



Factors That Affect Performance Appraisal Of Civil Servants For The Ministry Of Education Staff In Nairobi Province

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Abstract; The study set out to assess how performance appraisal tools affect performance appraisal of Ministry of Education civil servants in Nairobi province, determine the extent to which standard or yard sticks affect performance of the civil servants, establish if involvement in setting of the targets and use of feedback influence performance appraisal and find out if demographic factors influenced the performance appraisal system of civil servants in Nairobi Province. The study adopted a descriptive survey design. The target population consisted of the 285 employees of the ministry of education based in Nairobi. Out of these, 30 representing approximately 10% were randomly selected for study. Data was collected using questionnaire method and was analyzed using frequency distribution tables, pie charts, histograms and percentages. Data were collected from respondents with different portfolios in the ministry of education such as clerical officers, secretary's, auditors, quality assurance officers and quality assurance supervisors from different departments. The study also revealed that all respondent were aware of the existence of performance appraisal. The responses indicated that majority of the participants were conversant with performance contract. Lack of effectiveness of performance appraisal was blamed on delay in receiving performance appraisal forms, which in turn delayed the whole process of appraisal. The appraisal tools were however termed as lacking in identifying training needs and therefore did not help those appraised to improve through training. This study revealed that respondents were often appraised by an older person. The appraisers more often had more work experience than the respondents creating confidence in the whole exercise. It emerged majority did not get feedback of the results of performance appraisal denying them an opportunity to learn through their mistakes. Recommendations were aimed at increasing access to appraisal resources, participation in appraisal process and ensuring feedback to enhance appraisee learning through previous mistakes.

Key words; performance appraisal, appraisers, appraise, appraisal system

I. INTRODUCTION

Performance Appraisal is the process through which an individual employee's behaviour and accomplishments for a fixed time period are measured and evaluated (KU module 2003). Performance appraisal as postulated by Wildblood (2006) is a management function, which is a continuing process to determine how effectively employees are performing certain tasks in their positions with the aim of correcting their weak points and to recommend for promotion to better jobs, and for making 'merit' increases in hourly rates and salaries. It is used as a check on the success of recruitment, selection, placement training and lay off procedures.

According to Oberg (2006) performing appraisal helps to provide back up data for management decisions concerning merit increases, transfers and dismissals. It also helps to improve organization development by identifying people with promotion potential and pinpointing development needs and should lead directly to increased productivity. An effective performance appraisal helps keep peoples attention focused on the work results they are trying to achieve.

Oberg (2006), states further that Performance Appraisal helps in salary administration. The results of appraisal can be used to determine both salary increases and bonus payments. It also facilitates career development because their results can serve as a base for coaching and counselling. For example, during the appraisal session the



employee might be given some specific guidelines describing how to overcome a performance problem. Oberg (2006) further argues that Performance Appraisal results are used extensively in human resources research. Using performance appraisal evaluation ratings as a measure to success for example validates most selection methods.

Delpo (2005) states that performance appraisal motivates employees by providing feedback on how they are doing. It also helps supervisors to observe their subordinates more closely and to do a better coaching job

According to Pigori and Myers (1998), development-oriented performance appraisal is used as a mechanism for supervisors to understand, the difficulties, of their subordinates and try to remove these difficulties, understand the strengths and weaknesses of their subordinates and help the subordinates to realize this and to become aware of their positive contributions. It also encourages subordinates to accept more responsibilities and challenges in order to acquire new capabilities so as to plan for effective utilization of the talents of subordinates.

Lawler (1990) suggests that supervisor has the responsibility to ensure the development of his or her subordinates in relation to the capabilities required to perform their job. Generally, the supervisor schedules, individual meetings with each employee to discuss the employee's performance, communicate the jointly established areas to be worked on or goals to be achieved by the next schedules every three months or once or twice a year. Goals, objectives that have been agreed upon in each meeting are renewed in the next meeting. During this review the supervisor attempts to understand the difficulties of the subordinates and to identify his or her development needs.

Lawler (1990) further states that before each review, the employee is prepared for the discussion through self assessment, identifying factors that have contributed to his or her, performance and factors that have hindered it as well as the types of support that he/she needs from the supervisor or others in order to do better in the next period. The supervisor also prepares for the meeting by listing observations, problems, suggestions and expectations. During the appraisal meeting, the supervisor and the subordinates share their observations and concerns. Each responds to the subjects raised by the other.

Such discussions help to develop mutual understanding and the data generated are reported to the higher management and is used in making decisions about individual employee development as well as developmental needs of the work group or the entire organization.

The Ministry of Education, (MoE) whose performance appraisal system was analyzed, has its headquarters at Jogoo house 'B' in Nairobi. Its core business is to ensure that the citizens of Kenya acquire life-long quality and quantity education for development within and without the border of

our country. A minister assisted by assistant minister formulates policies in the ministry. Directors of education head the technical role of the implementation of the policies in the Ministry. Provincial Director of Education heads the next level of education in the province. Under the province are the District Education Officer, Area Education Officer and Supportive Staff.

The staff appraisal form G.P. 247 (1999 revised edition) is the tool used to appraise all appraisable staff in the Ministry of Education. The appraisal form is filled once a year in four copies for officers in job group J and above.

The original is sent to the secretary, public service commission, one copy to the directorate of personnel management and the other copy to be kept in the officer's confidential file. The remaining copy should be given to the office appraised. All copies of the appraisal reports for officers in job group J and below are to be retained by the ministry.

Statement of the problem

The Ministry of Education like the whole of the civil service had since the early 1990's been undergoing a major restructuring and rationalization of its operations under the civil service reform program. This includes the down sizing of the workforce with the objective of retaining a leaner staff with strength that could deliver the required service more efficiently and effectively.

The Ministry in a period of 6 years (1993-1999) released a number of its workforce through a voluntary early retirement scheme where those who left were awarded a Golden Handshake of (KSh. 60,000) sixty thousand shillings only. Sixty two (62) Thousand civil servants had left the service by the programme. It was also revealed that between 30-40% of that workforce was earmarked to leave the service under the second phase of the retrenchment.

The Ministry had frozen any recruitment except for those who transferred their services from the Teachers Service Commission. With this development there were many complaints from workers and general public as to the criteria used to choose those to be retrenched in this second phase of the programme. Other incidents had also been experienced such as employees complaining of unfair promotions, salaries adjustments, transfers and related issues.

Some employees were openly canvassing through prominent people from within and outside the organisation to intervene on their behalf. Robert (2005) states that performance appraisal work best when the employee is in active participation since often it's the employee who can diagnose and formulate solutions to performance challenges, problems and barriers.

Therefore the problem investigated was to what extent the staff appraisal systems of the Ministry of Education, was effective in the evaluation of the performance of its workers

and its use in making decisions in the various personnel functions.

Objectives of the study

The general objectives of the study were to investigate the factors affecting performance appraisal of Ministry of Education Civil Servants in Nairobi Province. The following were the specific Objectives;

1. To find out how the tools affected performance appraisal of Ministry of Education Civil servants in Nairobi Province.
2. To determine the extent to which standard or yardsticks affected performance of the said civil servants in Nairobi Province.
3. To establish if involvement in setting of the targets and use of feedback influenced Performance Appraisal of civil servants in Nairobi Province
4. To find out if demographic factor influenced the performance appraisal system of civil servants in Nairobi Province.

Research questions

The study sought information to answer the following questions: -

1. Does tools used affect performance appraisal of Ministry of Education Civil Servants in Nairobi Province?
2. To what extent does the standard or yardsticks affect performance of Ministry of Education civil servants in Nairobi Province?
3. Does the appraise level of education and age influence the performance appraisal system of civil servants in Nairobi Province?
4. Does the involvement in setting of the targets and use of feedback influence performance appraisal of Ministry of Education civil servants?

Significance of the study

The significance of the study was based on the following factors regarding the staff appraisal systems of the Ministry of Education; civil servants in Nairobi Province.

1. During the study the researcher examined the existing appraisal system and identified its weaknesses. Officers will therefore be able to respond to this appropriately leading to effective systems. This in turn will help the employees to improve in performance.

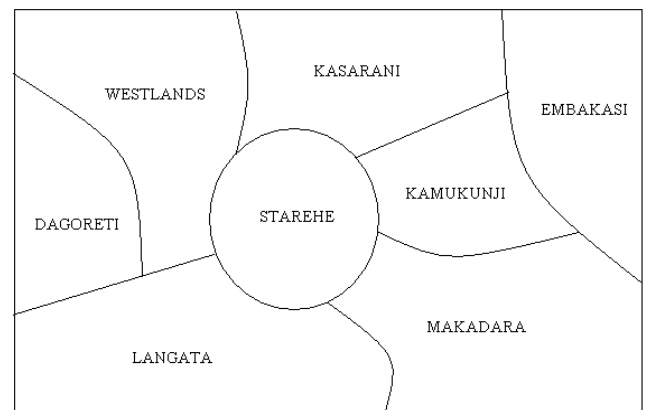
The study gave recommendation on improving the appraisal system.

2. The study also looked at how to ensure that all workers are effectively appraised all year round.
3. The findings of this research will help the policy makers to assess the extent of application of new approaches to performance appraisal systems.

The scope of the study

This study was conducted in Nairobi province, which has got a unique Administrative structure in that there are no districts, and all education officers are under provincial director of education. The province is divided into eight zones and officers at the provincial education office man all these.

The province has eight zones with a total of 285civil servants. Provincial Director of Education (PDE) heads Nairobi Province. It has a Deputy Provincial Director of Education (DPDE) below whom, are Education Officers, Provincial Quality Assurance and Standards Officer, Provincial Schools Auditor and Teachers Service Unit. Then below whom are Deputy Provincial Quality Assurance and Standards Officer, Auditors, Human Resource Office and lastly the Subordinates or Technical Cadre Staff. (Appendix 111: Structure of the Ministry of Education staff in Nairobi Province. Due to the large staff and other factors such as time, this study was limited to staff in one province that formed a sample of what took place during performance appraisal programme in the ministry.



a) *Figure 1.1 Map of Nairobi provinces Education Section*

Source: Ministry of Education Revised (2006)

2. CHAPTER TWO: LITERATURE REVIEW



B. 2.0 Introduction

This chapter begins by discussing into the concept of performance appraisal systems. This is followed by appraisal methods and how to choose an appropriate method. This focuses on the role of appraisees and appraisers in an organization. The characteristics of an effective performance appraisal system are also discussed followed by the problems of performance appraisal systems. The chapter closes with a summary, which notes the need to carry out some study in performance appraisal systems used by the Ministry of Education and its effect on staff performance, which formed the basis of this study.

C. 2.1 Performance Appraisal Systems

Performance appraisal system is divided into two categories according to Saleem (1997), namely: -

- (i) Trait oriented appraisal
- (ii) Result oriented appraisal

Under the trait oriented appraisal approach, evaluation of employees is done on the basis of standards of personal traits or qualities for example knowledge of the job, judgments, loyalty, punctuality, leadership, versatility and experience. The result oriented appraisal second approach involves the evaluation of employees' performance in terms of both quantity and quality. The two approaches are somewhat interrelated because personality traits influence the performance of employees.

Utah (2006) observed that performance appraisal systems focuses on appraising performance based on job specific standards and are designed to provide detailed feedback in support of performance ratings. He further says that appraisal system should ensure job and conduct standards are relevant and representative of a quality performer and employees meeting the set standards earn a proficient rating. The systems also provide an opportunity to set and track specific goals where important job functions can have more weight in the final appraisal rating. Therefore giving a rating scale that is clearly defined.

Charles and Williams (1997) reported that, Raters might intentionally bias administrative rating to avoid providing negative feedback. A problem that affects performance appraisal exercise is that all the qualities reflecting the performance and potential of an employee cannot be quantified accurately. As such the rating may become questionable. Rating may also be affected by the halo effect, that is rating in one factor may affect rating in other qualities, and performance appraisal is also subject to the bias and judgment of the raters. Therefore when the rater does not have full information or cooperation of employees, ratings are likely to be inaccurate.

Richard (2006) noted that in central tendency, all employees are assessed as being "above average" which is often due to difficulty in collecting sufficient work performance information. Different raters may apply different standards in appraisal and their judgment may differ; this makes the ratings incomparable. Some raters may have the tendency to rate most of the employees as average while others may hesitate to assign poor ranks to employees with low performance.

He further says that many raters tend to over-emphasize one quality and rate employees on the basis of their general impression. When different raters give different scores for the same group of employees the tendency of ratings is open to doubt. In order to make the appraisal more objective, complicated procedures are used for rating. Employees who fail to understand these procedures and the frequent changes made therein view the performance appraisal process with suspicion. The process of performance appraisal may create defensiveness among employees. Moreover all appraisals put emphasis on conformity (Saleem, 1997).

Amstrong and Baron (2004) reported that the limitations of performance appraisal, enables managers to manage effectively, that they ensure the team they manage know and understand what is expected of them and to have skills and ability to deliver on these expectations.

Performance Appraisal Systems are at the heart of effective two ways business relationships between team leaders and their team members. Utah (2006) argues that there are two main reasons why Performance Appraisal tends not to work, which includes: -

- (c) The system itself and the accompanying documentation, is often badly designed.
- (d) The underlying relationship between team leader and team member is often quite poor.

The best appraisal system is one that occurs in an ongoing way, when the relationship between the team leader and team members are sufficiently high for there to be ongoing recognition of good performance when appropriate praise is given and when poor performance is corrected as it occurs. There should be a frank exchange of views about what has happened; how appraisees can improve their performance and support they need from their managers to achieve this and their aspirations for their future career (Armstrong, 2005).

According to 360° feedback, managers complained that the practice of annually appraising the performance of the subordinates is after the fact, time consuming confrontation. They say there is no right way to do it that it is a bit like going up to someone and saying "Here is what I think of you" the basis problem is the evaluative nature of performance review which of course can pose difficulties for subordinates too, such as anxiety and stress. Frequently



this kind of review is paired with salary review, a practice that, in linking the evaluative material with a forecast of next year's earning, may simply exacerbate these difficulties. The faults of appraisal systems are many and widespread, Harvey (1994) pointed out 4 failings; First it does not meet all needs, second a top- down, single source appraisal is inherently problematic, third developmental feed back given during the appraisal interview tends to get lost or overshadowed, fourth effective performance appraisal require skills that many managers do not have sufficiently. He calls for replacing the traditional assessment with 360 data.

Some organizations however, are beginning to combine 360° feedback and performance reviews, a practice that calls for a certain degree of caution. Pointed out that feedback differs significantly from performance reviews because, whereas performance appraisal are typically used to determine the rewards employees will receive, 360 degrees feedback is used to facilitate employee improvement and development.

Secondly performance appraisals give employee feedback on their results – what they have already done. In contrast 360 degree feedback is aimed at how they go there, how they do their job thus instead of getting feedback on their “bottom line” employees receive information on critical skills needed for their jobs. Third unlike performance appraisal, 360 degrees feedback gives employees ratings from several sources including their bosses. They often uncover differences in how these people rate them and between “other” ratings and self-ratings.

Fourth, the data provided by 360-degree feedback is both comprehensive and specific. A lot of careful work goes into specifying the critical skill from jobs and the definition of the performance levels for each. Fifth, through the 360 degree feedback process employees receive normative” feedback that is they get information on how they compare to people in their jobs.

Sixth, employees are completely responsible for what they do with the results of the 360 degrees feedback. They make self-directed action plans and communicate them to others in their own way. Seventh, employees receive a lot of information on themselves, more than probably they have ever received before. Feedback sessions help them to make sense out of all their data and to develop their plans for improvements.

D. 2.2 Performance Appraisal Tools

According to Tobias (2003) there are many kinds of appraisal schemes though usually they are elaborations or variations on one of the following: -

(a) Check list methods

This is one of the oldest methods. It consists of having the rates check those statements on a list that are judged to be

characteristic of the employee's performance or behaviour. One such checklist developed for a sales person includes a large number of statements. A few of them are: -

- i. So what in a rut on some of the brand talks?
- ii. Tends to keep comfortably ahead of the work schedule
- iii. Is good steady worker?

(b) Ranking Method

This is a method of evaluation, which requires each rater to arrange subordinates in rank order from the best to the poorest. This method has the advantage of being simple to understand and to use, and it is quite natural for the rater to think in terms of rankings. One of the main disadvantages of this method is the unwarranted assumption that the differences between ranks are the same: It has proven valuable, however, in personnel selection and in generating order of merit rankings for salary administration purposes. In these circumstances two or more people may be asked to make independent rankings of the same group of individuals and their lists are averaged.

(c) Forced Distribution Method

This is similar to grading on a curve – The method involves predetermined percentages of rates, which are placed in performance categories. For example the rating distribution can be done as follows: -

- a) 15% high performers
- b) 20% high average
- c) 30% average
- d) 20% low average
- e) 15% low performance

This means not everyone can have same percentage, even if all employees performed the same. The employee is rated relative to his peers. This method involves writing each employee's name on a separate card for each category of trait being appraised (leadership, judgement, initiative). The employee's card is then placed in one of the appropriate performance categories.

(d) Critical incident method

This involves identifying and recording incident in employee behaviour. It is considered 'critical' when it illustrates that the employee has done or failed to do, something that results in unusual success or unusual failure on some part of the job. Critical facts are the employee actions that really make performance outstanding effective or ineffective.

The advantages of critical incident method are that: - It provides the supervisor with hard examples of good or poor



performance, which support in explaining how the employee is appraised. It ensures the supervisors think and monitor the employees performance throughout the year; not just the most recent ones and provides a list of specific incidents or areas, which the employees should address to improve his performance. Lastly, it can be adapted to specific job expectations laid out for the subordinate at the beginning of the year.

e) Work Standards Method

Used to provide an objective basis for evaluating employee performance, thus, it is likely to be viewed favourably by employees. The main problem with this method is that when decisions have to be made on promotions and salary increases; it is difficult to compare employees who work at jobs with different work standards.

f) Assessment Centres

Designed to identify managerial abilities, the assessment center involves participation of individuals from different departments who are brought together to work on individual and group assignments under the supervision of assessors. It provides a "broad band" approach to the evaluation of managerial and executive potential. The assessee is observed in a variety of settings; case analyses, in-basket exercises and interviews conducted over a two – or three-day period. At the end of the period, the observations of the assessors are combined in an attempt to get an overall assessment of the participant's qualifications for promotion.

A report is usually submitted to top management to serve as a guide in making effective personnel decisions. Feedback is usually also given to the participants so that they may know their strengths and weaknesses.

(g) Narrative (Free Written Report)

The appraisal writes essay type answer to a number of statements or questions set on the appraisal document. The statements or questions are based on performance factors or traits on which the employee is being appraised.

(h) Behavioural scales Tobias (2003)

Appraiser has a list of key items (personal attributes) against which a number of descriptions of a statement. The appraiser then chooses the statement which best describes the employees performance.

(i) Management by Objective (MBO)

Grote (1996) states that the purpose of management by objective is to give subordinates a voice in the goal setting and planning process and to clarify for them exactly what they are expected to accomplish within a given time

span. This involves a comprehensive organizational goal-setting and appraisal program that consists of six steps.

First, set the organization goals by establishing organizational plan for the following year and setting goals. Second, set departmental goals where section head and their supervisors jointly set goals for their departments. Third, discuss departmental goals where section head discuss the departmental goals with their staff through departmental meeting and the head ask to develop their own goals. Fourth is where section head and individual set short-term performance targets. Fifth, measure the results whereby the head compares actual results (performance) against expected results of the employee. Sixth, provide feedback where head holds periodic performance review meetings with subordinates to discuss and evaluate the subordinates' progress in achieving expected results. This type may be time consuming and setting clear and measurable objectives is usually difficult.

Each performance tool has its own combination of strengths and weaknesses and none is able to achieve all the purposes for which management institutes performance appraisal systems, nor is any one technique able to evade all the pitfalls. The best anyone can hope to do is to match an appropriate appraisal tool to particular performance appraisal goals.

E. 2.3 Standards/Objectives/Yard Sticks

Objectives of performance appraisal are to provide information required for objective and accurate judgement on employees in order to gauge whether employees are performing at the acceptable levels and provide a record of each employee's performance for the purpose of incentive pay and rewards. Objectives also help to identify misplaced employees so that suitable remedial action may be taken and let an employee know where he stands so that he is motivated to develop himself. Objectives are also required to help find out the potential of employees for promotion and development as well as focus attention on the effectiveness of the organization and to recognize individual achievement. The other functions of objectives are to identify the strengths and weakness of individuals so that steps may be taken to improve the quality of personnel. (Muhрман and Lawler, 1989).

Robert (2005) argues that performance appraisal work best when employee is an active participant. Since often the employee who can diagnose and formulate solutions to performance challenges, problems and barriers. George (2005) says that management by objective can be described as a process whereby the superior and subordinates manages an organization jointly, identify its common goals, define each individual major areas of responsibility informs of results expected of him, and use these measures as guide for operating the unit and assessing the contribution of each of his members.



Lloyd (1997) says that Yardstick for performance appraisal includes employee turnover, absenteeism and grievances. Employee turnover refers to the amount of movement of employees in and out of an organization. The turnover rate for a department or an organization can be an important indicator of the efficiency with which the various personnel functions are performed by the personnel department.

Absenteeism is the extent to which employees indicate the effectiveness of a personnel program. There will always be some who must remain away from work because of sickness, accidents, however, indicates that there are many other absences, which can be avoided. Habitual absenteeism may be the first sign that an employee is about to quit. This is a way of withdrawing from the organization without taking final step of quitting.

Grievance records provide a valuable source of information on how well an organization is meeting its objectives in human resource management. While not all grievances are directly related to personnel matters, many of them often reflect a failure to supervision that may be recognized at a date after the grievances have been examined more effectively. This can lead to valuable insights in the types of improvements needed in the personnel program.

F. 2.4 Feedback and Employees' Involvement

Dwirendi (1999) on the role of appraisees argued that they should participate in developing factors of rating and should also appraise themselves committedly in order to understand and become sensitive to the problems encountered by appraisers. Appraisees should therefore understand the level of performance needed to obtain a good performance appraisal. Appraisers' role is to observe and recall all the activities undertaken by appraisee and fill forms objectively in order to justify ratings given.

Roberts (2003) states that individual performance appraisal assume a false degree of measurement, accuracy, genders, dysfunctional employee conflict and competition, assigns amount of responsibility for poor performance to individual employee while under valuing the importance of the overall work process.

Shawn (1995) says that evaluation should be an interactive process, giving the employee the chance to participate, ask questions, respond to feedback and offer suggestions for further career development.

G. 2.5 Appraisee Demographics

Appraisal must not discriminate against anyone on the grounds of age, gender, sexual orientation, race, religion, disability or qualification. This means people who are young as well as old, age, along with other characteristics stated, is not a lawful bases for assessing and managing people, unless proper objective, justification can be proven. Richard (2006). Palled (1999) says that attributes such as age, gender, ethnicity, marital status are considered. The

heightened concern with demographic diversity stems not only from the growing presence of women and minorities in the work force. Buhler (1997) says also from modern organization strategies that require more interaction among employees of different, functional background. Bante and Jackson (1989) linked diversity to favourable performance on cognitive tasks, and some (Conlon 1991) have linked it to unfavourable performance on such tasks. Graham (1996) states that the hierarchical multiple regression analyses found that gender differences promotions could be explained by work-related variables. Single employee receives fewer promotions than married employees.

H. 2.6 Critical Review of Major Issues

Unlike other factors of production, the human being is the most important factor in production because humans can assess their performance and use the feedback to improve on any weaknesses. During each annual appraisal discussion, the employee and supervisor review the employee's performance during the previous year measured against standards set at the start of the year. Both successes and failures are reviewed. This review helps to set and achieve new objectives in the year. A key part of the appraisal process is a self-review by the employee, which allows the employee to review his or her own performance. This can enhance two-way communication between employee and supervisor. Employees should discuss job expectations, developmental plans, concerns and areas the employee feels that additional training would be helpful. The supervisor and employee should discuss the employees self-review during the appraisal discussion. Most of the Ministry of Education staffs were not involved as its expected when restructuring caught them unaware. Appropriate appraisal tools such as behaviour rating scale, critical incident and management by objective should be used because the feedback is less threatening and more helpful to the person who wants to improve performance.

I. 2.7 Summary and Gaps to be filled by the Study

The literature review indicates a need to establish the performance appraisal system of civil servants in the Ministry of Education in Kenya. This should be done with a view of improving the quality of performance of the employees. The study focused on the performance appraisal systems with the aim of finding out undesirable method hence changes them to encourage desirable methods. The study also found out the performance appraisal errors that lead to restructuring of employees.

J. 2.8 The Conceptual Framework

Performance appraisal is an important part of performance management. Appraisers usually get together to engage in dialogue about the individual's performance, development and support required from them. Roberts (2000) noted that employees face similar challenges whether they are organised along traditional lines, as a team or function as individuals working alone, for employees want to know what is expected of them personally, what is going on

generally in the rest of the organization, how changes will affect their work, how they are doing and how they can achieve their potential in their chosen field.

Performance appraisal tools may be used to assess performance against agreed target and objectives and also providing information to the individual on their performance and progress. For positive reinforcement, emphasis should be on what has been done well and making only constructive criticism about what might be improved and exchange of views about what has happened. Objectives, standards and yardsticks on the other hand are used to provide information required for judgment on employees in order to gauge whether they are performing at acceptable level for the purpose of pay, rewards, promotion, development and also to find their strength and weaknesses in order to improve their skills. The appraisees should also be involved in appraising themselves in order to understand and become sensitive to the problem encountered by appraisers. Appraisers should observe and recall all the activities undertaken by appraisees and fill forms objectively in order to justify ratings given.

In appraisee demography there should be no discrimination along gender age, race religion, marital status, disability or qualification that implies employees should be treated equal for appraisal. Arising from the above argument, the following independent variables may influence the performance appraisal of Ministry of Education Civil Servants in Nairobi Province and form the conceptual framework for the study.

- a) Performance appraisal tools
- b) The objectives, standards and yardsticks
- c) Appraisee involvement and feedback.
- d) Appraisee Demography

The conceptual framework is as illustrated in figure 2.1 below

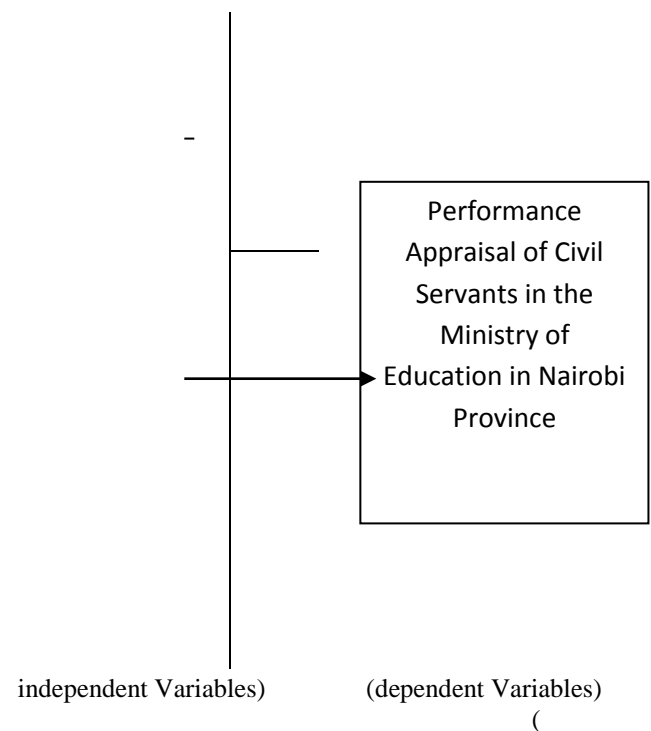


Figure 2.1: The Conceptual Framework Source: Author (2006)

3; METHODOLOGY

3.1 Introduction

This chapter describes the research method that was used in the study to establish factors that affect the performance appraisal of civil servants in the ministry of education staff in Nairobi province. It contains the research design, location of study, target population, sample selection, choice of instruments, data collection, procedures and an outline of methods used to present and analyze data.

3.2 Study Design

The study adapted a descriptive research design which involved subjects being observed in the natural set ups. They were exposed to factors that affected performance appraisal in the Ministry of Education in Nairobi province. Cohen (1999) stated that descriptive studies can provide a clear and precise information about the nature of phenomena and whenever possible, a conclusion from the facts discovered.

3.3 Target Population

The target population was civil servants in the Ministry of Education under the Public Service Commission in Nairobi province. In the ministry they were divided into three categories, Quality Assurance, Directorate and Support Staff. According to Cohen (1994), the prerequisite to the design of any survey is the resources that are available. In



Category	No. Of staff/Population	Percentage
Quality Assurance	72	25%
Directorate	11	4%
Support staff	202	71%
TOTAL	285	100%

this connection the researcher used Nairobi province, which was the region of focus because of the researchers' familiarity with the place. Again, the close proximity of offices helped to reduce the operational cost. Consequently,

In the province, there was a total of 285 such staff as indicated in the table below

Table 3.1 total number of staff in the target population

Source; Author (2007)

this allowed for efficient management of the research time.

By population, we mean a complete census of all items in a research area of investigation. For purpose of the study the researcher chose a sample from the population.

K. 3.4 Sample Design

From the population of 285 a sample size of only 30 (approximately 10%) was considered. This was done using stratified random sampling. This is appropriate because the researcher compared between various subgroups. This assured the researcher that the sample was representative of the population in terms of certain critical factors that were used as basis for stratification and also ensured adequate cases for subgroup analysis. According to Kothari (2000) a representative sample is one that is at least 10% of the total population. This was done as indicated in the table 3.2.

(1) *Table 3.2: Sampling design*

Category	No. of staff or population	Sample Ratio	Sample Size
Quality Assurance	72	x 0.1	7.2
Directorate	11	x 0.1	1.1
Support staff	202	x 0.1	20.2
TOTAL	285		29.5

Source: Author (2007)

L. 3.5 Data Collection Procedure and Instruments

In order to obtain useful research results and reliable data, the researcher used the following methods in collection of data

(a) Pilot study

The pilot study phase was done to test validity and reliability over instruments. It was also used to help the researcher to familiarize with data collection procedures.

Secondary data

This was obtained from journals, magazines and past research report. The researcher read several books also visited the Internet for articles written on the performance appraisal.

Primary data

Primary data was collected by use of questionnaires (appendix 1 and 2). The researcher compiled questions to which the appraisers and appraisees responded. They were given to respondents to fill over a given period of time. The respondents filled their own opinions, views and experiences in performance appraisal system. The questions were both structured and unstructured. Structured questions were meant to elicit response while unstructured questions were meant to get insight into the subject of the study such as the factors affecting the performance appraisal system in the ministry of Education. The questionnaire method of data collection was helpful to the researcher in obtaining reliable information from a large number of respondents. In addition to that; the method was time saving and effective. However, not all the respondents filled the questionnaires.

3.6 Data Analysis

Data was analyzed mainly using descriptive statistics. Editing of data was done before proceeding to tabulation. This was done in order to check that the schedules were apparently correctly completed, ensured consistency in completing the questionnaires and that the questionnaires were duly completed. Data was coded and put into groups or categories in order to simplify the data analysis process. Coded data was entered into a Microsoft excel worksheet for analysis. Analysis was done; using statistical package for social science (SPSS). Data was presented using frequency distribution tables, pie charts and histograms. Conclusion and inferences were drawn about effect of performance appraisal based on the results of the analysis. The information was interpreted according to the research questions and objectives of the study. Frequency tables, histograms, pie charts and percentages were used to show demographic characteristics, performance appraisal

yardsticks, standards and objective, employees' participation that affect performance appraisal of civil servants of Ministry of Education in Nairobi province.

3.7 Chapter summary

This chapter presented a description of the study population, methods and procedures followed in the selection of the sample, research design, description of the research instrument and generation of the data for the current study. The next chapter consists of the presentation, analysis and interpretation of the data collected in the course of the study.

4. DATA ANALYSIS AND PRESENTATION OF RESULTS

M. 4.1 Introduction

This chapter presents the findings of the study based on the data collected from the respondents. In particular the data covers themes in the research objectives. These include assessing how performance appraisal tools affect performance appraisal of Ministry of Education civil servants in Nairobi province, determine the extent to which standard or yard sticks affect performance of the civil servants, establish if involvement in setting of the targets and use of feedback influence performance appraisal and find out if demographic factor influence the performance appraisal system of civil servants in Nairobi Province. Only thirty questionnaires were filled out of the thirty-five issued giving a response rate of 86 per cent, which was adequate for analysis. Relationship between variables was shown using descriptive statistics such as frequency tables in describing distribution. Discussion of the results was done as per the objectives of the study.

4.2 Quantitative Analysis

Data were collected from respondents with different portfolios in the ministry of education and also from different departments. These included secretaries, clerical officers, quality assurance supervisors, auditors, education officers, and human resource officers. The demographic information sought were on gender, designation, department, years of experience in the civil service and education levels

4.2.1 Gender distribution

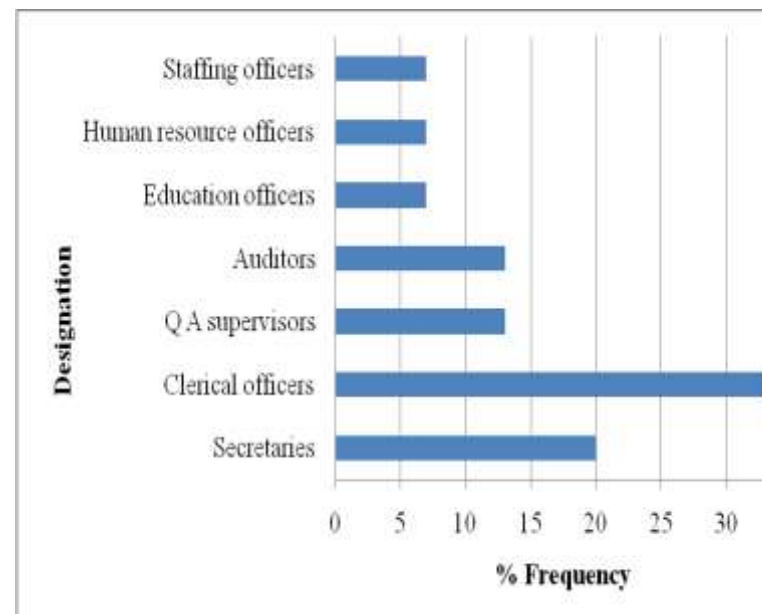
The study revealed that sixteen (53%) of the respondents were males while the remaining fourteen (47%) percent were females as summarized in table 4.1 below. This gave a rather almost balance representation of both gender in the study and therefore ability to obtain diverse views on performance appraisal across gender groups. Women though represented a lesser percentage were generally few in the civil service as confirmed by the recent presidential directive to increase their numbers to 30% in any civil service recruitment

(1) Table 4.1: Gender Distribution

Gender	Frequency	Percent	Cumulative Percent
Male	16	53	53
Female	14	47	100
TOTAL	30	100	

Source: Author (2008)

It emerged that most respondents ten (33%) were clerical officers while (20%) were secretaries as indicated in figure 4.1. Others included quality assurance supervisors at four (13%) the same number as auditors. This was a fair representation of the civil service where generally the lower cadre of staff is usually the majority and therefore the sample was considered representative of the population.

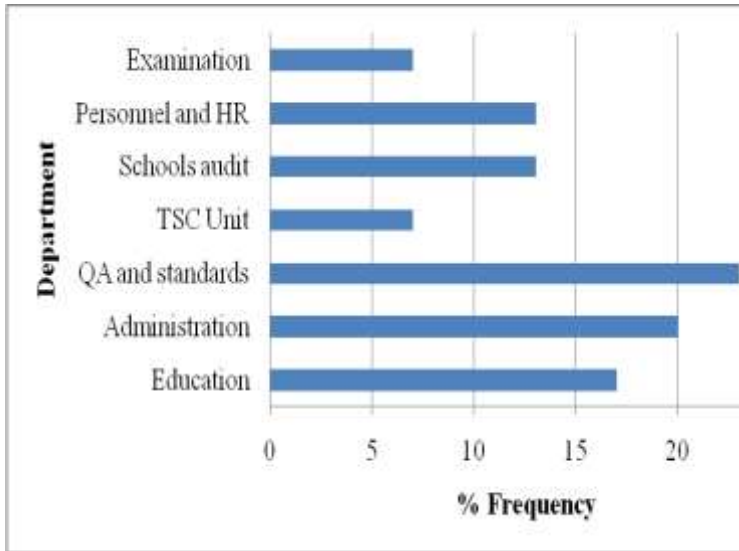


b) Figure 4.1. Designation of the Respondents

Source: Author (2008)

2) 4.2.2 Departments of the Respondents

Majority of the respondents were from the quality assurance and standards department constituting seven (23%) of the respondents followed by the administration department with six (20%) as shown in figure 4.2. TSC unit and examination department had the least number of representatives each at two (7%).



a) Figure 4.2. Departments of the Respondents

Source: Author (2008)

3) 4.2.3 Work experience

Majority of the respondents eight (25.5%) had been in their current job group for ten years as indicated in table 4.2. The same number eight (25.5%) had been in their current jobs for the last over 15 years with ten (33%) of the respondents being in the job they were doing for the last 5-10 years. This means that the sample constituted of respondents with enough experience with performance appraisal and thus could be able to understand the factors that affected its effectiveness.

(1) Table 4.2 Work Experience

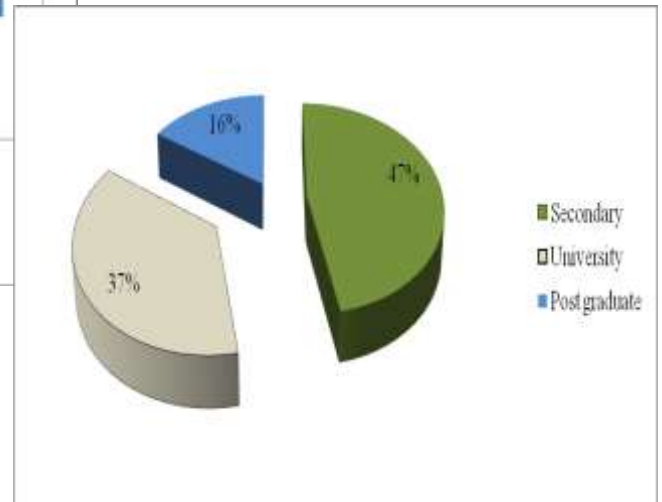
Years of Experience	Frequency	Percent	Cumulative Percent
<5	4	13	13
5-10	10	33	49
10-15	8	25.5	74.5
Over 15	8	25.5	100
TOTAL	30	100	

Source: Author (2008)

4) 4.2.4 Education level

Concerning their level the study revealed that the majority of the respondents fourteen (47%) had secondary education; eleven (37%) had a bachelor's degree while five (16%) had post graduate degree (Figure 4.3). This is due to the fact that 53% of the respondents were either secretaries or clerical officers, majority of who had secondary education with

either certificate or diplomas in their respective professional courses. As expected none of the respondents had only primary education. This means that the group of respondents consisted of individuals with fairly good understanding of the operations of the public service in Kenya especially with regard to performance contracting and appraisal



a) Figure 4.3. Education Level of the Respondents

Source: Author (2008)

5) 4.2.5 Effectiveness of Performance Appraisal

The study revealed that all thirty (100%) of the respondents were aware of the existence of performance appraisal as indicated in table 4.3. The responses indicate that majority of the participants were conversant with performance contract. However most respondent twenty-three (77%) respondents stated that the performance appraisal as conducted in the ministry of education was not effective in achieving its goals of improving performance, enhance efficiency and effectiveness in service delivery through a transparent and accountable manner.

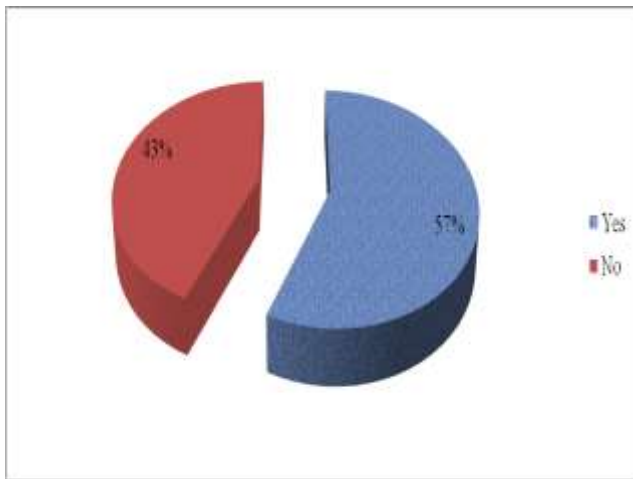
(1) Table 4.3. Effectiveness of Performance Appraisal

Effectiveness	Frequency	Percent	Cumulative Percent
Yes	7	23	23
No	23	77	100
TOTAL	30	100	

Source: Author (2008)

6) 4.2.6 Influence of Appraisal Tools on Performance Appraisal

Majority of the respondents seventeen (57%) were satisfied with the appraisal tools use as shown in figure 4.4. These included the government's staff performance appraisal forms, the district work plans and personal work plans. However, there were concerns that the tools did not take into consideration the appraises personal attributes such as hard work, patience and being results oriented which were also important in performance. Some respondents also expressed concern that performance appraisal is sometimes done without their involvement and results were never given back to those appraised denying them room to improve on their weaknesses



a) Figure 4.4. Whether employee were satisfied with the appraisal Tools

Source: Author (2008)

Results from the analysis indicated that two (7%) of the respondents were not aware of the standard of performance appraisal Table (4.4). However, the majority of respondents twenty-eight (93%) were aware of the standards of performance appraisal. This means that there were employees who were still unaware of standards expected of them in their job under the new system of performance appraisal. There is need to educate appraisees on these standards so that they can participate fully in performance appraisal process.

Table 4.4. Whether appraises are aware of what was expected of their work

Influence	Frequency	Percent	Cumulative Percent
Yes	28	93	93
No	2	7	100
TOTAL	30	100	

Influence	Frequency	Percent	Cumulative Percent
Yes	17	57	57
No	13	43	100
TOTAL	30	100	

Source: Author (2008)

The study revealed that over seventeen (57%) of the respondents were not consulted while setting performance targets as shown in table 4.5. Lack of consultation was said to be an important factor that led to ineffectiveness of the performance appraisal system. However thirteen (43%) of the respondents indicated that with the implementation of performance contracts, public servants were more involved in decision making, felt evaluation of the performance was done fairly, they knew where to seek assistance concerning meeting the targets and that the performance appraisal had assisted in understanding government policy documents.

Table 4.5. Whether appraisees were involved in standards setting

Influence	Frequency	Percent	Cumulative Percent
Yes	17	57	57
No	13	43	100
TOTAL	30	100	

Source: Author (2008)

All respondents thirty (100%) agreed that involvement in setting performance standards affected performance appraisal exercise (Table 4.6). As observed earlier thirteen (43%) of the respondents were not involved or consulted when setting performance targets. This resulted to a negative attitude that made the whole exercise a routine and thus did not yield the desired results. It should be noted that for performance appraisal to be effective, all stakeholders such as the appraisees and the appraisers must be fully involved. It was no surprising therefore that eighteen (59%) of the respondents reported performing better when involved in setting performance standards.

(1)

Table 4.6. Whether the level Involvement affects performance appraisal exercise

Influence	Frequency	Percent	Cumulative Percent
Yes	18	59	59
No	12	41	100
TOTAL	30	100	

Yes	30	100	100
No	0	0	100
TOTAL	30	100	

Source: Author (2008)

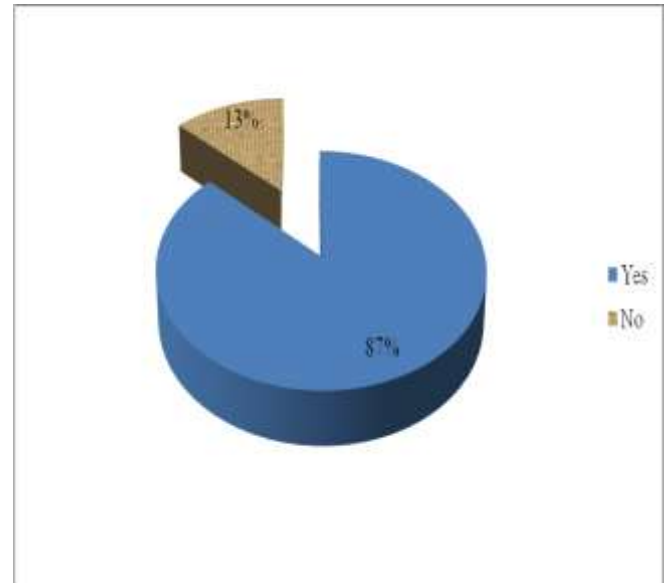
It emerged that twenty eight (93%) did not get feed back of the results of performance appraisal (Table 4.7). It was unfortunate that the results of the appraisal did not get back to the people who were supposed to improve on them. This denied the appraised workers an opportunity to learn from their mistakes and improve on them. The fundamental principle of performance contracting is management style where emphasis is management by outcome rather than management by processes.

Table 4.7. Whether employees are given feedback after performance appraisal

Influence	Frequency	Percent	Cumulative Percent
Yes	2	7	7
No	28	93	100
TOTAL	30	100	

Source: Author (2008)

Respondents were also asked if appraisal tools affected their performance as indicated in figure 4.5. It emerged that twenty-six (87%)of the respondents agreed that the tools affected their performance positively since they improved service delivery to the public by ensuring accountability improving efficiency and ensuring that resources were focused on attainment of set priorities.

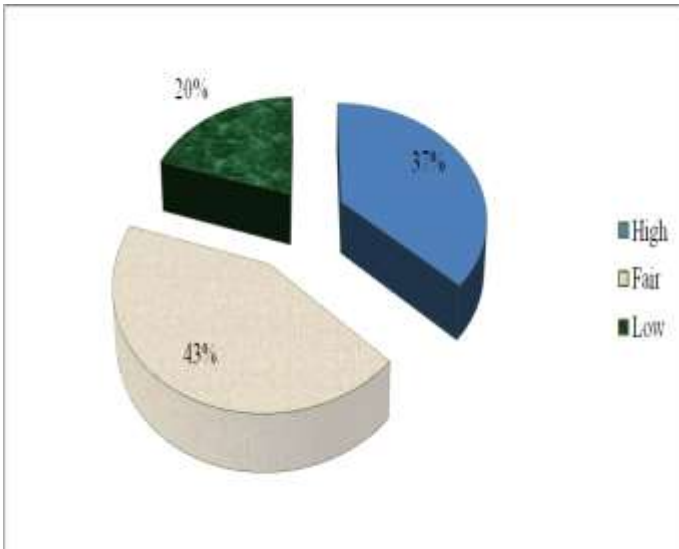


b) Figure 4.5. Whether Appraisal Tools Affect Performance

Source: Author (2008)

Opiyo (2006) however noted that with the introduction of performance appraisal and contracting and a reduction in the size of the core civil service of about 30%, productivity and performance in the public service was not as expected. Further reform initiatives targeting performance improvement and management in the public service were required.

Respondents' opinions regarding whether standards and expectations in performance appraisal indicated that thirteen (43%) thought the standards were fair as shown in figure 4.6. To eleven (37%) of the respondents, standards and expectations in performance appraisal were high. Most of the respondents therefore were of the opinion that the standards for appraisal were fair. However some of the problems experienced during the implementation of the performance contract included lack of adequate resources and resources not being released on time such as appraisal forms. Some performance targets were said to be highly ambitious and the situation was worsened by constant and unplanned transfer of staff.



c) *Figure 4.6. Opinions on Standards and Expectations in Performance appraisal*

Source: Author (2008)

4.3 Qualitative analysis

7) 4.3.1 Factors Affecting the Effectiveness of Performance Appraisal at the Ministry

Lack of effectiveness of performance appraisal was blamed on delay in receiving performance appraisal forms, which in turn delayed the whole process of appraisal. There was also concern that the frequent transfer of employees from one area to another affected appraisal since it affected the monitoring of performance over enough period of time. Some respondents also indicated that filling of performance appraisal forms was not done consistently often not being filled and sometimes delayed. This led to appraise perception that the whole exercise was not serious and thus the results were not taken seriously.

Respondents who reported that the exercise was effective felt that the performance contract has helped improve communication within the public and accountability among public officers. They felt that performance contracts had introduced setting of the individual job expectations and staff performance plans. They indicated that that as a result of performance contract, performance targets were fairly distributed in their departments. These respondents also noted that with the introduction of performance contract, public servants were increasingly seeking to acquire more skills as well as diversify to remain on the job.

8) 4.3.2 Performance appraisal tools

Performance appraisal tools included the government's staff performance appraisal forms, the district work plans and personal work plans. Some respondents explained that the tools did not take into consideration the appraises personal attributes such as hard work, patience and being results oriented which were also important in performance.

The appraisal tools were termed as lacking in identifying training needs and therefore did not help those appraised to improve through training. It was also noted that there was frequent addition or change of responsibilities before the appraisal period was over. This led to lack of consistency in the responsibilities carried out by workers, which made appraisal difficult. Respondents indicated that they did not have adequate resources needed to meet their targets. However, with performance contract, the participants were generally enjoying their work and jobs.

9) 4.3.3 Ways of improving performance appraisal in the ministry of education

The respondents interviewed pointed out that performance appraisal tools had given rise to performance oriented culture in the ministry of education through introduction of an objective performance appraisal system, linking promotion and reward to measurable performance, strengthening and clarifying the obligation required of the employees in order to achieve agreed set targets. In most cases the appraisees were employees in senior positions than the appraised employees, older and with many years of experience in the job. This created a feeling of fairness and trust that made the performance appraisal exercise be perceived as fair. The general feeling from the study was that the participant's positive regarding performance contracting and supported the objectives of performance contracting. On various occasions however it was reported that sometimes appraisal reports were written in favour of certain gender and tribal groups.

Being a rather new concept in the civil service, workers should be given an opportunity to learn from their mistakes through support and feedback of the appraisal reports so as to perfect the whole exercise. Otherwise problems that inhibited the performance of government agencies before the implementation of performance such as excessive controls, multiplicity of principles, frequent political interference, poor management and outright mismanagement (GoK, 2005) may continue to persist with an ineffective performance appraisal. Respondent suggested ways of ensuring performance contract was successful in their workplace. Some of the suggestions included



continuous training on performance contracting and appraisal, allocation of adequate resources; development of a reward system for performers, increasing salaries, enhancing cooperation among workers and availing the resources needed such as appraisal tools on time.

5: SUMMARY CONCLUSIONS AND RECOMMENDATIONS

II.

A. 5.1 Introduction

This chapter gives a summary of the study, conclusions and recommendations which can be made to help in improving performance appraisal in the Ministry of Education and Kenya's civil service in general.

B. 5.2 Summary

The study set out to assess how performance appraisal tools affect performance appraisal of Ministry of Education civil servants in Nairobi province, determine the extent to which standard or yard sticks affect performance of the civil servants, establish if involvement in setting of the targets and use of feedback influence performance appraisal and find out if demographic factor influenced the performance appraisal system of civil servants in Nairobi Province. Data were collected from respondents with different portfolios in the ministry of education such as clerical officer's secretary's, auditors quality assurance officers and quality assurance supervisors from different departments.

The study revealed that sixteen (53%) of the respondents were males while the remaining fourteen (47%) percent were females. It emerged that most respondents ten (33%) were clerical officers while (20%) were secretaries. Majority of the respondents were from the quality assurance and standards department constituting 23% of the respondents followed by the administration department with 20%. Majority of the respondents eight (25.5%) had been in their current job group for ten years. The same number eight (25.5%) had been in their current jobs for the last over 15 years. Concerning their level of education the study revealed that the majority of the respondents fourteen (47%) had secondary education, eleven (37%) had a graduate degree.

The study also revealed that all thirty (100%) of the respondent were aware of the existence of performance appraisal. The responses indicated that majority of the participants were conversant with performance contract. Lack of effectiveness of performance appraisal was blamed

on delay in receiving performance appraisal forms, which in turn delayed the whole process of appraisal. Majority of the respondents seventeen (57%) were satisfied with the appraisal tools used. The appraisal tools were however termed as lacking in identifying training needs and therefore did not help those appraised to improve through training.

The study revealed that over seventeen (57%) of the respondents were not consulted while setting performance targets. It emerged that twenty-six (87%) of the respondents agreed that the tools affected their performance positively since it improved service delivery to the public by ensuring accountability improving efficiency and ensuring that resources were focused on attainment of set priorities. Respondents' opinions regarding whether standards and expectations in performance appraisal indicated that thirteen (43%) thought the standards were fair. To eleven (37%) of the respondents, standards and expectations in performance appraisal were high.

Up to sixteen (53%) of the respondents were not aware of the standard of performance appraisal. The study revealed that thirteen (43%) of the respondents were not at all involved in setting performance targets. The study revealed that twenty-seven (89%) of the respondents were often appraised by an older person than them often with more work experience creating confidence in the whole exercise. It emerged that seventeen (57%) did not get feed back of the results of performance appraisal denying them an opportunity to learn through their mistakes. In addition, twenty-three (76%) found feedback on performance appraisal helpful in their job performance.

C. 5.3 Conclusions

The study established that performance contracting has induced the public service in the ministry of education to become more oriented toward delivery of service to the public and enhance its performance. The introduction of contracts and management by results has increased the performance as it emphasized better human resource management leading to saving in time and resources, internal management improvement and better accountability. However the exercise is hindered by lack of timely delivery of materials needed like evaluation forms delaying the whole process of appraisal. In addition, lack of consistence in evaluation intervals, constant job transfers, and lack of appraises involvement in setting standard for appraisal continues to hinder the effectiveness of the performance appraisal in the ministry of education. These must be addressed so that the exercise can address the problems that inhibited the performance of government agencies before the implementation of performance such as poor service delivery to the public, excessive government



control multiplicity of principles, frequent political interference and poor management of resources.

D. 5.4 Recommendations

The following recommendations are made from the findings of the study:

1. There is need to ensure timely availability of resources like performance appraisal forms which enhances the motivating effect of the contract. When resources are not available or availed late, the staff involved gets frustrated. The majority of respondents interviewed expressed this concern.
2. There is need for a good definition of outputs and solid performance standards since most respondents were not aware of the performance standards. This requires well-defined training program for the public servants to support implementation.
3. Performance appraisal should be accompanied by performance-oriented change in the public service structure and management culture. Culture that embraces participatory principles in formulating management instruments and standards as well as feedback mechanisms to the appraised to help them learn from their mistakes should be encouraged. The top management should be equipped with key competencies and enhanced participatory approach to decision making.
4. The government should ensure regular overall evaluations, inter-ministerial comparison and audits of benefits and drawbacks of performance appraisal in order to learn from diverse experiences. Differences in implementing contexts may provide different learning experiences. Mistakes are likely to be made but what is critical is drawing lessons for future performance improvements.

E. 5.5 Areas for Further Research

To understand further the factors that affect performance appraisal in Kenya's civil service, the study suggests the following areas of further research

1. There is need for a comparative study to investigate the factors affecting performance appraisal in other ministries and state corporations in implementing performance appraisal in Kenya. This would be an interesting area to explore to gain insights into factors that enhance or inhibit the implementation of performance appraisal in Kenya.
2. Further research effort is needed to establish if Kenyan citizens perceive service delivery has improved since the implementation of performance contracting in Kenya. Results of such a study would confirm if the objectives of implementing performance contracting and appraisal are being achieved in Kenya.



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6. Is there performance appraisal of staff in the ministry?

A. Yes B. No

APPENDICES

A. 1. Questionnaire for Appraiser

7. Would you say that the exercise is effective?

A. Yes B. No

General Guidelines

The purpose of this study is to examine the appraisal systems in your organization. You are kindly requested to give honest responses. This information will be used only for the purpose intended and confidentiality is guaranteed.

8. What affects performance appraisal at the ministry?

(1)

(2) Section A



13. Suggest what you want improved on performance appraisal tools to make the

exercise more effective

9. What do you recommend on performance appraisal to make it more effective?

(5)

(6)

(7) Section D

(4) Section C

14. a) Which standards/Yardsticks do you use to measure the performance of

employees?

10. Which tools do you use to appraise the staff?

b) Are these standards of expectation such as productive set in consultation with the

staff? A. Yes B. No

11. Do you think performance appraisal tools affect or influence performance

appraisal and its effectiveness?

A. Yes B. No

15. Are the standards too high to attain?

A. Yes B. No

12. State in which ways it affects it

16. a) Do you think standards do affect your performance appraisal?

A. Yes B. No



(8) b) In what ways?

exercise more effective

(9)

(10)

(11)

17. Suggest any improvements on the current standards to it more effective

2. QUESTIONNAIRE FOR APPRAISEE

General Guidelines

The purpose of this study is to examine the appraisal systems in your organization. You are kindly requested to give honest responses. This information will be used only for the purpose intended and confidentiality is guaranteed.

(12) Section E

18. Are the appraisees aware of what is expected of their work?

- A. Yes B. No

19. Are the appraisees involved in standards setting and work expectations?

- A. Yes B. No

20. Do you think this affects the performance appraisal exercise?

- A. Yes B. No

21. Do you give feedback on employees' performance after appraisal?

- A. Yes B. No

22. Suggest what should be done on appraisal involvement and feed back to make the

(13) Section A

General

1. Sex A Male B Female

2. Designation -----

3. Department-----

4. Years served A. 0-5 B. 5-10 C. 10-15 D. Over 15

5. Highest education attained

- A. Primary B. Secondary C. University



D. Post Graduate

E. Others

Section B

6. Is there performance appraisal of staff in the ministry?

A. Yes

B. No

7. Would you say that the exercise is effective?

A. Yes

B. No

8. What affects performance appraisal at the ministry?

9. What do you recommend on performance appraisal to make it more effective?

Section C

10. Are you satisfied with the appraisal tools?

A. Yes

B. No

11. a) Do you think this affects your performance appraisal

A. Yes

B. No

b) State in which way

12. What do you suggest on tools to improve the way you are appraised?

Section D

Give your opinion on the following statements by placing a tick in the appropriate box

13. What is your opinion on standards and expectation in the performance appraisal?

A. Very high B. High C. Fair D. Low E. Very low

14. a) Do you think the standards affects your appraisal?

A. Yes B. No

b) State in which way

(14) Section E

Indicate the extent that the following happen by putting a tick in the appropriate box.

		Very often	Often	Rarely	Not at all		Not at all
15	I am made aware of the standard of performance						
16	I am involved in setting performance targets						
17	I am appraised by an older person						
18	I get feedback on performance appraisal						



19	Appraisal of my performance is accurate						
20	I perform better if involved in setting performance targets						
21	I find feedback on performance appraisal helpful in my job performance						