies teachers, heads, EOs and the PSIs had, they still possess them since training based on the identified gaps was not carried out. According to Michael & Murray (1997) if the purpose of the appraisal system is training and development, then systematic indicative reality is important in order to propose training interventions that will encourage individual growth, improve task efficiency and increase organizational effectiveness. Based on the above revelation the researcher concludes that if the performance appraisal system was to enhance quality education in Zimbabwe, then there was need for the employer to decide and take action on the corrective measures to make teachers more productive.

5.3.6 Development of Teachers' Competencies

This study found that teachers felt that the PAS did not assist them to develop professionally. While training needs were indicated, developmental programmes aimed at addressing these needs were never initiated. Hargreaves & Fullan, (1992:2) suggest that, "One way of providing teachers with 'opportunities to teach' is to equip them with the knowledge and skills that will increase their ability to provide improved opportunities to learn for all their pupils". They further stipulate that a teaching force that is more skilled and flexible in its teaching strategies and more knowledgeable about its subject matter is a teaching force more able to improve the achievement of its pupils. In the course of this study the researcher found that there is dearth in literature related to how PA actually developed teacher competencies. It is the researcher's assertion that employers fail to develop their employees because they do not have set programmes that are meant to development.

Measuring competencies of teachers requires gathering start-of-year and end-of-year pupil performance for classes taught by teachers in the sample. In this way, it is possible to establish a robust added-value measure that will enable teachers to be sorted into classes; those who are outstanding and those considered average (Green, 2004:45). In this study there was no evidence that data on the performance of pupils was ever captured at the start of the year and at the end of the year to make comparison on teacher competence which makes it difficult to ascertain that competencies were developed.

This is also observed by Armstrong, (2006:59) who stipulates that “if you can’t measure it, you can’t manage it” and “what gets measured gets done” but you certainly cannot improve performance until you know what the present performance is”. While PAS was introduced so that competencies of teachers could be improved, there was no evidence that this type of data was ever collected and compiled. Armstrong (2006) further suggests that improvement to performance and personal development programmes should start by understanding what level the current of performance is in terms of both results and competence. This situation further proved that the PAS was not properly implemented hence respondents claimed that it did not assist them to develop their competencies.

5.3.7 Commitment of teachers to their work

This study found that the situation prevailing in Zimbabwean schools was that most teachers were reported to be spending as little time as possible in schools... Teachers were no longer fully committed to their teaching responsibilities as they had to engage in other income generating activities so as to sustain their families. This clearly indicates that even though the appraisal system was operational in Zimbabwe, the goal of making teachers more committed to their work was not achieved. Studies by Gaynor (1994) and VSO (2002) indicate that teachers’ organizations assert that low salary levels often declining in real terms and relative to remuneration in other professions often pushed teachers into second jobs or private tutoring. Even though the PRP was implemented to

encourage teachers' commitment to work there were inadequate financial resources to sustain the commitment.

What goes on in the classroom, the quality of lesson delivery and the way teachers conduct themselves are indispensable elements for improved learning. Whatever instructional methods the teacher uses, efficient use of school time has a significant impact on student learning. The wastage of instructional time should be a major concern for those who finance education. The study also found that many teachers in Zimbabwe were reported to be moonlighting, which takes up time and energy they would expend in the classroom. The results of this study are similar to the studies in China, Guinea, India and Mexico which found that nearly half the teachers interviewed reported being absent at some point (Carron & Chau, 1996), requiring other teachers to compensate for them or leaving students unattended and without instruction for days.

Ample research has indicated that when teachers' standard of living is so low and their basic needs are not met, they do not give priority to their teaching responsibilities. One common consequence is high teacher absenteeism, as teachers tend to supplement their income with second and third jobs (Chapman 1994). In these circumstances, instructional quality suffers (Daun, 1997). A teacher may be highly committed to the attainment of the school's learning goals, but may lack the necessary competencies to teach effectively, and ultimately becomes de-moralised and de-motivated.

5.3.8 Professional growth of teachers

While teacher professional development is a crucial component of educational improvement, this study found no evidence to support the existence of in-service or some form of professional growth that was promoted by the implementation of PAS. Although teachers confirmed that strengths and weaknesses can be identified through the PAS and that their training needs geared for professional growth had been identified, training or staff development were not initiated to enhance this anticipated growth. It is possible that lack of such training led to teachers finding it difficult to

embrace the educational change to their advantage. Similar sentiments came from Elmore (2002) who argues that most heads inclusive of their teachers in various schools do not possess the necessary knowledge and skills to adequately implement reforms in education. Hence it is viewed necessary for both heads and teachers to undergo continuous in-service training through attending staff development programmes in order to enhance their professional effectiveness in schools.

A study conducted by Rasheed, Sarwer & Aslam (2010) found a convergence of opinions where the chairman of the board argued that counselling and training was provided to teachers as a result of poor performance. An assistant professor vehemently disputed this assertion saying the performance evaluation technique of teachers is not helpful in developing teachers citing that in his 29 years experience he never observed that a teacher has been provided training as result of his poor performance. The assistant professor's assertion corroborates the findings of the current study where heads and teachers have not received any form of continuous professional development.

Although training needs were identified, available opportunities for teachers to enhance their skills through corrective measures in terms of training to reduce the gap were pathetically limited. This finding exposes that the requirement of the PAS were not adhered to by not engaging teachers in some kind of professional development, Zimbabwe reduced its chances of retaining highly skilled and motivated teachers thereby diminishing its quality education vision.

Whilst case studies from Bangladesh, Botswana, Guatemala, Namibia and Pakistan have provided evidence that ongoing professional development, especially in the early years after initial preparation and then continuing throughout a career; contribute significantly to student learning and retention (Craig, Kraft & du Plessis, 1998) the current study has not established any professional growth. However the results from the current study collaborate with other researches on these programmes that have provided evidence of the failure of earlier concepts of teacher learning as something

that is done to teachers (Richardson & Placier, 2001; Clarke & Hollingsworth, 2002). As a consequence, researchers have emphasized the concept of ongoing and lifelong professional learning embedded in schools as a natural and expected component of teachers' professional activities and a key component of school improvement (Putnam & Borko, 2000; Sleegers, Bolhuis & Geijsel, 2005; Smylie & Hart, 1999).

Without the provision of in-service support for teachers, this was as good as neglecting a potentially powerful way of strengthening teaching skills, introducing reform, developing professional identity, and increasing teacher morale. Teachers are of the view that in order to provide quality education, they should be actively involved in participating in professional development programmes. The above discourse indicates that although the PAS was implemented, professional development needs were not properly addressed in a beneficial way hence; professional development of teachers did not take place thereby jeopardizing the enhancement of quality education.

5.4 THE RELATIONSHIP OF RESOURCES TO PAS AND PUPIL ACHIEVEMENT

The quality and quantity of educational resources are important inputs to the teaching process. Human, material and financial resources are essential as support system and their availability is very important because of the role they play in the achievement of educational objectives and goals. An enabling working environment is likely to promote productivity in terms of students' achievement. While it is important to consider the issues of implementing the curricula, effective methods of delivery and providing expanded opportunities in the learning process, it is equally essential to provide every teacher with the necessary resources, materials and support to deliver quality instruction. The introduction of PAS was meant to enhance quality education hence the study endeavoured to find out if inputs (number of teachers, quality of their training and adequacy of teaching and learning resources); processes (amount of direct instructional time and extent of active learning); were available to support the outputs (as in test scores and graduation rates); and outcomes (where performance in subsequent

employment is measured) (Adams, 1998) were availed to teachers. In other words, the study examines the effect of availability or non availability of the resources to the appraisal system.

5.4.1 Infrastructure

The current study found that inadequacy of infrastructure especially in the P2 and P3 schools impacted negatively on the teaching and learning activities. This study also established that the shortage of infrastructure and equipment in schools made it difficult for teachers to conduct their lessons freely. Many teachers confessed that they could not meet the set targets as double session was the order of the day and sharing rooms affects direct instructional time and reduces active learning. While the PAS is being implemented, the sharing of rooms does not give the teachers quality teaching time, a situation noted by the respondents as affecting pupils' academic achievement.

The findings of the current study are consistent with the study conducted in Latin America that included 50,000 students in grade three and four. The study found that children whose schools lacked classroom materials and had inadequate library resources were significantly more likely to show lower test scores and higher grade repetition than those schools that were well equipped (Williams, 2000). Similar studies that were carried out in Botswana, Nigeria and Papua New Guinea concurred with these latter findings (Pennycuick, 1993). It is against this backdrop of heightened realization that Agenor (2009:247) commented: "Inadequate funding for infrastructure maintenance has been a chronic problem in many countries in the developing world".

The findings of this study confirm that the quality of school facilities may have an indirect effect on learning although it is sometimes hard to measure. The current findings are consistent to a study carried out by Psacharopulos & Woodhall (1997) which found that the relationship between school inputs and achievement has shown that student performance in developing countries is largely influenced by quality of school inputs and not by the socio-economics factors. On the same note Hallack (1990)

emphasizes that the availability, relevance and adequacy of educational resource items contribute to academic achievement and that unattractive school buildings, crowded classrooms, non-availability of playing ground and surroundings that have no aesthetic beauty can contribute to poor academic performance.

There are probably many factors that contribute to inadequate infrastructure in different countries such as political unrest, poverty, poor planning and management. One aspect noted by Hawes & Stephens, (1990) is that poverty in terms of GNP, suffers from a combination of factors which constrain quality at primary level. In a UNICEF Report (cited in Hawes & Stephens, 1990:54) Ahmed articulated that:

> *Throughout Africa, educational infrastructure deficient to begin with, has deteriorated further in recent years due to lack of such basic items as books, equipment, vehicles and fuel, inadequate teacher training and supervision; and inadequate data, planning and management. Teachers in several countries have to go for months without pay; many classes are held outdoors or in badly overcrowded, under equipped classrooms…*

The mobilization of local resources from which to operate is of vital importance. The UNUCEF Report cited by Hawes & Stephens (1990) confirms that the quality of school buildings is certainly related to other quality issues such as the presence of inadequate instructional material. Dwindling resources during a period of growing enrolments, the crash of the currency and the exodus of teachers could have caused a severe decline in the quality of education in many institutions in Zimbabwe. The implications of infrastructure shortage are that even if the PAS may have been a powerful system in terms of enhancing quality education, if it lacked the resources from which to operate then it would have been difficult to achieve good results

5.4.2 Shortage of teaching and learning resources

On the aspect of teaching and learning resources, the study found that these were inadequate. Heads and teachers felt frustration due to lack of resources like syllabi, teacher's guides, text books, exercise books and other related materials to aid the

teaching and learning process. Teaching and learning resources are pivotal in supporting the implementation of the appraisal system. Without instructional materials teachers fail to achieve their set targets hence quality education is affected. The researcher found that instructional resources dwindled tremendously due to over use; lack of supervision from teachers and the general wear and tear as books had outlived their expected life span (FGA & B, E1 & E2). Due to economic hardships, parents were no longer able to pay fees, levies or afford to purchase personal copies for their children. For a programme to achieve its intended goals resources should be made available to support its implementation hence the CIPP model advocates for the evaluation of inputs (Stufflebeam & Webster 1983). By evaluating inputs, decision makers are able to assess the viability and sustainability of the programme.

The findings from the current study confirm the results from the case studies carried out by the SNV Netherlands Development Organisation in 2008. The organisation found that with the Government support declining over the years due to a poor performing economy, the education sector had experienced resource constraints especially teacher exodus and inadequate budgets. This means that education authorities could not assist in providing adequate resources to ensure that quality education was offered to children. Primary school education completion rates according to the Ministry of Education, Sport and Culture declined from 73.18% in 1995 to 67.62% in 2004 (ZNASP 2005).

Validating these findings was a comprehensive World Bank review of studies which examined the effectiveness of various schooling factors in which, Fuller & Heyneman (1989) found that 67 percent of the studies showed a positive effect of textbooks and instructional materials on student achievement. In a follow-up review, Fuller & Clark found that textbooks had a positive impact on student achievement in 73.1% of the 26 studies conducted on the topic (Fuller & Clark, 1994). Levin & Lockheed's (1991) review of school effectiveness studies also concluded that successful schools provide sufficient texts and materials, and the availability of texts correlates with high achievement (Levin & Lockheed, 1993).

However, previous research shows that the phenomenon of the shortage of textbooks and other instructional resources is not peculiar to Zimbabwe but seems to be a recurring problem bedevilling Sub-Saharan Africa (Kantabaze, 2005, 2006). He further reveals that “in ten developing countries…the relationship between mediocre results and lack of school books was more significant and stronger than other variables such as qualification of teachers and the size of the classes”. This is a view that is unanimously acknowledged by researchers.

Since the introduction of the PAS and the PRP was to enhance quality education in Zimbabwe, the study as noted earlier also found that there was no evidence of improvement in the quality of education. This may be due to lack of or inadequate instructional materials. In order to redress the situation in Zimbabwe, governments of Australia, Denmark, Sweden, Germany, the Netherlands, New Zealand, Norway, United Kingdom as well as the European Commission formed an alliance with the Inclusive Government of Zimbabwe and the United Nations Children’s Fund (UNICEF) on 8 September 2010 and launched a massive nationwide distribution exercise to supply stationery and textbooks to every primary school pupil in the country through the funding from the Education Transition Fund (ETF), reported Dr Salami (UNICEF ZIMBABWE, 2009).

It was further noted that against great odds, Zimbabwean communities managed to keep their children and maintained high national enrolment in schools, despite a declining economy, rising unemployment, an orphan crisis and an under resourced education sector, which was near collapse. The issue then is not getting pupils to attend school but rather to achieve the aims of ETF to improve the quality of education (UNICEF, 2009). One wonders how the PAS will enhance quality education amidst such insurmountable challenges faced by the education system.

5.4.3 Financial Resources

Financial resources are monetary inputs available for and expended on the education system. These include money allocated to schools by the government through grants, school levies paid by parents and funds from any available donor agents. This study found that the introduction of the PAS coincided with the downward trend of the country's economy. Zimbabwe was cash strapped due to the withdrawal of financial support by the International Monetary Fund (IMF) and the World Bank a few years ago because of the political crisis and economic mismanagement that have engulfed the country following a series of rigged elections since 2000 (Gumbo, 2006). Probably when the system was introduced no one anticipated this dire strait to persist.

The findings of this study confirm the assertion by Sinyolo (1997) that the government hurried in implementing the programme before looking at its financial resources. Without the resources, it is as good as not having introduced the system at all. The importance of finance was also noted by Beeby (1966) and Adeogun (2001) who assert that education as a social service requires adequate funding to procure, maintain and keep the school services going. In order for the implementation of PRP to be successful in motivating hard working teachers, the government had to have an adequate financial base.

Contrary to the financial rewards that were promised, the current study found that about 60% of the educational personnel were never rewarded despite having performed exceptionally well. The selective payment of unsubstantiated amounts further demotivated the workforce in education. Those who were not rewarded were demoralised, demotivated and felt the system was unfair. While rewards were aimed at changing teachers' behaviour, non-payment was counter productive to the change.

Gary (1991) establishes that change in behaviour cannot be brought about in human beings through punishment or negative reinforcement, but only through positive reinforcement, influencing would involve providing encouragement and reinforcing

success so that the person takes more initiative and is able to experiment with new ideas. Initially the government's aspiration was to reward all good performers, but this fell short due to the financial despair as confirmed by the Zimbabwe Human Development Report. (UNDP, 2003 as cited in Kanyongo, 2005:71) noted that the country's economy performance went down since the introduction of the Economic Structural Adjustment Programme (ESAP) in 1990. Poverty has become more acute and widespread, leading to many parents failing to pay school fees for their children.

As the government struggled to pay adequate teachers' salaries since 2008, due to economic meltdown, parents were encouraged to pay incentives to the teachers and support the schools financially (see Table 4.3). This concurs with Fullan & Hargreaves (1991) model of change which emphasises the importance of external funding or outside support for the successful implementation of an innovation. Although these incentives paid by parents were meant to motivate teachers, they had a negative impact since they were not paid on time or regularly. Parents seemed to struggle with other problems as most of them were also either not employed or lowly paid. The message construed in this discourse is that the aims and goals of implementing PRP have not been realized.

Salary supplementation for teachers by parents and communities is common throughout Africa. Primary schooling is supposed to be free in most countries but, given the plight of teachers and lack of learning materials, parents are frequently expected to pay various charges. Clearly the decisions made by policy makers did not take into account the CIPP model which requires the availability of resources to sustain the implementation of a programme. The researcher found no documented evidence which indicated that educational strategies that were most likely to achieve the best desired results were in place. Besides the educational strategies, the government of Zimbabwe had no budget set aside for the system.

5.5 TEACHER PERCEPTIONS AND RELATIONSHIP BETWEEN PAS AND PRP

On the question of perceptions towards PAS and PRP the study found that teachers had negative attitudes towards both systems. Nkala (2002) states that the union was supportive of PAS as a management tool but, persistently challenge its use to determine remuneration because the system had glaring flaws. The findings of this study are similar to those carried out by Gunnigle & Heery, (2000) and Metcalf, Hansen & Charlwood, (2000) who found that because of perceived negative impacts, unions are resistant to the use of PRP systems for their work intensification and managerial control; erosion on collectivism; union exclusion and the rise of individual contacts. Similarly the studies by OECD (2001b) found that teacher unions have strongly opposed individualization of salaries while Mulford (1994) questions whether a principal can be both an effective assessor and assister. The results from the studies cited including the current study show that PRP is highly contested and unpopular.

The study found that PRP was introduced to run concurrently with PAS. While the expectation was that PRP would compliment PAS in terms of rewarding hard workers, the results of the study prove otherwise. The fusion of these two systems into one caused confusion in Zimbabwe as implementers did not know where one system ended and the other started. The findings of this study confirm the critics who say merit plans often have many defects and that employees are often sceptical that pay is really linked to performance (De Cieri et al., 2003; DeNisi & Griffin, 2001; McGinty & Hanke, 1989).

In the same vein is Hanley & Nguyen (2003) who suggests that the notion of PA as a feedback mechanism was accepted and supported, but ‘once it is linked to pay, it gets distorted’. Furthermore Hanley & Nguyen (2003) found that one union argued that PA systems do not take into account an employee’s inability to control certain factors, rendering the incentive system in that environment senseless. Thus, the system, and not the individual, is responsible for a large part of performance variance, making fair and accurate evaluation of employee performance inherently impossible (Waite & Stites 2000).

The study also found that teachers perceive PAS and PRP as not fair, accusing that they are very subjective and place a lot of emphasis on the activities achieved and not performance. The finding of this study concur with prior studies which found that teachers respond negatively to unfair appraisal systems that are overly subjective, evaluate teachers on criteria that are not related to instructional quality, and do not reflect actual performance (Huddle, 1985; Stiggins, 1986; Stiggins & Bridgeford, 1985). The findings of the current study are also consistent with those of Mani (2002) who found that employees did not perceive fairness of the systems on the basis of their procedures.

Sharing the same view is Roberts (2003) who posits that employees must have trust on the fairness of the performance appraisal and outcomes. In dealing with literature critics argue that using PA to determine pay distorts the idea of professional growth and instils fear and competition within the organisation (Deming, 1986; Stone, 2008). Clearly, when employees are then faced with a host of purposes that they fail to achieve them as Procter, McArdle, Rowlinson, Forrester & Hassard, (1993) in the UK and Beer & Casson (2004) in the USA indicates that there is no simple path between PRP implementation and better performance.

This study found that attaching PRP on PAS made both systems ineffective which is similar to the studies carried out by Nelson (2000) who also found that more than ninety percent of PAS is possibly ineffective. This is consistent with findings from Singapore teachers, who felt that formative purposes aimed at helping teachers improve their performance and develop in their chosen career paths were more important than summative purposes targeted at making personnel decisions such as promotion, dismissal, and awarding of performance bonuses (Kelly & Monks 1998).

5.5.1 Failure of the Appraisal Schemes

The findings of this study show that although teachers did not understand the reason for introducing the PAS, efforts were made to implement the change as a management

strategy. However the introduction of the PRP posed a threat to their job security as it emphasised on rewarding for good performance and getting rid of poor performers. While there are a variety of reasons in literature for the failure of such schemes, three are prominent, namely, employee perceptions of the scheme criteria, methods of assessment, problems with identifying individual employee contributions (Kelly & Monks, 1998), and the destructive effect on intrinsic motivation, teamwork and creativity (Pfeffer,1998; Pfeffer & Sutton, 2001). Because of the practical difficulties associated with measuring teachers' performance and its potential being conflict-ridden, teachers generally viewed PRP with a mixture of caution and suspicion.

Harrington, (1998) found that the major problem with PAS and PRP is not with performance planning, evaluation, and reward concepts but the ineffective way many organisations implement the concept. If a single appraisal system is intended both to improve current performance and to act as a basis for salary awards, the appraiser will be called upon to be both judge and helper at the same time. This makes it difficult for the appraiser to be impartial. It is also difficult for the appraisee, who may wish to discuss job-related problems, but is very cautious about what they say because of not wanting to jeopardize a possible pay rise.

On a similar vein, Barge (1989:359) argues that the atmosphere of appraisal is not conducive to their personal needs and states, "Who can talk openly and constructively about their personal development and growth in a meeting where subjective opinions about performance are being expressed". The issue of 'nepotism, favouritism and moderation of results and consequential mistrust of the system' were perceived as a major impediment to the effectiveness of the system (Hanley & Nguyen, 2003). They add that when people are under much pressure to maintain their pay and their jobs, then they develop 'irrational behaviours, leading to rotting of the system'.

5.5.2 Relationship between PRP and Teacher Motivation

The study found that payment of bonus and pay increase based on performance has been a highly contested concept in Zimbabwe as it is worldwide (Nkala 2002; OECD,

2005; Cox & Purcell, 1998). While PRP was meant to motivate teachers, the discouraging finding of this study is that teachers claimed that PRP actually demotivated them. It emerged in the study that at its inception people were exited at the prospects of being rewarded for their hard work. The anticipation motivated teachers confirming Vroom's Expectancy theory. However when the promised rewards did not materialise as expected demotivation and frustration crept into the education workforce.

Poor pay that has been compounded by erratic and selective payment of performance-related pay, and payment of the varying amounts often alleged to be insignificant seem to have caused more harm than good in terms of motivating teachers. Therefore non-payment of teachers' salaries affected teachers' motivation and morale leading to poor performance and non-commitment towards execution of duties.

The study produced results which corroborate the findings of previous work in this field. For instance a number of critical surveys of PRP by Marsden & French (1998) found a variety of negative aspects of public sector PRP schemes. While employees are attracted by the prospect of higher earnings for good performance, research shows that they also find PRP demoralizing, divisive and unfair. The other interesting finding is that PRP is said to damage morale and it caused jealousies and undermined teamwork.

Several studies have been carried out to establish what motivates public servants. For instance DfES (2001a, 2001b) carried out surveys of teachers in England and Wales which found negative prognosis towards PRP. The study by Farrell & Morris (2004) confirm the findings of the current study where most notably teachers viewed PRP schemes as not having increased their motivation or improve teacher recruitment or retention. It can be argued that non-monetary rewards are more important to teachers than financial rewards such as PRP. The assumption confirms the assertion by Gagne & Deci (2005) that intrinsic motivations make individuals perform better as compared to extrinsic dimensions. Similarly a study by Glewwe, Nauman & Kremer (2010) reported results from a randomized evaluation which provided incentives based on test scores to grades 4 to 8 teachers for in Kenya, they found that while test scores increased in

program schools in the short run, students did not retain the gains after the incentive program ended.

According to Vroom's (1994) Expectancy theory teachers may be attracted by the thought of having more money and then work hard. In an attempt to relate this theory to education however, Jacobson (1992) claims that the relationship between teacher's efforts and performance or results is not straightforward and that the realization that certain conditions such as overcrowded classes and poor resources were preventing teachers from gaining their anticipated performance related rewards might be demotivating. Jacobson's claim confirm what has been alluded to in this study in terms of shortage of infrastructure, teaching and learning resources which impacts negatively on the teacher's achievement of set targets. This study has been unable to find any link between PRP and teacher motivation and concludes that linking pay of teachers who are motivated by public appreciation to their performance may be counter-productive.

5.5.3 Recruitment and retention of teachers based PRP

Another important finding of this study is that there is no recruitment drive that is carried out in the selection of teachers to the schools in Zimbabwe. The Ministry of Education is responsible for hiring and deploying teachers to various schools. Once teacher trainees graduate from Institutions of Higher Learning they report to Provincial offices who then refer them to District offices to be deployed to various schools. Respondents in this study stated that they were not recruited on the basis of the PAS. PSIs, as part of the PSC which employs teachers confirmed that teachers are employed on the basis of qualification and deployed to schools according to demand.

Teacher recruitment is school-based in some countries, especially where missions and other faith-based education agencies own and manage sizeable proportions of schools (Bennell, 2004). In Zimbabwe while mission schools do not recruit, the trend is that people from their own denominations are often recommended to take up teaching posts and certainly headship. One of the major reasons for introducing the performance-related pay system in Zimbabwe was to recruit and retain highly skilled manpower in the

education system. However this study has not been able to provide evidence of this assumption. Literature is also silent in terms of PAS and PRP systems being used in the recruitment of teachers in Zimbabwe and elsewhere

This study also found that teacher retention is influenced by high inflationary environment, low salaries and the general low morale which created a high exodus of teachers. The general consensus is that, despite the appraisal system being in place, the education sector experienced a high teacher exodus in which Zimbabwe lost highly skilled manpower especially in the secondary schools (EO1). Primary school teachers are also increasingly demoralized and most left the profession due to low salaries

A study funded by the United Nations Development Programme (UNDP) (2010) validated the finding of this study as they also found that Zimbabwe was experiencing a debilitating flight of professional and skilled people, and the level and trend of the brain drain has reached unacceptable and unsustainable heights as professionals escape the country's economic crisis. Validating the UNDP results is Chimanikire (2005) who asserts that in the last few years, the brain drain has escalated in magnitude to levels that have serious implications on quality education and economic growth in countries like Zimbabwe. He further notes that Zimbabwe, once one of the most educated and skilled nations in Africa, runs the risk of being turned into a society of expatriates because of an unprecedented exodus of professionals fleeing a plethora of worsening ills.

In recent survey Nyathi, (2010) reported that Zimbabwe has lost more than 45, 000 teachers who left Zimbabwe to look for greener pastures abroad in the past decade. From those who had left, it was established that 54.5% left due to low salaries, the exchange rate and in search for better and career advancement while 8% of the respondents cited “political factors” as their main reason for emigrating. The problems facing the education system in Zimbabwe were echoed by the country’s leading financial newspaper which noted:

> *The malady plaguing the local education system is fed by under-funding from the State budget; high inflation which topped 525.8 per cent continues to eat into grants provided by the State to schools. Low morale within the teaching profession has led to staff exodus from the teaching profession. (Financial Gazette, 2003)*

Related studies in Gambia found that the Gambian Teachers' Union reported a massive exit of teachers from the profession due to, amongst other reasons, a lack of adequate salaries, allowances, housing and promotion (Kamara, 2002).

The situation in Zimbabwe is such that teachers receive the same salary regardless of years of experience and qualifications which has further frustrated the experienced, the high flyers and the highly skilled. As stated earlier, the PRP rewards have been paid selectively and this could have “pushed” teachers out of the system. Consequently, turnover in the Zimbabwe primary schools has disrupted the quality of school cohesion, performance and quality education suffered. Interestingly though neither this study nor other studies carried out on the recruitment and retention of teachers make reference to the PAS of PRP. However it is the researcher’s assessment that if schools can not recruit and retain highly skilled manpower due to factors beyond their control, then implementation of PAS and PRP are affected leading to non-achievement of quality education.

5.6 CHALLENGES IN IMPLEMENTING APPRAISAL IN THE ZIMBABWE EDUCATION

As stated earlier in the study, PAS was haphazardly implemented without ensuring the readiness of all those involved and the availability of the required resources. The dilemma with teacher appraisal is that teaching itself is a highly complicated process and no one knows precisely what ideal role a teacher should perform to enhance excellent student learning, not even when the context of a classroom is special (Stufflebeam & Shinkfield, 2007). While the adoption of PAS was meant to bring about a new mindset with a view of creating a civil service dedicated to deliver service

effectively and efficiently (PSRC, 1989), this study found that there were no clearly stated goals for the teachers to achieve.

Although the buzz word was PM, in reality the PAS which is a subset of PM was actually implemented. It seems policy makers were confused on which goals to emphasize further cascading uncertainty on goals to the implementers. This is confirmed by Armstrong, (1996); Bacal, (2000); Greenberg, (2004); and Schiemann, (2009) who observes that challenges often arise when performance management (PM) is confused with performance appraisal. This situation was prevailing in Zimbabwe as policy makers also seemed confused whether the adopted system was PM or PAS. This clearly exposed the shoddy deals by the street-level bureaucrats

In as much as Zimbabwe succumbed to IMF and World Bank, policy makers had good intentions of improving service delivery in the civil service and quality education. There is however, overwhelming evidence that the implementation of the PAS and the PRP encountered many challenges. These problems may have been a result of human error of omission or may be due to external factors. As indicated earlier, the fact finding team that was sent to learn about the policy could have wrongly presented the design or adapted the design to simplify it. In line with this view are Bergen & While (2005) who observe that policy implementation depends on both the degree of vagueness and hence interpretative discretion allowed by, policy wording, and also on the degree of willingness by practitioners to take advantage of this and ‘bend’ policy to their own practice needs. Even though the goals may be vague the fact finding team usually has the political backing to reinforce the importance of these goal.

This study found that there was confusion in terms of the goals to be achieved. The confusion between PM and PA was further obscured by the introduction of PRP while PAS was still in its infancy stage (The Public Service Newsletter, 1997). By so doing Zimbabwe took a counter productive move that watered down its good intentions. In one review of appraisal literature, the authors found that regardless of the appraisal programme’s stated purpose, there were few studies that showed positive effects

(Bernadin, Hagan, Kane & Villanova, 1998). The challenge in implementing goals without having a clear knowledge of the design is also observed by Wells (1997). He grants that lack of prescriptive guidelines to the implementation of PAS and the under-resourcing at local level, conditions with a professional imperative to demonstrate the meeting of the users' needs is countered by the actions of individual practitioners reshaping users' perceptions of their needs to match available resources.

When policy goals are vague, implementing the policy is usually characterised by uncertainty, complexity and ill-defined situations which can be recognised, according to Schon (1991), as 'swampy lowland', and by a tendency to change at a much slower pace than its instigating policy (Hunter, 1993). This explains the delayed implementation of PAS in Zimbabwe (Section 1.5). Thus, the interaction between policy and practice may be characterised by ambiguity of intent and volatility of response, making implementation both complex and problematical. It is doubtful that the people sent out on fact finding missions were experts who knew how to assess the complex personnel evaluation systems for the country. The other possibility is that the ideas and practices of the appraisal system were not well captured.

Furthermore, teachers were not satisfied with the appraisal system due to unclear goal and the infusion of PRP to PAS. The findings of this study are similar to a study which reported that many companies are not satisfied with their performance appraisal systems and procedures (McNerney, 1995) and managers said they were frustrated with the performance appraisal process (Longenecker & Fink, 2007). Formal appraisals therefore are done on the surface while deep-down inside each employee, PA is only a formality or ritual that is carried out to fulfil the statute. Without clear goals, it is difficult to understand how the appraisals are carried out. This situation has further depleted the effectiveness of the appraisal system as it is not clear which goals are to be achieved. Other problems that could have affected the implementation of the appraisal system are discussed below.

5.6.1 Lack of Pilot-Testing

This study found that pilot-testing was not done before the full scale implementation of PAS and PRP in Zimbabwe. As P3 insinuated; one of the serious errors made by policy makers was rushing into implementation without pilot-testing of the system. This omission cost the education system, as PAS was not considered adequate regarding the inclusiveness, acceptability and fairness and validity criteria (Aguinis, 2009). Pilot-testing the system would have helped to fine-tune it in terms of acceptance, ensuring the availability of resources, redesigning an appropriate appraisal instrument and ensure preparedness of end-users to effectively implement the system so that intended goals are achieved.

Pilot-testing would have assisted in measuring the extent to which the intended goals are inline with the needs of the end-users and the Ministry (e.g. teachers and the Education Ministry). According to Aguinis, (2009:34) pilot-testing helps to identify potential problems and glitches so that corrective measures can be put in place before the full scale implementation. He further suggests that pilot-testing consists of implementing the entire system, including all of its components, but only with a select group of people. This select group gives feedback on the possible pitfalls and how the system can be improved. While pilot-testing is ideal, saves money and time, increases the validity and reliability of the programme it is seldom carried out. The reasons for not piloting were not be spelt out but the speculations are that it may be due to pressure to adopt ready-to-implement programmes, pressure from the funders or sheer craft-illiteracy of the policy makers.

5.6.2 Lack of Management Commitment

In its effort to ensure management commitment, Zimbabwe legalized the PAS through the Statutory Instrument 1 of 2000 and established the Performance Audit and Inspectorate Agency to monitor the implementation of the appraisal system. However this study found that PSIs were equally frustrated with the system as they experienced lack of government support in the execution their duties. It was established that without

proper evaluation structures and corrective mechanism, the Inspectorate also carried the task of monitoring performance as a routine exercise that did not yield the desired results. The findings of this study have been observed by other scholars who state that PAS failures may be a result of poor execution or lack of authentic management commitment (Rodgers & Hunter, 1991; Rodgers, Hunter & Rogers 1993).

The hyperinflation that played havoc with teachers' salaries, the political instability and general lack of focus towards state activities except electioneering has caused professionals to lose focus too. The above discourse clearly indicates that while the policy makers had good intensions by introducing the system, there was lack of management skill and expertise to re-align the adopted system to suit the Zimbabwean context. Expressing the same sentiments is Schiemann (2009) who observes that many organisations lack organisational discipline to drive performance management holistically. He further notes that managers scramble to complete goals well into the performance period and anxiously hurrying to complete reviews necessary to get rewards before deadlines instead of integrating the PM system and all it entails. This confirms what the study found in section 4. 7. 3.

For successful implementation of any innovation, the crucial starting point is for top management to be committed to supporting middle management. When employees feel that management is committed to the process and it is to their own advantage to improve their performance, as there are possible rewards in the pipeline, they then improve their performance.

5.6.3 Lack of Needs Analysis

The study found that the PSRC, (1989) that was tasked to assess the state of service delivery in government offices gave an umbrella report of all government ministries regardless of the type of operation involved hence a single appraisal system was introduced for all Ministries. The current study did not find any evidence indicating that the PSRC assessed the needs at grassroots operation of each ministry considering their diverse operations. The researcher is not aware of the reason behind this type of

assessment, but can only speculate that it was related to financial constraints and incompetence on the part of policy makers. The disadvantage of this approach are also noted by Taylor (2003) who comments that the “one size fits all” approach of generic measures may overlook important performance criteria that are relevant to particular jobs, and may also include criteria that are irrelevant to others. This is true in the case of Zimbabwe as a single PAS was introduced to all government’s ministries including education.

The current study found that teachers could not quantify their output in terms of what they teach against what pupils learn, nurses can count how many patients they treat a day although that does not guarantee their recovery while the Registrar’s office (Home Affairs) can state that they aim to issue out so many birth certificates or passports at a given period. The nature of teaching work and educational administration is complex, ambiguous, and comprises many intangible aspects, which make it hard to identify and evaluate effective teacher characteristics and behaviours (Darling-Hammond et al., 1983). Needs analysis is fundamental to the development of educational interventions meant to bring change in people’s mindset and performance.

5.6.4 Lack of Assessment Standards and Consistency

This study found that assessment standards of performance were jointly set by the appraiser and appraisee. These standards were then used as benchmarks for assessing the performance of an appraisee. However these agreed benchmarks were and still are prone to bias and subjectivity. It emerged that when school effectiveness is used to measure quality, individual effectiveness is not considered. Lack of consistency in the standard of measure has been identified as a weakness and an unfair practice in the performance appraisal system.

Another finding in this study is that teachers feel that the numerical rating that is used does not explicitly portray their performance. At the same time there is no guide which stipulates that if an appraisee performs certain task in a set manner, s/he is given a particular rating. The researcher observed that there is a discrepancy where you find

that a teacher's performance in school A may be very good and rated 4, yet the same teacher's work may be said to be average and rated 3 in school B. Lack of standard rating is unfair to employees who become confused about where they stand (Storrs, 2010). Lack of a standard measure also causes some supervisors to become strict and stringent in their rating while others become too lenient. Specific problematic issues that have been identified and related to lack of accurate measures to judge employee performance include, lack of managerial training in performance appraisal rating skills, employee conflict and competition, the undermining of teamwork, disproportionate employee responsibility for poor performance and perceptions of bureaucratic control (Roberts, 2003). Without a set standard measure, the appraisee's fate remains in the appraiser's temperament and analysis of the performance.

Research on the effect of numerical rating to teachers is limited although resent studies have begun to focus on the measure of rating quality. Nonetheless there is still confusion as instruments that can be used when evaluating human work performance are not nearly as accurate as scales that determine mass. Evaluating the teacher's performance is an endeavour to measure something that is invisible hence the measurements are always considered subjective. This brings us to the question; how can one measure the amount of knowledge content that the teachers emit to the learners?

A good system is considered reliable if two supervisors provide similar ratings of the same employee and performance dimensions, a situation that has been reported as non existent in the sampled population. If a discrepancy is perceived between work and evaluation or between evaluation and rewards, then the system is likely to be seen as unfair. The reality is that performance management systems are seldom implemented in an ideal way (McAdams, Hazlett & Casey, 2005) may be due to insufficient funds to deliver adequate training to all people involved, supervisors may have biases in how they provide performance ratings, or people may be just busy to pay attention to the new organizational initiative that requires their time and attention. Without the benchmarks that suggest that this type of achievement warrants a certain rating, the

system will persist with its loopholes, further frustrating the implementers and obliterating quality education.

Besides lack of assessment standards, the study found that Zimbabwe used assessment methods which involved a single human resource appraiser to provide the evaluation report on a subordinate. It becomes complicated to completely allay the appraisee's fears associated with the bureaucratic position occupied by the appraiser whose dual authority bases bring to the supervisory process a threatening atmosphere (Nhundu, 1999). When a single person is tasked to judge the performance of a subordinate human personal prejudice, favouritism or preference and non-objective factors are likely to cloud one's judgement. Therefore, teachers see the role of appraisers who also occupy administrative positions as not directly related to the improvement of instruction, but associate them with supervision for administrative decisions.

Lack of relevant information pertaining to what one should look for in the performance of the subordinate makes the whole evaluation subjective. Hence, in the teaching profession, student achievement stands as one of the main tools of evaluation. As earlier stated, while it is fair that students be included in the evaluative process, depending on the evaluation process and content, it may not be fair to the teaching professionals to have their very careers at the mercy of a potentially flawed tool (Magno, 2009).

5.6.5 Lack of Feedback

There are two types of feedback discussed in this study. The first one is the feedback that each appraisee gets from their supervisor. It actually directs and motivates the appraisee's activities towards the achievement of set targets and improves performance. The second type is the feedback from the head office where all the appraisal reports are sent to and where the rewards are decided and distributed.

On the first type of feedback, this study found that teachers were of the view that feedback from their appraisers was not given timeously and was certainly not effective. A similar situation was observed by Brown et al., (1997) who highlights that feedback is at its most effective when it is 'timely, relevant and meaningful'. Without feedback teachers are never certain whether their performance is up to the required standard or not. The possible reasons for not giving feedback timeously could have been that the appraisers were also not trained in giving feedback. Even though not many studies have explored the consequences of not giving feedback timeously, one that came out clearly in this study was that teachers felt frustrated and viewed the appraisal process as a ritualistic event.

On the second type of feedback, the researcher found that the employer rarely gives any feedback in terms of how employees have performed to warrant a certain amount of reward or failure to receive the reward. While selective and varied amounts of rewards have been paid out to teachers, none of them can certainly say because of this rating they were rewarded with so much money. Additionally, those who received some form of rewards were not made aware of the actual amounts deserved due to the quality of performance and that left them deeply uncertain about what the reward was for (Smith, Snyder & Handelsman, 1982). The reasons for this lack of feedback are not explicit.

Other scholars suggest that unclear evaluative feedback, which fails to clearly specify the grounds on which students have met with achievement success or otherwise, is likely to exacerbate negative outcomes, engender uncertain self-images, and lead to poor performance (Thompson, 1998; Thompson & Richardson, 2001). This observation is also applicable in the case of teachers who seem to have lost the keenness to effectively contribute towards achievement of quality education. Lack of effective feedback may have led to uncooperativeness and hostile work attitudes.

Although other scholars assert that feedback conveys which behaviours are desired by the organization and includes an evaluation of the quality of relevant work behaviours (London, 2002; Steelman, Levy & Snell, 2004), the current study found that the system

adopted had no in-build mechanism for evaluation, hence lack of feedback from PSC led to confusion, anger and demoralization of teachers.

As already mentioned earlier, goals were not clearly defined in the design of the appraisal system and the confusion on which goals are more important between the PM, PAS or PRP goals still persists. It is against this milieu that scholars such as Earley, Northcraft, Lee & Lituchy (1990), Erez (1977) and Frost & Mahoney (1976) propose that feedback cannot lead to a reduction in this discrepancy if the goal is poorly defined, because the gap between current performance and intended performance is unlikely to be sufficiently clear for the teacher to see a need to reduce it. As far as the PAS and the PRP are concerned, there is no direct mention of evaluation paradigms. The omission of this crucial element could have been caused by the inability of policy designers to include the evaluation component in the system.

5.6.6 The appraisal form

The study found that teachers felt that the standardized form where the appraisal process is recorded is too laborious and time wasting. Besides being voluminous, one has to add extra paper so that all the information is adequately included. The findings of this study confirm the concerns by Harari (1993) about the creation of cumbersome bureaucracies that cause increases in paperwork so as to track the benefit of PA programmes. On the same issue, Lilrank et al. (2001) point out that excessive paperwork is prohibitive to the core business progress. Another study also established that *"most evaluation systems are cumbersome, with simplistic rating categories, bureaucracy and vast amounts of red-tape and paperwork that make the evaluation an ordeal"* (Spangenberg, 1994:6). These studies expose that the complaints raised in the current study about the voluminous appraisal form are not unique to the current location of the study but are a challenge elsewhere. It is the researcher's assertion that policy makers also lack the skill to modify the form so that it is made relevant to different levels in the organisation.

Besides completing the personal details, agreed work plans, and the progress review, the form required personal dimensions to be assessed and recorded in the appraisal form. Furthermore, the appraisal system in Zimbabwe emphasized the validity of the forms. The appraisal form is considered valid if all the sections are completed even though the comments do not tally with the actual performance of an individual. The results of this study corroborate with Reilly & Aronson (2009) who noted that rewards and recognition systems still focus primarily on task completion and goal achievement instead of contextual performance which refers to activities that are not task or goal specific, but that make individuals, teams and organisations more effective and successful.

5.7 IMPLEMENTATION OVERVIEW

Despite the fact that the challenges associated with the design, implementation, and functional use of appraisal systems are well documented, they continue to be frustrating to both academics and practitioners (Longenecker & Nykodym, 1996). This current study found that teachers could not integrate the PAS in a manner that would enhance quality education. The researcher observed that the current study produced results which corroborate the findings of a great deal of research in the field of appraisals. These results also confirm the notion that borrowed policies usually fail to replicate the results obtained from the country of origin. For instance, in a study conducted in Victoria's principal performance management systems, Mongan & Ingvarson (2001) found no attempt to link performance management with improved educational outcomes for students, school improvement or improve quality of management in schools. In the same vein, the current study found that the performance appraisal system has not improved the quality of education.

Factors that hinder implementation have been cited as lack of user acceptance and staff attitudes (Ash & Bates, 2005; Ball & Lillis, 2000; Beaty, 2007; Clemmer, 2004). In line with this view are Saylor et al. (1981:100) who declare that "*lack of participation may lead to a misconception as to what is expected and that real allocation and*

appropriation cannot take place". Similarly, Loucks & Lieberman (1983:131) link up this assertion by ascribing lack of success to lack of teacher participation: "*Without adequate participation, the chance of successful implementation greatly diminishes".* The factors cited above are true in the case of Zimbabwe, since in many cases teachers lost track of what was expected of them. The situation was further aggravated by trainers' failure to give teachers examples relevant to their day-to-day work. It seems that teachers were left to discover individually how to implement PA in schools.

5.8 PAS AND ACHIEVEMENT OF QUALITY EDUCATION

The study found that the performance appraisal system did not enhance quality education and this is substantiated by a report by one of the educators that the results at Grade seven have shown a downward trend since 2000. The performance of a teacher is strongly linked to the students' outcomes. The current study established that factors such as teacher absenteeism, low morale, teacher exodus and massive alteration of the school calendar could have contributed to lack of improvement in pupils' achievement and quality education. Due to these factors, some classes may have not had quality instructional contact with their teachers. The number of hours spent in the classroom by most African students is far lower than the international standard (United Nations Report 2000). In Zimbabwe this situation has been caused by the high demand for education especially in urban high density suburbs where double session is widespread.

The exodus of teachers discussed in section 5.5.4 adds to the list of factors that inhibit the achievement of quality education. Despite the implementation of PRP which was meant to pay teachers so that they remain as class teachers, this study found that teachers are often underpaid, under qualified and rarely receive the support and supervision they need to do their job effectively. This confirms the assertion that organisations may fail to achieve their set goals due to lack of the right skills and because work processes are not streamlined (Edmonstone, 1996).

The study found that the resources were inadequate and also the implementation process was flouted so much that the process was turned into an end of year ritual with no impact on performance. As far as quality is concerned, inadequate mastery of educational programmes, lack of innovative teaching methods, lack of teaching materials, insufficient instructional time are some of the factors that hinder quality. The study found that the education in Zimbabwe was almost on its knees due to political and economic dilemma hence; despite the implementation of PAS one cannot ascertain that it enhances quality education.

This study found that the resources in Zimbabwe dwindled due to the political turmoil since February 2000 when the people voted in a referendum against a government-sponsored constitution that would have widened and entrenched the powers of President Robert Mugabe (Gumbo, 2006 for Institute for War and Peace Reporting (IWPR)). This political turmoil brought about the economic meltdown as well. Since then, Zimbabwe has experienced declining public resources and private economic hardship resulted in an erosion of quality and primary level participation rates (Adriaan, 2002).

In this study it was established that the measurement of quality education was based on Grade seven examination results at exit point of primary school. Use of examination results may not be a reliable yardstick and there are many variables that come into play. Works by Elliot et al., (1998); Elliot & Sammons, (2001) and Goldstrain, (2001) highlighted the limitations of using pupil performance data to judge the performance of schools and teachers. The use of examinations at the exit point does not indicate individual performance of all the teachers in the school. Particular problems in this regard include statistical uncertainty- especially in the case of small classes (Poister, 2003); the fact that few schools use measures of year-on-year value added progress for all year groups. In addition, some classes are taught by more than one teacher while other teachers have greater access to teaching assistants. At the same time some parents use part-time private tutors to boost their children's performance while other pupils experience personal or home problems which may affect their academic performance. Thus, performance is not measured for the majority of subjects taught and

test scores do not take into account of the fact that primary school teachers' job responsibilities usually include more that the academic performance of their pupils (Brown, 2005).

The information that is coming out here clearly proves that schools cannot claim that PAS enhanced pupil achievement when there was inadequate statistics to prove that there was added value to pupils' performance. It appears that when Zimbabwe introduced the PAS, the issue of base-line indicators and year-on-year value added progress were not considered. It may have been easy to assess the value added progress to Grade one but never documented so that cumulative data on value added could be collected up to the exit point. This kind of data would have assisted in establishing the actual performance of each teacher and the amount of value added by each teacher. While some schools have maintained a high pass rate, others have been on the negative side but none of the teachers credit their achievement to performance appraisal.

5.9 EFFECTIVENESS OF PERFORMANCE APPRAISAL IN ENHANCING QUALITY EDUCATION

5.9.1 Communication of quality

Evaluating the effectiveness of the performance appraisal in ensuring quality has not been an easy task in the sense that quality should be agreed upon by those who want to achieve it. It is possible that the term quality means one thing to policy makers and something different to the implementers who were expected to achieve it. Communication is essential in disseminating the expectations on quality and this study found that teachers were not conversant with the goals meant to bring about quality. Sutcliffe & Pollock (1992) add that implementation begins with the drawing up of a quality policy statement and establishment of an organisational framework for both managing and encouraging the involvement of all parties in attaining quality through teamwork. Implementation of a new programme requires the participants or the

recipients of the programme to be involved in the new development so as to explore the new territory and overcome the obstacles.

Sharing the same view are Ornstein & Hunkins (2009) who posit that to establish a community of supporters for the new programme, people must address their fears, misgivings, apprehensions and other factors that restrain the acceptance of change. Problems identified as factors that affect effectiveness have provoked an ongoing debate among practitioners, academicians, and scholars concerning the actual effectiveness of performance appraisal (Schraeder, Becton, & Portis, 2007). Similarly, Luckett (2003) argues that the more the purpose, design, criteria and consequence of quality assurance are owned by those being evaluated, the more likely they are to take the findings seriously and that understanding will be maximised where it is self-generated. If teachers feel that the process stands to benefit an external agency rather than their professional development, the level of self criticism will be muted and the value of evaluation reduced. These arguments imply that where there is self regulated internal quality assurance, there is the likelihood not just of an advance in self-understanding but also of continuous self-improvement taking place.

However the findings of this study are contradictory to Luckett's (2003) arguments in that while teachers were expected to achieve quality through the appraisal system they were not involved in designing the criteria for quality and the means of achieving it. Roberts (2003) noted that employee involvement is a useful tool for increasing job-related autonomy, which is a prerequisite for employee growth and gives employees voice in the appraisal process which gives the employee the opportunity to refute performance ratings, documentation, or verbal feedback with which they disagree. Involvement of the teachers in the design of the appraisal system would have enhanced its acceptance. As Solie (2006) clarifies, the employees want to believe in the process and they want to feel ownership in a transparent appraisal process.

It can be argued that there was lack of communication between policy makers and implementers and this led to misunderstanding and mistrust. Teachers were sceptical of

the government's intention in introducing the appraisal system which led to resistance. As the people resented the system, little effort was put in trying to learn more about it and look at it positively. It is against this state of affairs that Armstrong & Baron (1998) suggest that for performance management systems that are linked to quality assurance approaches in order to achieve goals there is need for performance systems that embrace how well people get things done as well as what gets done with special consideration of inputs, processes and outputs.

5.9.2 Implementation

The current study found that the major constraint Zimbabwe faces in implementing the appraisal system and in applying fiscal transparency practices is lack of political will and commitment. Resembling the biblical parable of the Sower to the performance appraisal system, it is like a seed that fell among thorns; and the thorns sprang up with it, and choked it. The metaphoric representation of thorns is factors such as economic mismanagement, corrupt practices and political bickering which in their multiplicity derailed an excellent idea making it defunct. Without this element at the core of educational reforms in general and the fiscal reforms in particular, no amount of foreign backing or legislation can disentangle the country.

Educational reforms as well as other state issues took a back seat as economic meltdown and political turmoil took the centre stage marshalling in a series of elections. The study found that the appraisal system was haphazardly introduced without pilot-testing it and adequately training people to implement it thereby increasing resistance and reducing its acceptance. The implementation of the appraisal system has since been challenged by issues such as lack of professional standards at all levels, the quality and consistency of implementing the PA process and developing the capacity of teachers in terms of improving skills and competencies, and promoting professional growth.

In pursuit of quality, the Public Service Commission established the Performance Audit Inspectorate Agency which is responsible for monitoring and supervision of the implementation of the PAS. This was to ensure that the Agency brings change in the performance of the civil service. Nevertheless, PSC recruited people from all Ministries who had already been subjected to the appraisal system as appraisees for three years and had probably developed a negative attitude towards the system. Once recruited the government fell short of intensively training the Inspectors to equip them with generic skills of critical analysis and evaluation. Provided with such skills they would be able to carry out evaluation on the appraisal system at the same time monitoring change in the civil service instead of being data collection agents who compile statistical information on issues such as the number of schools that have submitted appraisal forms, abscondment of personnel and attending to disciplinary matters.

5.10 CONCLUSION

The major findings of this study show that implementation of the performance appraisal system in education encountered numerous challenges such as: lack of acceptance due to non-involvement of the educators in its design and lack of clear goals which could guide the implementation. It is possible that the street-level bureaucrats presented watered down goals in the original design since the policy was adopted from Canada. Educators were not adequately trained to understand the system well enough to integrate it into their daily work. There were inadequate classrooms, furniture, funding, resources and equipment for teachers to effectively achieve their set target. The introduction of the PAS was ill-timed as it coincided with the political instability and economic meltdown of the country which led to brain drain of professionals and other high post holders. This factor led to shortages of professionally qualified personnel, thus the Department of Education resorted to employing temporary teachers who lack relevant teaching skills and experience. This negatively affected the implementation of the appraisal system and the performance of students as well as skills production. Analysts found that there is a fairly low degree of reliability and validity remains a major bug in most appraisal systems. Many such systems are met with considerable

resistance by those whose performance is being appraised, thus hampering the possibilities for effectiveness. While accurate and informative appraisal systems can be a major asset to education, they are too often an unrealized goal.

The next chapter presents the summary of the study, major conclusions that were drawn from the study as well as the recommendations on the intervention strategies that can be adopted by policy makers in an effort to address the problems facing the implementation of performance appraisal systems at primary schools.

CHAPTER 6

SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

6.1 INTRODUCTION

This study assesses the implementation of the performance appraisal system in Zimbabwe with main focus on primary schools in the Bulawayo Metropolitan Province. The main aim of the study is to cross-examine whether the system has been properly and effectively implemented to actually adequately address the teachers' skills and competencies. Furthermore the objective was to find out if PRP motivated and accelerated pupils' achievement. Since the PAS was infused with the PRP to improve teacher recruitment, retention and motivation, the study endeavours to establish whether the relationship between the two systems is complementary. This chapter is divided into three sections, the first one presents the summary of the research findings, highlighting the strengths and weaknesses and the lessons learnt from them, the second section outlines the overall conclusions of the research. The third section attempts to respond to sub-research question 1.7.1.6 which advocates intervention strategies that can be employed to improve the application of the performance appraisal system in primary schools, assist policy makers to put together informed decisions and propose future research on the phenomena.

6.2 SUMMARY OF FINDINGS

While quality is viewed like fashion which changes over a period of time, it can also be viewed as fitness for purpose. Fitness for purpose focuses on evaluating whether quality related intentions of a department or organisation are adequate. It can be argued that fitness for purpose serves to ensure the effectiveness of the internal quality assurance practice towards the achievement of continuous improvement and accountability. This concept of quality is appropriate to the autonomous status usually

associated with primary education as it is the foundation for shaping the country's intellectual capability. For quality education to be achieved, factors such as educational policies, material resources and teacher capacity have to be in place. In Zimbabwe, the outcry for improved service delivery and quality education led to the adoption of the performance appraisal system which aimed to improve teachers' skills, competence, motivation and retention on the service. The role played by the performance-related pay was a move towards rewarding hard workers and encouraging them to remain in the profession.

6.2.1 Introduction of the System

Zimbabwe adopted the PAS from Canada to be used by all the government departments. While countries like the Great Britain were given a period of time to design and implement appraisal systems in their schools, it was established that in Zimbabwe, the system was adopted wholesome without any modification and was the reason that teachers resented it. While the adoption of the system could have given Zimbabwe the desired change promptly, the result is the opposite as the environmental conditions of Zimbabwe are not same with the country of origin of the system. Zimbabwe introduced an umbrella appraisal system to all government ministries regardless of the diverse contexts and environmental factors in each of them. This confirms the unfaithfulness of the street-level bureaucrats who usually short-circuit policies so that their work is not difficult. In the case of Zimbabwe they presented a single appraisal system to cut costs on training individual ministries and having to copy the various goals that would be relevant to each ministry.

6.2.2 Training of Implementers

Training the implementers in the PAS should have been considered the most crucial stage as it was meant to impart knowledge that would instil change in education. The research findings of this study are that teachers were the most disadvantaged group in terms of not being empowered to implement the appraisal system. The study found that 39.9% of the surveyed respondents and 23.8% of the interviewed respondents were not

trained in implementing the PAS yet they were expected to implement it and have their performance rated just like those who were trained. The playfield is not even for these teachers and the situation puts more strain on their supervisors as they have to induct them on the PA process then judge them based on the little knowledge they have given them.

It emerged from data in previous chapters, that those who were trained viewed the training as inadequate. The situation is worsened by the use of the cascading model in which information is watered down as one goes down the cascade. The supervisors who had inadequate knowledge on the core issues of the system trained end-users and the training was a “once off event” which deprived the new entrants into the profession the knowledge and understanding of how to implement the appraisal system. As a result of inadequate or lack of training, all teachers, heads, EOs and PSIs confirmed that implementation was not effectively done in the schools.

6.2.3 Teacher Capacity

While all teacher respondents in the sampled population were fully qualified teachers, schools reported that there are a high number of unqualified teachers due to brain drain. So many experienced and highly skilled personnel left the profession due to environmental factors such as the economic and political instability and the “push and pull” effects in search for greener pastures. Those who have soldiered on have very low morale due to poor remuneration and working conditions. Economic factors continue to haunt them causing them to be half committed to teaching. This means some of the burden of teaching lies on the shoulders of newly qualified teachers. With regard these, the theoretical knowledge that teachers have when they leave college is sometimes inadequate for a teacher to practically navigate his/ her way in lesson delivery. This situation is made worse when the teacher is expected to implement a system of appraisal from which their performance will be judged for a reward.

While teachers identified their weaknesses or areas which needed further training, no action was taken to correct these limitations. In-servicing or staff development identified

weaknesses would improve teachers' skills and competencies. Targeting those skills relevant to the present position would make teachers more efficient and effective in the lesson delivery and handling of children with different learning abilities. The findings of this study imply that PA is necessary to unearth the realities of the deficiencies in the education system which needs to be mitigated. However, efforts to provide Zimbabwe with specific skills, through improved educational opportunities, may be rendered futile unless measures are taken to offset the pull and push factors attracting highly educated Zimbabweans to emigrate.

6.2.4 Implementation of the Process

The successful implementation of the PAS process was dependent on various factors. Involving the implementers in the design of the system would have created ownership that in turn would increase its acceptability. The majority of respondents in the sampled population found it difficult to accept the intervention that was meant to change values and attitudes in order to enhance achievement but instead viewed it as excess baggage to increase the teacher's workload.

The second factor that negatively affected implementation was that end-users were inadequately trained. Training would have assisted teachers to realise the benefits of the system and actually appreciate it as something that is meant to give them focus through setting and prioritizing the set targets.

Thirdly, lack of universally set standards of assessment means that there is no yard stick to measure and compare performance by different individuals and schools. This makes the system to be very subjective as rating of one's performance is dependent on his/her immediate supervisor whose judgement could be affected by biases. The hierarchical structure (top-down) of the adopted PAS has no room for horizontal (peer to peer) or vertical (upward) which would make the system more effective and reduce the biases.

There are a number of reasons why the appraisal systems was rejected and among them, the fact that it did not deliver promised rewards and that it can be used by

vindictive appraisers as a weapon to fix teachers. Additionally, street- level bureaucrats equating to HoDs and heads in the school situation did not implement the policy faithfully as prescribed. This compounded its ineffectiveness. This situation also severely dented the implementation of the PAS as teachers tended to view it as an end of year ritual that yielded no results. If the system was not properly implemented, then it is highly unlikely that the system will enhance quality education.

6.3 CONCLUSIONS

The study attempted to answer the main research question which evaluates how effective the performance appraisal is in ensuring quality education at primary schools in the Bulawayo Metropolitan Province.

It emerged that the introduction of the PAS was ill-timed as it coincided with environmental factors such as economic downturn and political instability that bedevilled Zimbabwe. Those who had thorough understanding of the system testified that if there had been adequate financial and material resources, with people well informed about its benefits and trained on how to implement it, the system would create a vibrant workforce. As it stands, after having been operational for ten years, teachers have not come to appreciate its existence. The findings of the study suggest that although the performance appraisal system was implemented in the education system, it has not yielded positive results as expected. Teachers unwillingly complied with its implementation. The findings confirm that it was imposed and hurriedly implemented which caused it to lose ownership and commitment by the implementers. This is despite their recognition of the role it played. In analysing the system, teachers alleged that it was more industry oriented than education based. The results were not as tangible as in the industry as pupils passed through many teachers before completing Grade Seven.

The Zimbabwean education system is persistently challenged by factors such as overcrowded classrooms, lack of teaching and learning materials, inadequate text-books, ineffective supervision and monitoring, low teacher morale and motivation. The absence of adequate resources and an egalitarian access to quality education

continues to be a challenge to educators. These challenges seem to suggest that some of the expectations are unrealistic and indeed difficult to achieve in the classroom.

Most of these problems emanate from the fact that policy makers fail to consider classroom realities as well as other subjective and objective realities within which teachers work. Supervision and monitoring the PA process was further strained by issues such teaching load for the heads, large numbers of appraisees, heavy administrative load and lack of time to actually sit down and make objective reviews and feedback. EOs and PSIs were equally affected by transport shortage to effectively go round the schools to evaluate the implementation of PA.

Positive attitudes towards the PAS were further complicated by bolting it to PRP. The implementation of these two systems was not complementary and the situation was further aggravated by failure of the top management to recognize and reward good performance as deserving. PSC or SSB has further let the implementers down by not offering any explanation on the selective payment of performance related rewards. Lack of feedback clearly indicates that the system has no evaluation component which allows for adjustment and improvement on its strategies along the way.

The findings also affirm that government policy on PAS and PRP although implemented religiously by teachers have no impact on the quality education. The system has failed the educators by not keeping its end of the bargain in delivering benefits associated with its implementation. Nevertheless, despite the prevailing circumstances some schools produced average to good pass rates. In some research sites the respondents confirmed that they had lost faith in the system though continued to work hard because teaching was their calling.

The desire to see their children pass has made some parents to organise private tutoring for their children. The government has also relegated part of its duty by allowing parent bodies to pay incentives to teachers, hence, some respondents confirmed that quality education still exists in Zimbabwe but cannot credit it to the performance appraisal per se. To majority of respondents, however, the quality of education has

drastically deteriorated in most areas, not because of the PAS, but also owing to environmental factors already alluded to.

The government found itself in an economic meltdown which made it to selectively pay performance related rewards. While some teachers were paid various amounts presumed performance related although not confirmed, others were not paid despite having gone through the appraisal process. So far the government has not given a convincing explanation on the selective payment of performance related incentives. This situation caused teachers to lose faith and deepen their resentment for the system. While it is essential for government to recognize outstanding employee achievement, it should be done in a cost-effective manner. Without adequate resourcing, knowledge and expertise on the PAS, it would have been better not to have started the programme at all.

Governments around the world have introduced teacher appraisal schemes with varying degrees of success. In Zimbabwe factors like economic meltdown and political instability have been seen as the root cause of little or no success in the PAS achieving its goals. On the other hand teachers have alleged the system is laden with factors of subjectivity, bias, paper based, and lack of clear goals and has not developed teachers professionally. Teachers in South Africa have brought out the same allegations although the country is relatively stable economically and politically. It then calls for the policy makers to go back to the drawing board to redesign appraisal systems that will not exhibit similar factors raised by teachers in both countries.

6.4 RECOMMENDATIONS

This study explored the way the performance appraisal system came to be in Zimbabwe and examined how it was being implemented in the education system. The respondents' experiences with the adoption and implementation of the system provide valuable lessons that will operate as guideposts to policy makers, appraisers and appraisees. It is hoped that the lessons learnt will provide intervention strategies that

will create a positive attitude in people's minds as they come to appreciate how they can utilize the positive attributes to modify the system so as to enhance quality education.

- The study recommends that educators be involved in the design of the appraisal system as they have a better understanding of what is involved in their work. It should be a system that can be fused into the teacher's day-to-day work. The industry oriented appraisal should be replaced with one that deals with the total education of the child and also one that measures short and long term goals of education.

- While the adoption of the system from another country may have been a good idea, the study recommends that it be adapted based on a needs analysis of the education sector of Zimbabwe. The needs analysis will reveal the strengths, weaknesses, opportunities and the threats of the environment. In designing this system, there is need to takes into account the environmental factors such as the economic status, political issues, availability of resources in the country and the diverse contexts of the schools.

- Policy-makers should exploit the PDM to give teachers the ownership of the system to minimise issues of rejection. Involving teachers will assist in designing an appraisal system that considers the overall teaching performance, subject matter knowledge, classroom management, instructional techniques and unique teaching demands.

- The study recommends pilot-testing of the complete cycle of the system before its full-scale implementation to minimise tissue rejection and increase acceptability. Pilot-testing should be done with policy makers working hand in glove with classroom practitioners, heads and education officers to exterminate the unwanted elements of the present system and re-establish user-friendly components that will make it more beneficial to individuals and schools.

- The study recommends an intensified and continuous training to ensue proper implementation of the appraisal. It should not be a once off event and money should be available for the Ministry to ensure that continuity occurs. In the cases of high staff turnover, there is need for continuous training. This is also applicable to those teachers who remain in the service. They need that touch of training now and then to make sure they are still on the right track.

- While the cascading model of training may have been cost effective in terms of time and money, so much vital information on the implementation of the appraisal was watered down by the time it reached the end-users who are the key players in enhancing quality education. In other words CPTD should be structured such that it becomes a continuation of the initial professional teacher development with specified periods of development according to the purpose of development.

- This study therefore recommends that government should design staff development and in-service training on the identified training needs and sharpen critical subject areas where a gap has been identified through the needs analysis technique.

- The effect of monetary rewards is short lived; hence the study recommends the introduction of other forms of intrinsic rewards such as participative decision making, opportunities for personal growth and recognition of hard work by items like trophies, plaques and certificates. Achievement can also be recognized by items such as trophies, plaques, or certificates. Awards tend to be more meaningful and motivational especially when the selection is done by one's peers and not just by management. The essence of the matter is that PAS and PRP are not complimentary but the latter destroys the efforts of the first. While monetary rewards can motivate teachers to work hard, there are some cases where no matter how hard the teacher worked; children would not produce the required standard. Teachers may then be forced to resort to forms of cheating and unhealthy competition.

- The study recommends that the government provides sufficient resources so that set targets can be achieved. Provision of infrastructure, furniture, text books and other teaching materials will go a long way in enhancing quality education. There should also be regular quality assurance visits to schools so as to assess challenges teachers and heads face, monitor and couch in needy areas and give frequent feedback.

- The study recommends that there be collaborative teacher evaluation practices, embedded with professional development which will in turn improve teacher retention. Developing teachers in areas such as counselling, identifying and dealing with special needs and gifted children would go a long way in boosting the morale of teachers especially when they look forward to the advancements of their career.

- There should be organized and systematic training in educational leadership and effective and transparent management that goes beyond the occasional workshop. Thorough training of heads in assessing performance, monitoring progress and giving effective feedback, the department of education will provide a strong backbone to the successful implementation of the appraisal system. Heads play critical roles as instructional leaders within schools, and are expected to develop teachers.

- The study advocates for the establishment of a standards joint committee unit that will develop the assessment standards to provide vital steps towards helping the profession not only to improve personnel evaluation, but also to integrate that work effectively with other forms of evaluation like special needs and achievement of pupils, operations and outcomes. The benchmarks should be established using job description and criteria of work that warrants a particular rating.

- The study recommends that the appraisal form be simplified; making it shorter by removing information that is not relevant to appraisees. It should emphasize the practicality of the system, what exactly is to be done.

Figure 6.1 shows the performance appraisal system designed by the researcher.

The first step in designing an appraisal system is to carry out a needs analysis and context analysis in all levels of education. This is to ensure that there is no umbrella assumption of operation at different levels.

When the needs have been identified an appropriate appraisal system is designed by all stakeholders. As the plans are being developed the assessment of availability of the resources is also done. At this stage training manuals and evaluation instruments are designed. It is important that an effective training strategy is adopted and baseline indicators on manpower are designed. Appraisers and appraisees are trained at the same time so that suspicion, finger pointing and biases are reduced.

The next step involves dissemination of information about the new system. Intensive initial training is carried out by the group that was involved in the design of an appraisal system. This group is able to give explanations and address queries and at the same time take note of ambiguous areas of the proposed system. Training that is done should give detail on the operation of the system, individual and organisational expectations are revealed. During this stage quality is explained and quality assurance benchmarks are designed. Pilot-testing is done at this stage. During this pilot-testing stage there is intensified monitoring and evaluation to check if the training adequately addresses the identified needs.

In the implementation stage there are joint regular reviews that incorporates 360° feedback, support in terms of clinical supervision that aims at improving quality and quality assurance. A developmental model that strikes a balance between people orientation and achievement is adopted. In people orientation the belief is that as people are developed they tend to appreciate their work which is translated into enhanced pupil learning.

It is imperative that there be monitoring and evaluation at every stage to ensure that identified needs are addressed and at the same time goals are achieved.

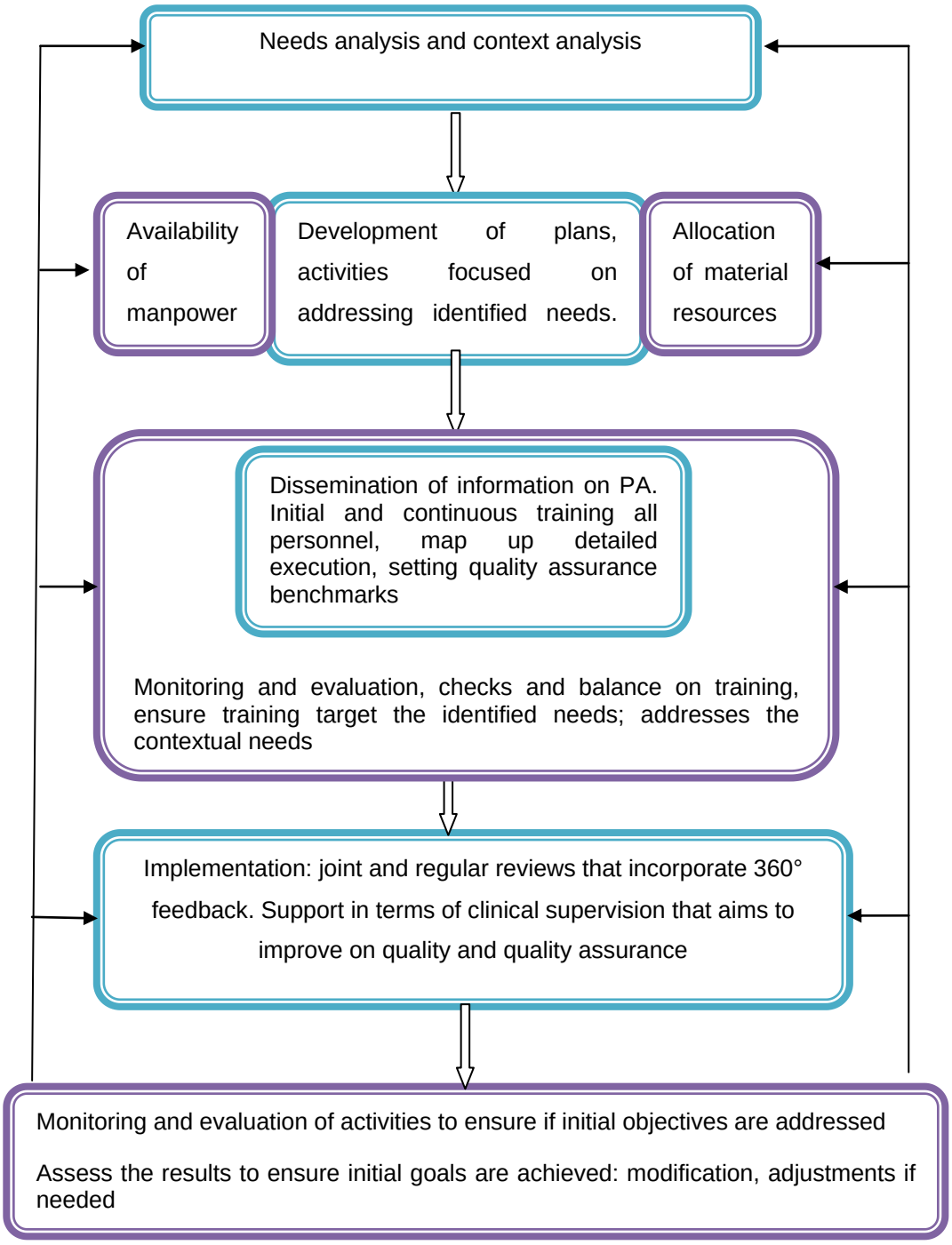

Figure 6.1: Joyce's Performance appraisal system

6.5 RECOMMENDATION FOR FURTHER RESEARCH

Worldwide there is an assumption that appraisals don't work (Bratton & Gold, 2007; Bacal, 2000; Deming, 1986) but literature is silent about why they fail to work. From desk research it emerges that limited work has been carried out on how training affects the implementation of appraisals. It is assumed that developing countries that are financially challenged opt for the cheaper cascading model of training. Surprisingly, well developed countries like the UK trained headmasters for two days while teachers were not trained but referred to a government website for instructions on how to implement the appraisal system (Wragg et al., 2004). Policy makers have to realise that unless the major implementers of an appraisal system are thoroughly trained to understand and appreciate the system, organisations are bound to fail to achieve intended goals.

The current study was carried out at district level. The researcher recommends that there be extensive national research in terms of the implementation of the appraisal system in education. This large scale research could make powerful arguments for decision makers on the future of the performance appraisal system. Furthermore, the study recommends that there be a comparative study with another country which will shed light on the implementation of appraisal systems.

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APPENDICES

APPENDIX A: Request to carry out research

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University of Fort Hare
Together in Excellence

7th June 2010

To whom it may concern

This is to confirm that Joyce Mathwasa is a Doctoral student at the University of Fort Hare, Faculty of Education. Her research title is **"A critical evaluation of the effectiveness of the performance appraisal system in ensuring quality education at primary schools in the Bulawayo Metropolitan Province".** She is due to collect data during the period of June/July 2010. Kindly grant her permission.

Sincerely

Dr N. Duku
Research Promoter

Bhisho Campus: P.O. Box 1153, KWT 5600, Independence Ave, Bhisho, 5600, RSA
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APPENDIX B: Authorization to carry out research

Ref:

all communications should be addressed to
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Telegraphic: "SCHOLASTIC"
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ZIMBABWE

Ministry of Education Sport and Culture
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Date: 16-06-2010

Mr/Mrs/Miss Joyce Mathuwani
70611 Lobengula West
Bulawayo

RE: PERMISSION TO CARRY OUT RESEARCH ON: AN ASSESSMENT OF THE IMPLEMENTATION OF THE TEACHER PERFORMANCE APPRAISAL SYSTEM: A STUDY OF SELECTED PRIMARY SCHOOLS IN BULAWAYO METROPOLITAN PROVINCE

With reference to your application to carry out a research on the above-mentioned topic in the educational Institutions under the jurisdiction of the Bulawayo Province. It is my pleasure to inform you that permission is hereby granted. However, you should liaise with the Head of the School for clearance before carrying out your research.

It will also be appreciated if you could supply the Bulawayo Province with a final copy of your research which may contain information useful to the development of education in the Province.

FOR: PROVINCIAL EDUCATION DIRECTOR - BULAWAYO METROPOLITAN PROVINCE

MINISTRY OF EDUCATION AND CULTURE
CULTURE DIVISION
16 JUN 2010
MAT. NORTH REGION
P.O. Box 555, BULAWAYO

APPENDIX C: INFORMED CONSENT FORM FOR ALL PARTICIPANTS

Name of researcher: Joyce Mathwasa

Institution: University of Fort Hare, Republic of South Africa

Degree: Doctor of Philosophy in Education

Research Title: An assessment of the implementation of teacher performance appraisal system in Zimbabwe: A study of 12 selected primary schools in Bulawayo Metropolitan Province.

Purpose of the study

The purpose of the study is to evaluate the effectiveness of the performance appraisal system in ensuring quality education at primary schools in the Bulawayo Metropolitan Province. The study will seek to investigate and establish the extent to which the performance appraisal has been implemented and analyze the results in the Province, paying special attention to the development of intervention strategies that may reduce the pitfalls of the system in the Bulawayo Metropolitan Province.

Research Ethics

This informed consent form invites you to participate in this study. It explains the principles that the researcher will observe in carrying out this study. I earnestly ask you to answer all the questions in the self-administered questionnaire as truthfully and honestly as possible, indicating your most relevant response by a tick in the squares and give answers and opinions in the spaces provided. Some participants will be asked to respond to face-to-face interviews while others will participate in focus groups and the sessions may last 45 minutes.

Condition for participation

Should you assent to participate in this study, the researcher guarantees you the following aspects;

1) Anonymity, privacy and confidentiality, your identity and responses will be kept in strict confidence and at no time will these ever be released. In the event that papers are presented at conferences, your identity will remain anonymous. All tapes, transcripts and summaries will be coded and stored separately from names and other direct identification of participating individuals groups and schools.

2) Prevention from any harm, physically or psychologically, the researcher promises to ensure that your right to privacy will be observed all the time. When results of the study are presented, the identity of respondents and participating sites will not be revealed.

3) Participation in this research is voluntary, and should you want to withdraw anytime during the process you may do so without any consequence attached to your withdrawal.

Potential benefits to you

Participation in this kind of research may not have direct benefits to you as an individual. However, through our collaborative evaluation of the effectiveness of the performance appraisal system in ensuring quality education at primary schools, we may gain a better understanding of the phenomenon. Collectively, we will identify the strengths and weaknesses of the system so that we may develop intervention strategies to develop a system relevant to primary schools. While this research is purely academic, should the findings fall into the hands of policy makers they may use them to make informed decisions.

Contact details

Any queries and questions about the study may be directed to Joyce Mathwasa on +27769795433/ +263712804603 e-mail: jmathwasa@yahoo.com or My Research Promoter Dr. N.Duku on Tel: +27(0) 43 704 7222; Fax +27(0) 86 628 2139; Cell: +27(0) 72 260 0656 e-mail: nduku@ufh.ac.za

Informed Consent

I have read, understood and agree to the terms of my participation in this evaluation research.

Signature of participant: ……Date…….

Signature of researcher……. Date…….

APPENDIX: D - Questionnaire for heads

Questionnaire for heads on: An assessment of the implementation of teacher performance appraisal system in Zimbabwe: A study of 12 selected primary schools in Bulawayo Metropolitan Province.

SECTION A: Background information.

1. Gender: Male ☐ Female ☐

2. Age 20-29 years ☐ 50-59 years ☐

30-39 years ☐ 60-69 years ☐

40-49 years ☐ 70 + years ☐

3. Qualification Academic: Junior certificate ☐

"O" Level ☐ Level ☐

Any other, specify……..

Highest Professional: Primary Teacher Lower/Primary Teacher Higher……

T4 Infants……. ☐ T3 Junior…… ☐

Certificate in Education/Diploma in Education…… ☐

Honours' Degree…… ☐

Bachelor of Education…….. ☐

Bachelor of Arts Degree……. ☐

Masters in Education…… ☐

Any other, specify ……..

4. Length of service as head: 1 – 5 years ☐ 6 – 10 years ☐ 11-15 years ☐

16 – 20 years ☐ 21 -25 years ☐ 26 -30 years ☐

31+ years ☐

B PERFORMANCE APPRAISAL INFORMATION

1. What are the goals of performance appraisal? State at least three goals ……

3. Were you trained in implementing performance appraisal? Yes ☐ No ☐

4. If yes how long was the training? Day(s) ☐ week(s) ☐ month(s) ☐

5. In your opinion how was the training Adequate ☐ Inadequate ☐ Moderate ☐

6. Have you/teachers been staff developed in performance appraisal? Yes ☐ No ☐

7. If yes how often? Once ☐ twice ☐ three time ☐ a year.

8. Were you issued with implementation manuals? Yes ☐ No ☐

C. IMPLEMENTATION

Answer: SA-strongly agree, A-agree, D-disagree, SD-strongly disagree

Factor	SA	A	D	SD
1.I understand the goal of the appraisal system				
1. I am satisfied with existing appraisal.				
2. It is aligned with our mission statement				
3. I am competent in implementing appraisal.				
4. Performance appraisal has improved quality education.				
5. Performance appraisal helps to formulate KRAs from the job description.				
6. Reviews and feedback are done timeously.				

D. COMPETENCE

ANSWER: SA-strongly agree, A-agree, D-disagree, SD-strongly disagree

Factor	SA	A	D	SD
1. Performance appraisal helps to identify strengths of staff/ employees.				
2. Performance appraisal helps to identify weaknesses of staff/ employees.				
3.Performance appraisal improves my supervisory skills				
4. Performance appraisal improves my administrative skills.				
5. Performance appraisal helps improves co-operation and teamwork of teachers.				
6. Performance appraisal improves communication.				
7. Performance appraisal reduces grievances among staff.				
8. Performance appraisal improves work motivation.				
9. Performance appraisal improves knowledge and understanding of my job.				
10. Performance appraisal improves pupils' academic achievement.				
11. Performance appraisal helps heads and teachers to reflect on their work.				
12. Feedback improves working relations between appraiser and appraisee.				

E: PERFORMANCE-RELATED PAY (PRP)

Answer; SA-strongly agree, A-agree, D-disagree, SD- strongly disagree

1. Pay or bonus should be based on performance.				
2. PRP helps to attract highly skilled manpower.				
3. PRP helps to improve work motivation.				
4. PRP helps to recruit & retain best performers.				
5. PRP helps to improve my supervisory skills.				
6. PRP improves the quality of work.				
7. PRP has led me to work beyond job requirement.				
8. PRP has led me to give sustained high performance.				
9. PRP has led me to improve priorities at work.				
10. PRP has made me show more initiative.				
11. PRP has made me more effective in dealing with the public.				
12. PRP has led me to improve sensitivity towards colleagues.				

F, Impact of appraisal on teachers

1. Were you training needs identified Yes ☐ No ☐

2. Have you been trained in the training needs identified during the PAS process?.....

3. Have you ever received payment related to performance? ……

4. What is the percentage increment in relation to rating? ……

5. What are your views on performance-related pay? ……

6. How do you integrate performance appraisal to you day-to-day administrative and supervision duties? ……

7. Do you have an assessment standard to arrive at rating? .....

8. What is you view of the current performance appraisal system in terms of

Goal achievement …… Fairness……

Improving quality education……..

9. What are the strengths of performance appraisal? .....

10. What are the weaknesses of performance appraisal? ……..

11. What are the problems/challenges you face in implementing the performance appraisal system? ……..

12 What have been the major benefits of PAS and PRP? .....

13. Where do you hold reviews and feedback meetings with teachers? .....

With the Education Officer? .....

14. In your opinion, performance appraisal system should; (give reasons for your choice)

A).Continue as it is…… B).Be modified and continued……

C).Be abandoned……..

15. What intervention strategies would you employ to improve the system?
.....……

16. Are there any comments you would like to make on performance appraisal and performance related pay? ……

THANK YOU FOR YOUR CO-ORPERATION. BE BLESSED.

APPENDIX E: Questionnaire for teachers

Questionnaire for teachers on: **An assessment of the implementation of teacher performance appraisal system in Zimbabwe: A study of 12 selected primary schools in Bulawayo Metropolitan Province.**

SECTION A: Background information.

1. Gender: Male ☐ Female ☐

2. Age 20-29 years ☐ 50-59 years ☐

30-39 years ☐ 60-69 years ☐

40-49 years ☐ 70 + years ☐

3. **Qualification Academic:**

"O" Level ☐ "A" Level ☐

Any other, specify……

Highest Professional: Primary Teacher Lower/Primary Teacher Higher…… ☐

T4 Infants……. ☐ T3 Junior……... ☐

Certificate in Education/Diploma in Education…… ☐

Honours' Degree…… ☐

Bachelor of Education…….. ☐

Masters in Education…… ☐

Any other, specify …….. ☐

4 **Length of service:** 1 - 5 years ☐ 6 – 10 years ☐ 11 – 15years ☐

16 – 20 years ☐ 21 -25 years ☐ 26-30 years ☐

31+ years ☐

B. Performance appraisal information

1. Are you aware of the goals of performance appraisal? Yes ☐ No ☐

2. If yes state at least three goals ……

3. Were you trained in implementing performance appraisal? Yes ☐ No ☐

4. If yes how long was the training? ☐ Day(s) ☐ week(s) ☐ month(s)

5. In your opinion how was the training? Adequate ☐ Inadequate ☐

4. Have you been staff developed in performance appraisal? Yes ☐ No ☐

If yes how often? Once. ☐ Twice. ☐ Three time ☐ a year.

6. Were you issued with implementation manuals? Yes ☐ No ☐

C. Implementation of PAS

Answer: SA-strongly agree, A-agree, D-disagree, SD-strongly disagree

Factor	SA	A	D	SD
1. I am satisfied with existing appraisal.				
2. It is aligned with our mission statement.				
3. I am competent in implementing appraisal.				
4. Performance appraisal has improved quality education.				
5. Performance appraisal helps to formulate KRAs from the job description.				
6. Reviews and feedback are done timeously.				

D. Teacher competences developed

ANSWER: SA-strongly agree, A-agree, D-disagree, SD-strongly disagree

Factor	SA	A	D	SD
1. Performance appraisal helps to identify strengths and weaknesses of staff/ employees.				
2. Performance appraisal improves my teaching skills.				
3. Performance appraisal helps improve co-operation and teamwork of teachers.				
4. Performance appraisal improves communication.				
5. Performance appraisal reduces grievances among staff.				
6. Performance appraisal improves work motivation.				
7. Performance appraisal improves knowledge and understanding of my job.				
8. Performance appraisal improves pupils' academic achievement.				
9. Performance appraisal helps teachers to reflect on their work.				
10. Feedback improves working relations between appraiser and appraisee.				

E: PERFORMANCE-RELATED PAY (PRP)

Answer; SA-strongly agree, A-agree, D-disagree, SD- strongly disagree

1. Pay or bonus should be based on performance.				
2. PRP helps to attract highly skilled manpower.				
3. PRP helps to improve work motivation.				
4PRP helps to recruit & retain best performers.				
5. PRP improves classroom practice.				
6. PRP improves the quality of work.				
7. PRP has led me to work beyond job requirement.				
8. PRP has led me to give sustained high performance.				
9. PRP has led me to improve priorities at work.				
10. PRP has made me show more initiative.				
11. PRP has made me more effective in dealing with the public.				

12. PRP has led me to improve sensitivity towards colleagues.				

F: impact of appraisal on teachers

1. Were your training needs identified? Yes ☐ No ☐

2. Have you been trained in the training needs identified during the PAS process? ……

3. Have you ever received payment related to performance? .....

4. What is the percentage increment in relation to rating? .....

5. What are your views on performance-related pay? ……

6. How does performance appraisal integrate to your day-to-day lesson delivery?.....

7. Do you have an assessment standard to arrive at ratings?.....

8. What is you view of the current performance appraisal system in terms of

Goal achievement…… Fairness……..

Improving quality education……..

9. What are the strengths of performance appraisal? .....

10. What are the weaknesses of performance appraisal? ……..

11. What are your problems/ challenges you face in implementing performance appraisal?

……

12. What have been the major benefits of PAS and PRP?.....

13. Where do you hold reviews and feedback meetings with the head? ……

14. In your opinion, performance appraisal system should; (give reasons for your choice)

Continue as it is…… Be modified and continued……

Be abandoned……

15. What intervention strategies would you employ to improve the performance appraisals system? ……..

16. Are there any comments you would like to make on performance appraisal and performance related pay? …….

THANK YOU FOR YOUR CO-ORPERATION. BE BLESSED.

APPENDIX F: Interview schedule for heads, education officers and public service inspectors.

An assessment of the implementation of teacher performance appraisal system Zimbabwe: A study of 12 selected primary schools in Bulawayo Metropolitan Province.

A: Background information.

Thank you for accepting to participate in this academic research. Tell me about yourself.

1. Your age range …… Gender…….

2. Your highest academic qualification……3. Your highest professional qualification……

4. Length of service as a Head/Education office/ Public Service Inspector……

B. Performance appraisal information

1. What are the goals of the performance appraisal system?

2. Where you trained in implementing the performance appraisal system?

(Duration, adequacy, the trainers, the venue, support material, if not trained how do you conduct appraisals).

3. Did you receive the implementation manual?

4. Let's talk about the **implementation**. What are your views about the performance appraisal?

5. Where do you normally conduct interviews? What are your views about these venues?

Competence What can you say about performance appraisal in terms of it identifying strengths and weaknesses in teachers, heads, EOs so that skills, competencies motivation and teamwork are improved?

6. What are your experiences and challenges as? (a) An appraiser; (b) An appraisee.

7. What are the major challenges in the implementation of the system?

8. Let's talk about the strengths of the system

9. What are the weaknesses of the system?

10. What are the successes that you have experienced?

11. What are your views about the system in terms of developing manpower?

12. Were your training needs identified?

13. Have you received any training on the needs identified during the performance appraisal process? (Elaborate or give reasons)

C: Performance-related pay

14. What are the goals of performance-related pay?

15. How do you feel about performance-related pay?

16. Have you ever received payment related to performance?

17. What is the percentage increment in relation to ratings, for instance if one was rated with a 3, how much increment will the amount/percentage be?

18. How is the payment increase done?

19. Do you have an assessment standard to arrive at a particular rating?

20. In your view what are the advantages of performance-related pay?

21. What are its weaknesses?

22. How does PRP affect teachers'/heads'/education officers'/ your

- motivation; job execution i.e. level of performance; quality of work; quantity of work

F: IMPACT.

23. What are your views on performance-related pay?

24. How do you integrate performance appraisal and performance-related pay to your day-to-day administrative and supervision duties?

25. What is you view of the current performance appraisal system in terms of

Goal achievement; Fairness; improving quality education

26. What major successes have you achieved through the implementation of the performance appraisal system?

27. In your opinion, performance appraisal system should; (give reasons for your choice)

A).Continue as it is; B).Be modified and continued; C).Be abandoned

28. What intervention strategies would you employ to improve the system?

(Public Service Inspectors only)

Have all the teachers in your district received performance related pay?

Are there any teachers who have been transferred, demoted or terminated due to underperformance?

What are your views on PAS and PRP in terms of goal achievement and improvement of quality education?

Are there any elements that can be added, modified or removed to make the systems achieve the desired goals?

Are there any comments you would like to make on performance appraisal and performance related pay?

THANK YOU FOR YOUR CO-ORPERATION. BE BLESSED.

APPENDIX G: INVITATION LETTER TO A FOCUS GROUP DISCUSSION

Dear…….

My name is **Joyce Mathwasa** and I am a PhD. student at the **Fort Hare University**. I am carrying out a research to evaluate the effectiveness of teacher performance appraisal system applied to enhance quality education in Zimbabwe: A study of selected primary schools in Bulawayo Metropolitan Province.

I cordially invite you to join in a group discussion. I am interested in you honest impression and views of the performance appraisal system and the performance-related pay, how they work, what works and what doesn't. Your ideas and opinions will help create a better understanding of the system so that we can capitalize on its positive attributes and influence the elimination of the negative undesirable aspects.

The group will consist of six teachers and a moderator. The discussion will be captured in a tape recorder. Pseudonyms or codes will be used for easy data recording at the same time ensuring your anonymity. Please be assured that all you say will be kept strictly confidential that even your head will not have access to the information.

For more information contact Joyce Mathwasa, Tel: 263(9) 521095; mobile 0712 804 603 or e-mail jmathwasa@yahoo.com or Dr. N. Duku, Tel; +27 (0) 43 704 7222; Mobile, +27 (0) 72 260 0656. E-mail nduku@ufh.ac.za

Please acknowledge your attendance by signing below. If so some reason you won't be able to join us, please call as soon as possible so that I can invite someone else.

Sincerely

Joyce Mathwasa

Thank you, I will be able to join the group.

Signature…….Date……..

APPENDIX H: Focus Group interviews

An evaluation of the effectiveness of teacher performance appraisal system applied to enhance quality education in Zimbabwe: A study of selected primary schools in Bulawayo Metropolitan Province.

A: Background information.

Thank you for accepting to participate in this academic research. Tell me more about yourself in terms of age range, [ ] academic qualifications [ ]

Professional qualifications [ ] length of service. [ ]

B. Performance appraisal information

As educators were you involved in the design of performance appraisal? .....

Who was involved and how did it come to be in education?

Were you trained in implementing the performance appraisal system?

Tell me about the duration, adequacy, the trainers, support material).

Where was the emphasis of training?

After training how did you feel confident, confused etc to implement the appraisal? .....

How is the performance appraisal system being **implemented in your school?** What are your views and challenges in terms of target setting? ……

Tell me about Reviews and feedback

What is your view about the review and feedback being informative and done timeously?

What happens in the final rating stage? ……..

Where do you normally conduct interviews? What are your views about these venues?

Were your training needs identified? .....

Have you received any training on the needs identified during the performance appraisal process? (Elaborate or give reasons if any)…….

Competence

Does the appraisal system help in improving the skills?.(elaborate).....

Motivate you to work harder? .....

Improve teamwork? .....

What are the major challenges in the implementation of the system?

What can you say about performance appraisal in terms of it identifying strengths and weaknesses in teachers? .....

What do you think are the strengths of the system? .....

What do you see as the weaknesses of the system? .....

What successes have you experienced through the performance appraisal? .....

What are your views about the system in terms of developing manpower? ……

C: Performance-related pay

How do you feel about performance-related pay? …….

Would you like your pay/bonus be based on performance…….

Have you ever received payment related to performance? ……

How often?

What is the percentage increment in relation to ratings, for instance if one was rated with a 4, how much increment will the amount/percentage be?.....

How is the payment increase done? (Once off, increase gross salary)……..

Is there an assessment standard to arrive at a particular rating? …….

Is there any feedback to the employees on their rating?(like why you were not paid)

In your view what are the advantages of performance-related pay? .....

What are its weaknesses? .....

How does PRP affect your motivation? .....

Job execution i.e. level of performance……..

Quantity of work……..

F: Quality education

Are the resources like infrastructure, furniture text books and other learning materials adequate to enhance quality education? .....

How adequate is the time allocated for teaching and learning activities in terms of enhancing quality education? .....

G: Impact.

How do you integrate performance appraisal and performance-related pay to your day-to-day duties? …….

To what extent has the system improved your performance? ……...

How has it improved the performance of the pupils? .....

To what extent do you think the goals of the performance appraisal and the performance related pay have been achieved? .....

What are your general views about the systems? .....

What do you think can be added so as to improve the system? .....

What can be removed so that the system is user-friendly……..

Are you a better teacher with the appraisal or before its introduction……..

Are there any teachers whose status has changed due to the appraisals? .....

To what extent has performance appraisal enhanced the quality of education? .....

In your opinion, performance appraisal system should; (give reasons for your choice)

A).Continue as it is…… B).Be modified and continued; ……

C).Be abandoned…….

What other factors do you think affected the implementation of the system? .....

Are there any factors that you would like to bring out in this research? .....

Thank you for your co-operation. Be blessed.