PERCEPTION OF ACADEMIC STAFF IN KENYAN PUBLIC UNIVERSITIES TOWARDS APPLICATION OF PERFORMANCE APPRAISAL RESULTS IN TRAINING AND PROMOTION DECISIONS
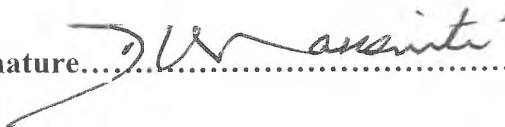
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A Management Research Project Submitted in Partial Fulfillment of the Requirements for the Award of the Degree of Master of Business Administration (MBA)

University of Nairobi

November 2011

DECLARATION

This Management Research Project is my original work and has not been presented for the award of a degree in any other university.
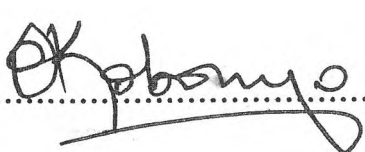
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MAKAWITI, DOMINIC WERE
(D61/60376/2010**)**

This research project has been submitted for examination with our approval as University Supervisors.

Signature...,......................Date. 3ᴿᴰ Nov. 2011

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ACKNOWLEDGEMENTS

DEDICATION

I dedicate this Management Research Project to my late father, Paul Awiti Odongo and my mother, Sulmenah Owuor Awiti. Both of them provided me with nature and nurture to effectively compete in this world of ever diminishing returns.

They gave me the two greatest gifts parents can bequeath their children namely: Roots and Wings.

They set me on a new road of discovery, which in the words of a French novelist, Marcel Proust (1871-1922) said: "In actual sense the real voyage of discovery consists not in seeking new landscapes, i.e. hills, lakes rivers, mountains, valleys etc, but in having new eyes which can see".

ABSTRACT

Kenyan public universities have experienced a decline in performance exemplified by enrolment of less than 35% of qualifying students, near collapse of physical facilities, lack of relevance of curricular and low quality of teaching and research (Chacha-Nyaigoti, 2004; Gudo *et al.,* 2011). Stakeholder demands for accountability have escalated inevitably cascading to academic staff, the principal actors in university operations. Despite the reputed usefulness of performance appraisal systems in ameliorating such challenges (Boswell and Boudreau, 2002; Fletcher, 2002), universities worldwide have hitherto adopted a *laissez- faire* attitude towards these systems, claiming that they are managerialist and, therefore, inappropriate to a collegial context which value collaborative and developmental tasks. Using survey data from 276 multi-disciplinary academic staff and interviews with 3 human resource managers from 7 Kenyan universities, this study examined the perceptions of academic staff on application of performance appraisal results in training and promotion decisions. Descriptive statistics, correlation and content analyses were used to analyze data. The study revealed that respondents were ambivalent as to whether performance assessment systems were used for developmental or managerialist purposes. Nevertheless, univerisity funding support for academic staff training and performance appraisal purpose of providing feedback yielded significant results ($\beta = 0.30$, $p < 0.05$). Moreover, the study found a relationship between managerialist performance appraisal purposes and promotion decisions ($\beta = 0.325$, $p < 0.01$). Consistent with the literature, the study concluded that performance appraisal systems are not entrenched in public universities in Kenya. It was recommended that top management investigate the barriers to implementation of performance appraisal systems. The findings of the study may contribute to the theory

and practice by facilitating better design of performance appraisal systems. Future research could focus on contextual variables and adopt qualitative design for establishing causal relationships.

TABLE OF CONTENTS

CHAPTER FIVE: SUMMARY, CONCLUSIONS AND RECOMMENDATIONS 65

LIST OF TABLES AND FIGURES

CHAPTER ONE
INTRODUCTION

1.1. Background of Study

Recent developments in the world feature turbulent change occasioned by changes in government, community and employer expectations, the digital revolution, ever increasing competition, social and legislative environments. According to Turk (2007) these pressures have led to increased stakeholder demands for increased accountability and flexibility in management of higher education organizations. For example, since the late 1980's, universities in Australia were directed by government to either align to the interests and practices of the business sector or suffer the financial consequences (Morris *et al.,* 2007).

Since the quality of institutional performance outcomes largely depends on the employees, both individually and collectively, increasing prominence is being given to sustainable human resource management and development (Grund and Sliwka, 2007; Riechi, 2010). In tandem with this global trend, the Kenyan government in its developmental strategy, Vision 2030, has recognized human resource as central to attaining the state of industrialization (Republic of Kenya, 2008). Major reforms have been introduced to compel the public service and the country as a whole to re-think the way human capital is managed. As a consequence, there have been calls for education reforms (Hoare, 1995; Odhiambo, 2006). Central to the success of these initiatives to enhance national human resource management capability is the need for effective performance appraisal systems in public service institutions.

1.1.1 Performance Appraisal

Performance appraisal, a critical human resource performance management tool, can be defined as a process that facilitates the evaluation of the individual in the achievement of organizational goals and improved performance (Coutts and Schneider, 2004; DeCieri and Kramar, 2005; Wilson 2005; Aguinis, 2007). Researchers for example argue that due to its characteristic focus on the individual, performance appraisal involves some element of measurement of the work done (Chow *et al.*, 2002; Parker, 2003). Inevitably, those

assessed positively will view it as a developmental experience while those evaluated negatively may deem it as a management tool for monitoring and control. Consequently, performance appraisal outcomes result in wide-ranging administrative decisions.

It can be stated that performance appraisal has two main purposes. It is a source of information for management to make decisions regarding promotions, succcession planning, salaries, training needs and training support. It is also used as a feedback tool for employees, facilitating personal improvement and development (Grund and Sliwka, 2007; Turk, 2007). The first approach is termed summative whilst the latter perspective is the formative role (Simmons, 2002). Other researchers have termed the two as the developmental versus the managerialist orientations in the use of performance appraisals (Longenecker and Finck, 1999; Morris *et al.,* 2007). Whereas a developmental orientation seeks to bolster organizational efficiency by assisting staff to make decisions regarding their productivity and career aspiration, the managerialist approach is founded on control and uses performance appraisal for measuring efficiency, linking this to rewards and sunctions.

1.1.2 Training Decisions

Training decisions emanate from the use of performance appraisal for formative purposes and involves identifying training and development needs at the individual levels (Kelly *et al.,* 2007). These decisions relate to determining whether an employee requires additional training and development for improving performance in the job or to enhance potential for a higher position. Researchers such as Rees and Porter (2004) state that training decisions are important due to the need to reconcile the potential conflict between individual and organizational objectives in order to ensure effective returns from investment in training.

According to Edmonstone (1996), training needs assessment have a dual aspect: The formal planning and implementation of training investment and the mostly informal impartation of interpersonal skills needed for counselling, coaching, networking and mentoring. Such training decisions are embedded in training programmes, training

budgets and arrangement such as mentoring programmes. Some scholars posit that training and development activities should be separated from assessment, promotion and remuneration discussions during performance appraisal sessions (Wilson and Western, 2000; Orr, 2002).

1.1.3 Promotion Decisions

According to DeVaro and Waldman (2006), promotion entails, but is not restricted to the mobility of an individual from a particular rank to a higher level. Promotion decisions will, therefore, concern identifying the eligible employees and the targeted positions. Additional decisions are about whether the process should be formal or informal, that is, to determine the need for promotion policy covering how to measure competence and promotion criteria (Ruderman *et al.,* 1995). Other considerations include the increasingly important area of need for gender parity in promotion and career advancement (Ruderman *et al.,* 1995).

Promotion decisions shape succession planning, performance appraisal and reward systems (Ruderman *et al.,* 1995). Such decisions are critical since one of the key outcomes of promotion is the reward value for the individual that engenders recognition of potential (Mackham *et al.,* 1987). Promotion decision generally reflect the summative role of performance appraisal that relates to decisions on matters such as probation, increments, tenure, contract renewal, and the management of diminished or unsatisfactory performance (Hoare, 1995).

1.1.4 Perception

Perception is the process of conceiving phenomena that involves acquiring, interpreting, selecting and organizing sensory information, and reacting to sensory stimuli or data. Using perception people translate sensory impressions into a coherent and unified view of the world around them (McGinnis, 2007). Perception has three components: a perceiver, the target, and some situational context in which the perception is occurring. Each component influences the perceiver's impression or interpretation of the target.

Perceptions matter in the sense that a person perceives and thinks about a situation as it affects their attitudes, attributions, and behaviours (Elsbach *et al.,* 2005). Furthermore, Nelson and Quick (2008) observed that there is always a linkage between perception and individual quality of decision-making. These elements make the management of perception in organizational performance appraisal systems. Organizations often use subjective measures of employees' performance provided by managers. Problems of perceived meaning occur when appraisers and appraisees do not share the same opinion. When the process is ineffective, it results in shortcuts in judgment manifested through selective perception, halo effects, contrast effects (where the perceiver notices difference between things, not absolute measures), projection (an individual's uncomfortable thoughts or feelings may project onto other people), and stereotyping, which are positive or negative generalizations about people. Perception management is key part of understanding human behaviour (Tella *et al.,* 2007). For example, Saal and Moore (1993) reported that women and men perceive promotion fairness differently. According to Saari and Judge (2004), employee perception can be measured using focus groups, interviewing employees, or carrying out employee surveys.

1.1.5 Public Universities in Kenya

Presently Kenya has seven public and twenty three private universities. The public universities are: The University of Nairobi (with six colleges and 2 campuses), Kenyatta University (with 2 campuses), Egerton University (with 2 campuses), Moi University (with 3 campuses), Jomo Kenyatta University of Agriculture and Technology (with 4 campuses), Maseno University (with 3 campuses) and Masinde Muliro University of Science and Technology. There are also 21 gazetted university constituent colleges under the public univerities (Individual Universities' Callendar). Besides the government, other stakeholders include students, faculty staff, employers, parents alumni, graduate alumni, taxpayers, legislators, society as a whole, management, trade unions, non-governmental organization (NGOs) and donors. The academic/teaching staff at the university comprise (in decreasing order of seniority) of professors, associate professors, senior lecturers, lecturers, and assistant lecturers/tutorial fellows. There are also equivalent research fellows for each grade.

The broad mandate of all the public universities is to teach, research and community service. In the United States of America, the mandate is referred to as learning, discorvery and engagement. In effect the public universities are supposed to be vehicles of development. Their role is particularly becoming important in the light of the country's stated Vision 2030.

1.2   Statement of the Problem

According to Mwiria (2007) there exists a state of confusion in goverance and operating structures in public universities, chiefly arising from each university having its own specific legal instrument. Attempts by the Commission for Higher Education (CHE) to rationalize its core manadate of post-secondary education has met with widespread resistance from the public universities. The major result of this state of affairs has been the absence of a mechanism for the determination and assessment of universal quality standards. As in other parts of the world, turbulent changes in the operating environment have seen public universities increasingly run like businesses (Barry *et al.,* 2001). In most countries the government funding of universities has become increasingly contingent on their performance in research and teaching (Martin and Whitley, 2010). The inevitable consequence for the academic staff has been increased workload with performance management systems leaning more towards monitoring and control, thus, undermining tenets of academic collegial freedom and professional autonomy or the 'ivory tower' paradigm of the university (Wiese and Buckley, 1998; Sousa *et al.,* 2010).

It is argued that the challenges have resulted in a decline in performance on the core mandates of teaching, research and service in Kenya. Significantly, just about one-third of qualifying candidates gain access to public universities. Many researchers (Mutula, 2002; Oketch, 2003; Nyaigoti-Chacha, 2004; Riechi, 2010) lament a littany of undesirable trends: Lack of access to university education, the deterioration of facilities, outdated collections in libraries, lack of relevance of curricular, elimination of tutorial sessions, declining research and publications, inordinately large class sizes, student unrest which lead to long closures, staff lacking pedagogical training, lack of community outreach programmes, overcrowding in students' halls of residence, staff disillusionment,

student and academic staff flight to foreign and private universities, lack of gender equity in both student enrolment and employment, inadequate ICT capacity and utilization for teaching facilities. Furthermore, according to global performance ranking of universities based on web-visibility in the year 2009, University of Nairobi was the only Kenyan public university featuring at a dismal position 4,467 (www.4icuorg/topAfrica). Not surprisingly, there exists widespread concern by stakeholders regarding the capacity of Kenyan higher education institutions to produce skilled manpower to meet the country's current and future development needs in higher education (UNESCO, 1998; Reichi, 2010; Gudo and Olel, 2011).

Dwindling financial resources and stakeholder demands for accountability have placed public universities under pressure to raise increasing portions of their own income (Morris *et al.,* 2007). In tandem with global trends, the pressures have seen universities increasingly run like businesses (Barry *et al.,* 2001), with adoption of performance appraisal practices leaning more towards concepts of managerialism exemplified in monitoring control. This orientation is at odds with the traditional tenets of academic collegial freedom, independent scholarship, unfettered inquiry and professional autonomy or the 'ivory tower' paradigm of the university (Wiese and Buckley, 1998; Barry *et al.,* 2001; Simmons and Iles, 2001; Sousa *et al.,* 2010). Amidst this tension, the focus is increasingly falling on the performance of academic staff as the main actors in higher education. Emerging changes in the operating environment have caused adjustments leading to increased workload. Besides teaching, research and the 'publish or perish' credo, academic staff have had to additionally contend with pressures on quality imperatives concomittant with monitoring and control processes relating to key performance indicators such as student enrolment targets, the quality of teaching, student satisfaction ratings, the number of publications and citations, research rankings, the number of higher degree enrolments and completions rates, number of research collaborations, and the number of research grants (Pop-Vasileva *et al.,* 2011). These pressures have been reported to result in declining levels of employee satisfaction (Bellamy *et al.,* 2003), increased stress (Winefield *et al.,* 2003) and increased resignations and retirements (Anderson *et al.,* 2002).

It would be expected that performance appraisal, hailed as a pivotal human resource practice (Boswell and Boudreau, 2002; Fletcher, 2002) would be a panacea to this predicament of academic staff motivation. However, in the past, universities worldwide adopted a *laissez-faire* attitude to performance appraisal (Simmons and Iles, 2001). Baldridge *et al.,* (1977) posited five characteristics that give universities a collegial context and, therefore, make performance appraisal schemes formulated in business context inappropriate. These are: Goal ambiguity, clients who agitate for a voice in the decision-making process, lack of appropriate technology due to diversity in clients' needs, the criticality of the academic staff who view themselves as autonomous professionals, and vulnerability to external interference due to funding conditionalities. The bottom line is that the nature of academic work requires a collegial approach that engenders collaborative or developmental effort rather than the typical managerialist evaluative appraisal, which differentiates and compares individual performance (Murphy and Cleveland, 1995) and inherently can introduce employee competition. Notwithstanding the misgivings, developments in the operating environment emphasize the inevitability of performance appraisal. As a consequence, the reluctance to embrace performance appraisal systems has led to public universities being accused of lack of clear policies, particularly relating to training and promotion (Nyaigoti-Chacha, 2004). This state of affairs calls to question the capability of public universities in contributing to the governments stated Vision 2030 objectives that seek attaining national manpower for industrialization by the year 2030 (Republic of Kenya, 2008).

In providing information on the knowledge gap, this study will therefore, focus on public universities with particular emphasis on staff perspectives on performance appraisal results and how they relate to training and promotion decisions. The study will be guided by the following broad questions: What are the attitudes and perceptions of academic staff towards performance appraisal systems in the public universities? Do the performance appraisal systems have a developmental focus or are they concerned with monitoring and control of academic staff? Have the outcomes of performance appraisal been applied to training and promotions decisions?

1.3 Research Objective

The objective of this study is to examine perceptions of academic staff regarding application of performance appraisal results in training and promotion decisions in public universities in Kenya.

Specifically, the study seeks to:
  i)   Establish the purpose of performance appraisal systems in public universities;
  ii) Establish the training decisions in public universities;
  iii) Establish the promotion decisions in public universities;
  iv) *Determine the* relationship between the purposes of performance appraisal; systems and training and promotion decisions in public universities.

1.4 Hypotheses of the Study

The hypotheses for the study were:

(i). H_0: There is a relationship between formative performance appraisal purpose and training decisions in public universities.

  H_A: There is no relationship between formative performance appraisal purpose and training decisions in public universities.

(ii). H_0: There is a relationship between summative performance appraisal purpose and promotion decisions in the public universities.

  H_A: There is no relationship between summative performance appraisal purpose and promotion decisions in the public universities.

1.5 Value of the Study

With performance appraisal widely discredited in survey findings and more so by quality gurus and academic staff, there is need to investigate the relevance of its conceptual underpinnings for higher education and public universities. In this way, the study sought to contribute to theory development and application of performance appraisal in the higher education sector. The study also hopes to contribute to managerial practice in several ways. Firstly, it is necessary to satisfy the need for accountability by stakeholders, chief among them being the citizenry who fund the universities through taxation.

Secondly, the Government of Kenyan has adopted a performance appraisal system and this will inevitably cascade to public universities. It is therefore, important to prepare these entities for this reality. Thirdly, the principal role of a university in society is transformative, driving society towards democratization, social cohesion, poverty alleviation and overall economic development. Effective performance appraisal practices, being a foundation element of human resource management, will fortify this role.

CHAPTER TWO
LITERATURE REVIEW

2.1   The Concept of Performance Appraisal

Aguinis (2007) defines performance appraisal as the evaluation of an individual's work performance in order to arrive at objective personnel decisions. Performance appraisal is a concept theoretically anchored in work psychology and an element of performance management in human resource practices (Fletcher, 2001; Boswell and Boudreau, 2002), that is increasingly being integrated into strategic business policy. Employee performance appraisal schemes are seen to have two main purposes: They are a source of information for management to make decisions regarding promotions, personnel succcession planning, salaries, training needs and training support as well as a feedback tool for employees, facilitating personal improvement and development (Grund and Sliwka, 2007). Researchers have termed the two as the developmental versus the managerialist orientations in the use of performance appraisals (Longenecker and Finck, 1999; Morris *et al.,* 2007). While a developmental orientation seeks to bolster organizational efficiency by assisting staff to make decisions regarding their productivity and career aspiration, the managerialist approach is founded on control and uses performance appraisal for measuring efficiency, linking this to rewards and sanctions. Most scholars assert that both performance appraisal research and practice have shifted from the restrictive focus of psychometrics and evaluation to a more developmental and motivational orientation (Fletcher, 2001; Kuvaas, 2007). Among the most critical outcomes that flow from performance appraisal systems are training and promotion decisions. Nevertheless, the delinking of training and development activities from promotion and remuneration issues during performance appraisal sessions has been proposed by some researchers (Wilson and Western, 2000; Orr, 2002).

2.1.1 Training Decisions

Training is viewed as a planned and systematic effort to modify or develop knowledge, skill, or attitude through a learning experience, with the aim of achieving effective overall

performance, (Buckley and Caple, 1992; Chen *et al.,* 2007). It enables an individual, in a work context, to acquire abilities that can bolster performance in a given task. Kelly *et al.,* (2007) assert that the role of performance appraisals in this scenario would be to identify performance gaps through providing an opportunity for a supervisor and subordinate to recognize and agree upon individual training and development needs. According to scholars (Edmonstone, 1996; Boice and Kleiner,1997;) training decisions are not limited to the appraisee needs only since the appraiser may also need training in supervisory skills, coaching and counselling, mentoring conflict resolution, setting performance standards and providing employee feedback. Researchers such as Rees and Porter (2004) state that training decisions are important due to the need to reconcile the potential conflict between individual and organizational objectives in order to ensure effective returns from investment in training. A crucial consideration for decision makers is to determine the extent to which training and development opportunities support the identified competencies for individual employee tasks. Where well-designed and implemented, such programmes can help foster employee commitment. Training decisions are generally incorporated into training programme and embedded in training budgets and arrangements such as mentoring programmes. According to Elbadri (2001), organisations can avoid the wastage of training investments like time, effort, and money by using effective training needs assessment.

2.1.2 Promotion Decisions

According to DeVaro and Waldman (2006), a promotion is the advancement of an employee's rank or position in an organizational hierarchy system, generally as reward for good performance. Such upward movements, however, are increasingly becoming less the norm in the advent of downsizing and restructuring (Schmidt, 1994; Metcalf & Briody, 1995). Related aspects of promotion include increment in salary, power and responsibility, in addition to increased freedom in the work place (Ruderman *et al.,* 1995). Promotion decisions will, therefore, concern: Identifying the employees and the positions, whether the process should be formal or informal, how to measure competence, and promotion criteria, whether promotion will be based on seniority or competence, or some combinations of the two (Ruderman *et al.,* 1995). Others include job assignments

(McCall *et al.,* 1988) and the increasingly important area of gender parity in promotion and career advancement (Ruderman *et al.,*1995). Promotion decisions are critical since they shape succession planning, performance appraisal and reward systems (Markham *et al.,* 1987; Ruderman *et al.,* 1995). Promotions also offer the job challenge necessary for development (McCall *et al.,* 1988). Scholars such as McCarthy and Garavan (2001) have criticised traditional. performance appraisal systems for their focus on summative purposes such as pay and job assignments, transfer and promotion decisions which necessarily rely on past performance to the detriment of development needs. An incessant criticism of performance appraisal systems is lack of objectivity and discriminatory outcomes in promotion (Brown and Heywood, 2005; Millimore and Biggs, 2007). Consequently, some organizations insist on elaborate procedures as such: Advertising the position, accepting applications from qualified candidates, screening and interviewing candidates, and the documenting of the process. Others scholars (Grima, 2000) are against the use performance appraisals as the sole mechanism in promotion decisions, and instead advocate supplementary processes such as structured interviews, assessment centres and aptitude tests. In the academia, an additional safeguard includes candidate screening through several layers of committees which include members of other faculty and experts from other universities (Morris *et al.,* 2007).

2.1.3 Perception and Performance

The concept of perception is derived from Gestalt psychology theory (Hothersall, 2003), which posits that our subjective experience or perception is not simply a collection of sensations but the sum of accumulated experiences and individual outlook. Since people have a limited capacity to process, store, and retrieve information, it makes them prone to bias when it comes to evaluating others (Elsbach *et al.,* 2005). Indeed, the manner in which employees perceive environmental factors mediates much of the influence of the work environment on individual behaviour (Parker *et al.,* 2003; James *et al.,* 2008). In recognition that the effectiveness of a system is contingent on the attitudes of both the appraisers and appraisees as system users, investigators observe that recent research has moved away from studies of rate accuracy and psychometric measures to themes of employee perception of fairness of performance appraisal (Tziner *et al.,* 2001). Roberts

(1990) further states that a performance appraisal system can be psychometrically well-designed, yet deficient in practice due to resistance or lack of acceptance by users. To enhance perceptions of performance systems as accurate and fair, in 1991 Murphy and Cleveland (cited in Walsh, 2003) proposed that designers of performance appraisals systems should ensure that: Appraisals are conducted frequently, appraisal be based on formal systems, supervisors have a high degree of job knowledge, ratees have an opportunity to appeal ratings, performance dimensions be highly relevant, action plans be formulated to deal with present weaknesses, and the organizational climate be cooperative rather than competitive.

The following section will review previous studies in relation to performance appraisal systems, training and promotion decisions with a particular focus on the higher education.

2.2   Review of Empirical Studies on Performance Appraisal, Training and Promotion Decisions in Higher Education

Most researches on performance appraisal are prevalent in business contexts. For example, some scholars (Truss, 2001; Guest, 2002; Park et al., 2003) have reported positive outcomes for companies that follow policies of promoting employees from within. Some performance appraisal studies have been carried out in the education sector covering primary and secondary schools (Odhiambo, 2006; Kelly et al., 2007). However, similar studies in the higher education contexts are rare (Morris et al., 2007), a situation attributed to several factors. First, while the practice of performance appraisal in business contexts is longstanding, its use in higher education is a more recent phenomenon and is traceable to 1960s and 1970s with the advent of two factors: Increased competition for scarce resources, and a decline in public trust in higher education institutions. Inevitably, stakeholder pressure mounted for universities to prove their worth (Alexander, 2000). Secondly, there exists widespread dissatisfaction with performance appraisal schemes in business contexts (Fletcher, 2001) from which it originates. Thirdly, quality management gurus have long frowned upon performance appraisal as incompatible with teamwork that is the bedrock of continuous improvement initiatives (Demmings, 1986). This lacuna notwithstanding, some scholars have focused on higher education.

In seminal study, Simmons and Iles (2001) and Simmons (2002) utilised the stakeholder or "expert witness" perspective to investigate perspectives of academic staff working in higher education and further education institutions in the United Kingdom. Among the objectives of the study was to identify academic performance criteria and to determine whether both the appraisers and appraisees viewed performance appraisal interview as a motivational experience and if results of performance appraisal should be linked directly with pay. One third of the appraisees believed that performance appraisal increased clarity of job objectives and enhanced a better understanding of the organisation's objectives while half of the respondents viewed the process as identifying strengths and development points and believed that development needs would be actioned as appraisal outcomes. The minority also thought that the outcome of the apprasial interview influence the salary progression. Significantly only one-fifth felt motivated to improve their job performance as a result of the appraisal interview. Not surprisingly, most of the respondents predictably disagreed that the pay of academic staff should be linked directly to an assesment of their performance. A limitation of the study was reliance on respondents from two business schools, who may not be representative of the entire population of academic staff from diverse disciplines. Moreover, there was no explicit focus on training and promotion decisions. The present study will survey academic staff from diverse disciplines and focus on training and promotion decisions.

Morris (2005) in a single university case setting in Australia examined the nature of performance appraisals and their usage. The findings were that performance appraisals were neither used for determining individual forms of remuneration amongst academic staff nor used to determine who should be promoted. Furthermore, peformance appraisals were not employed in the determination of training needs. Training programmes for academic staff were mostly on computer skills, with no direct link to pay or promotions. It was, however, reported that academics receive performance feedback from the appraisal process. The single case study setting is a limitation to the generalizeability of findings. By adopting a survey design, the present study seeks to achieve a wider generalizeability. Okafor (2005) in a study of Nigeria universities, found that performance appraisal was used for administrative purposes covering promotion,

dismissal and organizational planning. It was also used for developmental purposes of motivational, self-appraisal, identification of training needs, and participative goal setting. The researchers reported that every university lecturer in Nigeria received feedback by means of a written appraisal annually, which also served to justify personnel decision such as promotion. In addition, further scrutiny was done by the appointment and promotions committee which also reviewed performance appraisal decisions relating to termination or sanctions. It was also reported that the performance appraisal was undertaken as an event rather than as a process and that appointments and promotions were accorded greater attention than the need for individual improvement. The study, however, lacked a clear delineation of variables. The present study seeks to redress this shortcomimng by clearly articulating the study variables.

In another study focusing on higher education in Australia, Morris *et al.,* (2007) explored the performance appraisal as a tool for development of performance management by examining the Enterprise Bargaining Agreements (EBAs) for 36 Australian universities. The findings were that less than one-half of the universities used performance appraisal for promotion and while one-third used them for rewards. The majority agreed that performance appraisal provided feedback on level of skill development. An important finding was that, though most universities appeared to have a developmental orientation to performance appraisal, the most popular usage was to manage diminished or unsatisfactory performance. Failure to clearly identify the specific performance appraisal criteria in use and the study respondents constitute limitations of the study. Another limitation was that it was restricted to examining the priorities of universities in regard to performance appraisal system as articulated in agreement. The present study both identifies specific performance appraisal criteria and focuses on academic staff to investigate their attitude towards performance appraisal.

Focusing on lecturers in 12 leading Pakistani universities, Shahzad *et al.,* (2008) examined the relationship between human resource management practices of compensation, promotion and performance evaluation and perceived employee performance. The results of the study showed that promotion practices were significantly

corelated with lecturer performance. It was also reported that besides the financial benefit, promotion offered lecturers greater status, power and opportunities for professional development. It was, however, found that performance evaluations practices were not significantly correlated with perceived employee performance. The reachers did not focus exclusively on public universities and excluded training decisions. The present research is exclusively focused on public universities and seeks to study both promotion and training decisions and their relationship to performance appraisal.

Turk (2008) used document analysis and questionnaire to examine the role of performance appraisal in motivation and compensation of academic staff at two faculties in University of Tartu. Though it was found that most respondents were in agreement regarding the need to appraise the lecturers, the findings about awareness of performance appraisal criteria were, however, mixed. Half the respondents were critical regarding whether the performance appraisal system was comprehensive and practical. Overally, the study concluded that performance appraisal and compensation system can be used in directing and motivating academic staff to align them with the aims and facilities of subdivisions. There were inherent limitations in the study. First, the sample was rather small while focusing on only two faculties. The contrasting results between faculties limited the generalizability of the findings. The present study seeks to redress this by cross-sectional survey of all faculties of public universities in Kenya.

Akinyele (2010) employed a cross-sectional survey to evaluate the purpose of performance appraisal in private universities and identify factors determining effective performance appraisal at a privately-owned university in Nigeria. The study targeted all the employees, both academic and non-academic. It was found that most respondents agreed that the purposes of the performance appraisal system were: Use in training needs assessment, review of employee service contracts and determination of promotion criteria. On average, the employees viewed the purpose of performance appraisal system as a formality without any important objectives. Whereas the majority of the respondents were aware of the performance appraisal system used, they were, however, not aware of the objectives of the system, suggesting ignorance on the part of the employees regarding the major purposes of performance appraisal. A major limitation of the study was that it

did not focus on academic staff. Further, the study was based on a single private university, thus, limiting the generalizeability of the results to public universities. Again in contrast, the present study will focus on academic staff in public universities using a cross-sectional survey.

Rasheed *et al.,* (2011) in a single case study of a public university explored performance appraisal systems aspects used in higher educational institutions in Pakistan to determine how they could help improve performance of lecturers. Findings were that performance appraisal was conducted mainly for administrative purpose, focusing only on salary increases and promotions. There were divergent views about the role of performance appraisal between the faculty and chairmen of departments, with the latter insisting that the system also focused on counseling and training while the former disagreed. Not surprisingly, the study reported decreased motivation for the performance appraisal process. The study did not clearly delineate the dimensions of the variables and also omitted training decisions. This present study clearly discloses the variable dimensions and focuses on both training and promotion decisions.

Flaniken and Citron (2011) surveyed 108 colleges and universities to determine the extent to which the colleges and universities that were members of the Council for Christian Colleges and Universities (CCCU) in the United States were using performance appraisal for their staff positions. The results showed that most institutions used performance appraisals both to review past performance and to improve the effectiveness of the employees. In addition, majority indicated that they used a manual system based on either a word-processing program or a paper system, while most responded that performance appraisals were administered once a year. A limitation of the research was the lack of focus on specific attributes of performance appraisal practices, particularly training and promotion decisions. The present study seeks to remedy this limitation by focusing on the omitted variables in a public university setting.

2.3 Conceptual Framework

Performance appraisal outcomes constitute the basis of decisions on compensation, promotion, training and succession planning. It would follow that employees would be concerned with the fairness of the process by which performance appraisal is conducted

(Erdogan, 2002). These suggest that, in a higher education setting, outcomes of performance appraisal schemes are inextricably linked to employee perceptions regarding fairness of appraisal system, clarity of appraisal criteria, controllability of appraisal criteria, lecturer participation in developing the appraisal system, appraiser-appraisee relationship and the credibility of appraiser. These determinants, constituting vital dimensions of performance appraisal sytems, comprise the dimensions of the independent variable of the study. The real challenge, however, is for organizations to evaluate whether their performance appraisal system are accomplishing their desired outcomes or dependent variable. Such a desired outcome or dependent variable is the outcome of performance appraisal on training and promotion decisions. Training promotes employees' affective commitment towards the organisation (Chambel and Sobral, 2011). Armstrong (2000) emphasized that providing sufficient feedback to the staff concerning outcome of performance appraisal is important for credibility of system. Evidence of such credibility will be the existence of a viable training policy that leads to training opportunities. Similarly, credibility will be enhanced if there exists a promotion policy and promotion opportunities for staff promoted. The foregoing plausible conceptual propositions are depicted in Figure 2.1 below:

PERFORMANCE APPRAISAL SYSTEMS
- Purposes of appraisal
- Fairness of appraisal system
- Clarity of appraisal criteria
- Controllability of appraisal criteria
- Lecturer participation in developing the appraisal system
- Appraiser-appraisee relationship
- Credibility of appraiser

Performance Appraisal Output

TRAINING DECISIONS
- Training policy
- Training opportunities
- Number of staff trained

PROMOTION DECISIONS
- Promotion policy
- Promotion opportunities
- Number of staff promoted

Independent Variable   Dependent Variable

Figure 2.1: Conceptual Framework: Relationship between Performance Appraisal and Training and Promotion Decisions
Source: Adapted (Simmons, 2002; Kelly *et al.,* 2007; Turk, 2008)

CHAPTER THREE
RESEARCH METHODOLOGY

3.1 Research Design

The study adopted a cross sectional survey design, considered appropriate because the study was correlational and analytical in approach. The overall objective of the study was to examine perceptions of academic staff regarding application of performance appraisal results in training and promotion decisions in public universities in Kenya. Specifically, the study sought to: Establish the purpose of performance appraissal systems, establish the training decisions, establish the promotion decisions and, determine the relationship between the purposes of performance appraisal systems and their application to training and promotion.

The positivist paradigm to scientific inquiry, whose major tenet is formulation and testing of hypothesis, is adopted for this study. This was to test whether there existed relationship between formative performance appraisal purposes and training decisions in public universities and whether there was a relationship between summative performance appraisal purposes and promotion decisions in the public universities.

3.2 Population

The unit of analysis in this study was the academic staff. The target population included all the academic staff (4,627) and heads of human resource departments (7) of the public universities. This gives a total population of 4,634 (Individual University's Almanac/Calendar).

3.3 Sample

A critical consideration in sample selection is the need to enhance validity of the collected data (Carmines and Zeller, 1988). Because of the heterogenous nature of the population, stratified random sampling technique was employed. The stratification was first done in terms of the universities and secondly on the category of employees. Sample

size drawn from the study population (4,627) was computed using the formula by Krejcie and Morgan (1970). The formula is given as:

$$n = \frac{X^2 * N * P * (1-P)}{(ME^2 * (N-1)) + (X^2 * P * (1-P))}$$

where:

n= Sample size

X^2 = Chi-square for the specified confidence level at 1 degree of freedom

N = Population size

P = Population proportion (normaly taken as 0.50)

ME = Desired margin of error (expressed as a proportion)

The desired sample size (n) from the academic staff will be computed as shown below:

$$n = \frac{(1.96)^2 * 4627 * 0.5 * (1-0.5)}{((0.04)^2 * (4627-1)) + ((1.96)^2 * 0.5(1-0.5))} = 531.4244 \approx 531$$

Corbetta (2003) posits that such a sample size is adequate for finite population based on 95% level of confidence and 4% margin of error. According to Saunders *et al.,* (2007), for most businesses and management researches, a margin of error of 3% to 5% is sufficient to estimate the population characteristics.

In addition, seven (7) heads of human resource departments were purposively selected. This gave a total sample size of 538 comprising Lecturers/Assistant Lecturers (359), Senior Lecturers (98), Professors/Associate Professors (74) and human resource heads (7). Sample size in each category of the respondents was then determined using proportions based on the population within the sub-groups. Apart from the heads of human resource departments, individual respondents from the remaining sub-goups of the academic staff were selected using simple random sampling technique. The Sample Frame is shown in **Appendix 4**.

3.4   Data Collection

Primary data was collected on the university's performance appraisal practices. This data was obtained using a self-administered questionnaire to academic staff. Part 1 of the questionnaire focused on the respondent and the university's characteristics, whereas Part

II dealt with performance appraisal practices. Part III concentrated on training and promotion decisions. All questions, with the exception of demographic data were on a five-point Likert-type scale. The questionnaire is included as **Appendix 2**. Reliability of the research was further enhanced through in-depth interviews conducted with human resource administrators normally involved in the performance appraisal process. The interview schedule is included as **Appendix 3**. Secondary data regarding existing performance appraisal policy and guidelines were collected from the university records and published reports. The letter of introduction on the study is shown as **Appendix 1.**

3.5 Reliability and Validity

Content validity of the instruments was determined by the experts' and peers' advice whereas face validity was determined by administering the questionnaires to 3 respondents in each stratum from one public university. Construct validity was improved through thorough review of literature to ensure that measurement items conformed to the theoretical assertions of the concept under study.

3.6   Data Analysis

The data was analyzed using descriptive statistics to establish the purpose of performance appraissal systems and extent of their use in training and promotion decisions in public universities. Correlation and regression analysis was utilised to examine the relationship between academic staff perceptions on purposes of performance appraisal systems and training and promotion decisions. The significance level was set at 95 percent confidence interval. Significance of test results is reported in Chapter 4 in the three-tier dimensions suggested by Coolican (1990). Accordingly, results of probability level $0.05 > p < 0.01$ are significant; $0.01 > p < 0.001$ are highly significant, and $0.001 > p$ are very highly significant. Additionally, Cohen (1988) guidelines were used to assess the effect size: Small size effect, $d = 0.20$ or $r = 0.10$; medium size effect, $d = 0.50$ or $r = 0.30$ and large-size effect, $d = 0.80$ or $r = 0.50$.

Qualitative data from interview were summarized by content analysis. The study findings were presented using tables, charts and graphs.

CHAPTER FOUR
DATA ANALYSIS, RESULTS AND DISCUSSION

4.1 Introduction

This chapter presents the results of the analyses carried out on the variables discussed in the foregoing chapters. The first section presents descriptive data on the respondents and the characteristics of performance appraisal purposes, training decisions and promotion decisions.

4.2 Characteristics of Public Universities

Out of the 531 expected respondents, 276 questionnaires were completed, representing a response rate of 52.0%. The study targeted 7 heads of human resource management units and interviewed 3 (42.9%). A summary of the academic staff respondents who participated in the cross-sectional survey is presented in Table 4.1. The category of respondents that had the highest response rate was Professors (65.6%) who were followed closely by Associate Professors (65.3%) and Senior Lecturers (60.2%). Lecturers and Assistant Lecturers/Tutorial Fellows were 47.0% and 47.1% respectively.

Table 4.1: Response rate by academic staff

	Total Respondents	Expected Respondents	Response Rate Percent
Professor	21	32	65.6
Associate Professor	27	42	65.3
Senior Lecturer	59	98	60.2
Lecturer	103	219	47.0
Assistant Lecturer	66	140	47.1
Total	276	531	52.0

Source: Survey data (2011)

A profile of the responding academic staff is shown Table 4.2. Most of the responding academic staff (55.5%) had worked for less than 11 years in their present universities, while 30 had worked for sixteen (16) or more years. Out of the total respondents 7.6 % were Professors, 9.8% Associate Professors, 21.4% Senior Lecturers, 37.3% Lecturers while 23.9% were Assistant Lecturers.

Table 4.2: Tenure of academic staff in present university

	Less than5 years	6-10 years	11-15 years	16- 20 years	>21 years	**Total**	**Percent**
Professor	4	3	3	3	8	21	7.6
Associate Professor	4	4	3	8	8	27	9.8
Senior Lecturer	8	14	8	17	12	59	21.4
Lecturer	24	36	21	16	6	103	37.3
Assistant Lecturer	43	13	5	3	2	66	23.9
Total	83	70	40	47	36	276	100
Percent	30.1	25.4	14.5	17.0	13.0	100	

Source: Survey data (2011)

In contrast to Table 4.2 which indicates the tenure of academic staff in the present university, Table 4.3 and Figure 4.1 summarize the duration of service of academic staff in a university. Majority of the responding academic staff (79.7 %) had served in the university for at least 6 years.

Table 4.3: Duration of service by academic staff in the university

	Less than5 years	6-10 years	11-15 years	16- 20 years	>21 years	**Total**	**Percent**
Professor		1	1	5	14	21	7.6
Associate Professor	1	1	4	7	14	27	9.8
Senior Lecturer	5	10	8	22	14	59	21.4
Lecturer	12	35	27	16	13	103	37.3
Assistant Lecturer	38	18	5	3	2	66	23.9
Total	56	65	45	53	57	276	100
Percent	20.3	23.6	16.3	19.2	20.7	100	

Source: Survey data (2011)
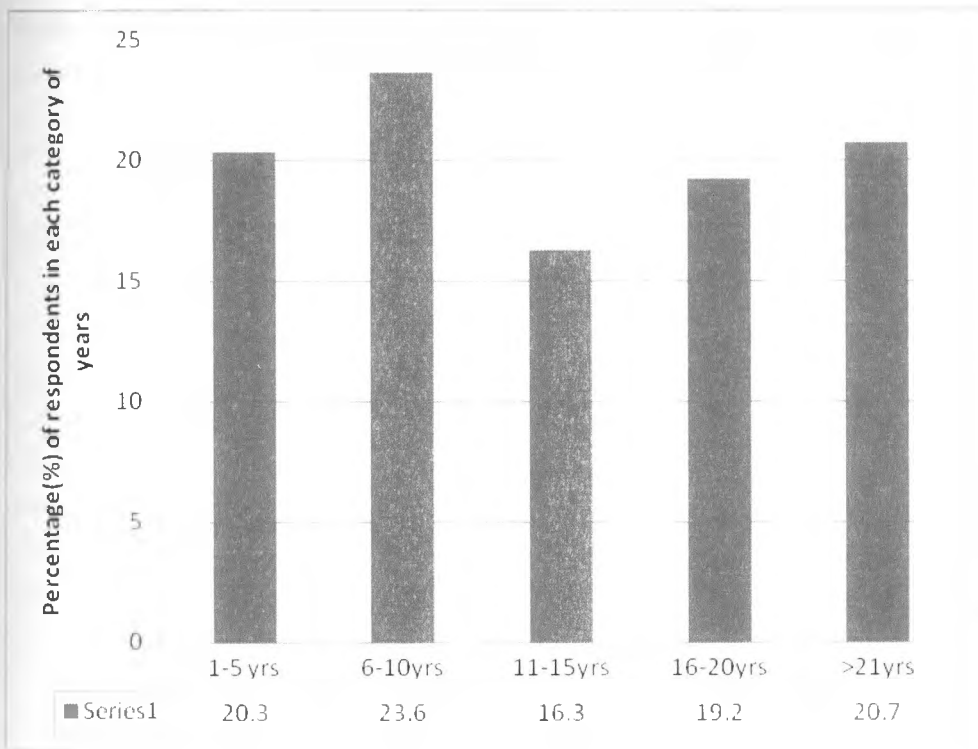
Figure 4.1: Proportion of Respondents in Various Years of Service in the University
Source: Survey data (2011)

Table 4.4 shows that most of the academic staff who responded (60.9 %) had no administrative roles in the public universities. The findings further indicate that 2.2% of those with responsibilities were Division Administrators; Human Resource Administrators (1.0%), 5.1% were Deans of Faculties or Directors of Schools, Chairmen of Departments (13.4%), while Programme Coordinators were 17.4%.

Table 4.4: Administrative role of academic staff by title

	Division Admin	HRM Admin	Dean of Faculty/Director of school	Chairman of Dept	Programme coordinator	No Administrative role	**Total**
Professor		1	5	2	0	13	21
Associate Professor	2	1	5	5	7	7	27
Senior Lecturer	1	1	4	17	8	28	59
Lecturer	1			11	23	68	103
Assistant Lecturer	2			2	10	52	66
Total	6	3	14	37	48	168	276
Percent	2.2	1.0	5.1	13.4	17.4	60.9	100

Source: Survey data (2011)

Table 4.5 shows that most of the respondents were male (72.1%) while their female counterparts were 27.9%. Lecturers were the highest respondents in each category followed by Assistant Lecturers and Senior Lecturers respectively.

Table 4.5: Gender of respondents

	Female	Male	**Total**
Professor	1	20	21
Associate Professor	5	22	27
Senior Lecturer	8	51	59
Lecturer	37	66	103
Assistant Lecturer	26	40	66
Total	77	199	276
Percent	27.9	72.1	100

Source: Survey data (2011)

Table 4.6 shows that 28.3% of the respondents were over 51 years old, 18.5% had ages ranging between 46-50 years, 23.2 % between 41-45 years, 18.1% between 36-40 years, 9.4% between 31-35 years, 1.8% between 26-30 years and only a small 0.7% were below 25 years. The majority of the respondents (70.0 %) were aged over 41.

Table 4.6: Age of respondents

	> 51 Years	46- 50 Years	41-45 Years	36- 40 Years	31-35 Years	26-30 Years	25 Years and below	Total
Professor	16	3	1			1		21
Associate Professor	16	5	5	1				27
Senior Lecturer	21	14	11	11	1		1	59
Lecturer	21	21	32	18	9	2		103
Assistant Lecturer	4	8	15	20	16	2	1	66
Total	78	51	64	50	26	5	2	276
Percent	28.3	18.5	23.2	18.1	9.4	1.8	0.7	100

Source: Survey data (2011)

Table 4.7 and Figure 4.2 summarize the highest qualifications held by the academic staff. The table indicates that only 8.3 % of the respondents had post doctoral training, 47.1% had PhD while 44.6% had master degrees.

Table 4.7: Highest qualifications held by academic staff

	Post Doctoral	Doctor of Philosophy	Masters Degree	Total
Professor	7	13	1	21
Associate Professor	4	22	1	27
Senior Lecturer	8	42	9	59
Lecturer	4	52	47	103
Assistant Lecturer		1	65	66
Total	23	130	123	276
Percent	8.3%	47.1%	44.6%	100

Source: Survey data (2011)
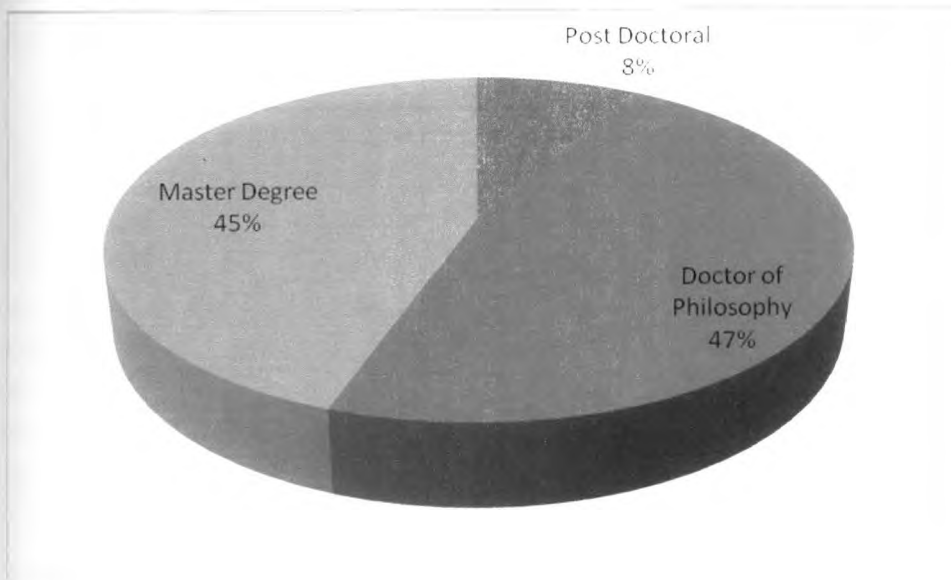
Figure 4.2: Highest Academic Qualifications of the Respondents
Source: Survey data (2011)

4.3 Application of Performance Appraisal Results in Public Universities

This involved establishing: frequency of performance appraisal, whether the university applies some form of staff performance evaluation, purposes of performance appraisal, whether an appraisal interview is undertaken, disclosure of the annual evaluation report, obstacles of the performance appraisal system, fairness and clarity of appraisal system, controllability of appraisal criteria, lecturer participation in developing appraisal system, appraiser-appraisee relationship. and appraiser credibility. This section presents the results.

4.3.1 Frequency of Performance Appraisal

Majority of the staff (73.2 %) reported that performance appraisal was carried out annually, 12.0% stated that the exercise took place twice a year while some claimed it took place monthly (2.2 %) and others (13.4 %) indicated other frequencies.

Table 4.8: Frequency of performance appraisal

	Yearly	Twice a year	Monthly	Other	Total
Professor	16	1	2	2	21
Associate Professor	23	1		3	27
Senior Lecturer	50	3	1	5	59
Lecturer	71	15	2	15	103
Assistant Lecturer	42	11	1	12	66
Total	202	31	6	37	276
Percent	73.2	11.2	2.2	13.4	100

Source: Survey data (2011)

Table 4.9 shows the results when the academic staff were asked their opinion regarding the frequency of performance appraisal at their universities of work. Most (60.9%) of the staff preferred to retain the annual mode of performance appraisal while 30.1% thought the exercise should take place twice a year. A negligible proportion (2.5%) indicated preference for monthly appraisal.

Table 4.9: Academic staff opinion on frequency of performance appraisal

	Yearly	Twice a year	Monthly	Other	Total
Professor	15	5		1	21
Associate Professor	16	7	2	2	27
Senior Lecturer	42	14		3	59
Lecturer	64	30	3	6	103
Assistant Lecturer	31	27	2	6	66
Total	168	83	7	18	276
Percent	60.9	30.1	2.5	8.5	100

Source: Survey data (2011)

4.3.2 University Applies Some Form of Staff Performance Evaluation

Table 4.10 presents the results of academic staff response as to whether the university applies some form of performance appraisal. Most of the staff (78.3%) were in agreement that the public universities applied some form of performance appraisal. Equal proportion (4.3%) either disagreed or strongly disagreed on the application of some form of staff performance

evaluation. It can be deduced that the universities to some extent conducted some form of staff performance evaluation.

Table 4.10: University applied some form of staff performance evaluation

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor	1		3	8	9	21
Associate Professor			4	14	9	27
Senior Lecturer		2	8	36	13	59
Lecturer	7	7	11	53	25	103
Assistant Lecturer	4	3	10	38	11	66
Total	12	12	36	149		276
Percent	4.3	4.3	13.0	54.0	24.3	100.0

Source: Survey data (2011)

4.3.3 Purposes of Performance Appraisal

Table 4.11 reports the respondents perceptions on whether performance appraisal identified the professional training and developmental needs of staff. The table shows that 62.3% of the respondents believed that performance appraisal was meant to identify professional training and development needs of staff. Out of the 62.3%, 41.3% agreed while 21.0% strongly agreed. However, 26.1% disagreed with the observation that performance appraisal was meant to identify professional training and development needs of staff whereas 17.4% disagreed while 8.7% strongly disagreed.

Table 4.11: Performance appraisal identified the professional training and developmental needs

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor	3	3	3	7	5	21
Associate Professor	1	3	3	15	5	27
Senior Lecturer	5	12	6	25	11	59
Lecturer	13	22	12	37	19	103
Assistant Lecturer	2	8	8	30	18	66
Total	24	48	32	114	58	276
Percent	8.7	17.4	11.6	41.3	21.0	100.0

Source: Survey data (2011)

Table 4.12 reports the perceptions of academic staff on whether performance appraisal was used to provide management with information on performance. It shows that 77.6% of the respondents asserted that performance appraisal was meant to give the university management information about staff performance. From the 77.6%, 58% agreed while 19.6% strongly agreed. However, 10.1% disagreed with the observation. The 10.1% included 1.4% who disagreed and 8.7% who strongly disagreed. A few respondents (12.3%) neither agreed nor disagreed with the observation.

Table 4.12: Performance appraisal provided management with performance information

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor			4	11	6	21
Associate Professor		1	3	18	5	27
Senior Lecturer	1	8	3	36	11	59
Lecturer	3	12	11	57	20	103
Assistant Lecturer	0	3	13	38	12	66
Total	4	24	34	160	54	276
Percent	1.4%	8.7%	12.3	58.0	19.6	100.0

Source: Survey data (2011)

Table 4.13 reports whether performance appraisal system gave the staff evaluative information about their own performance. The results show that 63.0% of the respondents observed that performance appraisal gave the staff evaluative information about their own performance. The 63.0% included 44.7% who agreed and 18.3% who strongly agreed. On the other hand, 21.6% disagreed with the observation whereas 14.3% disagreed and 7.3% strongly disagreed. A few respondents (15.4%) neither agreed nor disagreed with the assertion.

Table 4.13: Performance appraisal provided lecturer with self performance information

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor	2	2	5	8	4	21
Associate Professor		1	6	15	5	27
Senior Lecturer	3	7	5	34	9	58
Lecturer	10	20	15	40	17	102
Assistant Lecturer	5	9	11	25	15	65
Total	20	39	42	122	50	273
Percent	7.3	14.3	15.4	44.7	18.3	100.0

Source: Survey data (2011)

Table 4.14 shows the respondents' views as to whether the performance appraisal system held the staff accountable for their performance. It is noted that 59.3% of the respondents viewed performance appraisal as a device that held staff accountable for their performance. The 59.3% included 42.1% who agreed and 17.2% who strongly agreed. Similarly, 24.2% disagreed with the observation whereas 17.2% disagreed and 7.0% strongly disagreed. Some respondents (16.5%) neither agreed nor disagreed with that view.

Table 4.14: Performance appraisal held lecturer accountable

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor	1		7	10	3	21
Associate Professor	2	7	6	9	3	27
Senior Lecturer	4	12	3	30	9	58
Lecturer	10	16	17	40	19	103
Assistant Lecturer	2	12	12	26	13	65
Total	19	47	45	115	47	273
Percent	7.0	17.2	16.5	42.1	17.2	100.0

Source: Survey data (2011)

Table 4.15 presents academic staff perceptions as to whether the performance appraisal systems sought to identify staff suitability for promotion. The results show that most (28.8%) of the respondents agreed that performance appraisal was meant to identify staff for promotion while 9.6% strongly agreed. This implies that only a total of 38.4% conceded that the appraisals were meant to identify lecturers for promotion. However, (42.4%) disagreed with the observation as 15.5% strongly disagreed while 26.6% disagreed. A sizable proportion (19.2%) neither agreed nor disagreed.

Table 4.15: Performance appraisal identified lecturers for promotion

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor	3	4	5	7	2	21
Associate Professor	3	8	10	5	3	27
Senior Lecturer	8	14	7	24	5	58
Lecturer	18	29	22	22	10	101
Assistant Lecturer	10	20	8	20	6	64
Total	42	73	52	78	26	271
Percent	15.5	26.9	19.2	28.8	9.6	100.0

Source: Survey data (2011)

Regarding whether performance appraisal gathered information for dismissal decisions, Table 4.16 indicates that most of the respondents (49.1%) disagreed with the assertion that performance appraisal was meant to gather information for dismissal decision. 29.4% was, however, undecided. Some respondents (3.8%) on the other hand had a strong view that appraisals were used as conduits through which information was gathered to dismiss employees while 17.7% also agreed. It can therefore be noted that generally, performance appraisal was not used to obtain information for dismissal purposes.

Table 4.16: Performance appraisal gathered information for dismissal decisions

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor	5	8	7	0	1	21
Associate Professor	5	6	13	1	2	27
Senior Lecturer	9	17	13	16	1	59
Lecturer	21	28	27	19	4	103
Assistant Lecturer	13	18	18	11	2	66
Total	53	77	78	47	10	276
Percent	20.0	29.1	29.4	17.7	3.8	100.0

Source: Survey data (2011)

Table 4.17 shows the perceptions of academic staff on whether performance appraisal provided lecturers with feedback for improvement. The results indicate that 41.4% of the respondents agreed or viewed performance appraisal as a means through which subordinates received feedback for improving their performance while 7.7% strongly agreed with the same. About 21.8% neither agreed nor disagreed with this view. 18.4% disagreed while 10.7% strongly disagreed.

Table 4.17: Performance appraisal provided feedback for improvement

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor	3	2	8	5	3	21
Associate Professor	1	4	6	13	2	26
Senior Lecturer	2	11	13	24	5	59
Lecturer	16	18	16	42	4	96
Assistant Lecturer	5	13	14	24	6	62
Total	28	48	57	108	20	261
Percent	10.7	18.4	21.8	41.4	7.7	100.0

Source: Survey data (2011)

Regarding whether performance appraisal provided information for promotion and salary increments, Table 4.18 reveals that a significant proportion (46.4%), were in disagreement, with 27.5% disagreeing while 18.9% of respondents strongly disagreeing. Respondents who expressed ambivalence were 18.9%. A modest proportion (34.7%), were in agreement with 6.0% of these in strong agreement.

Table 4.18: Performance appraisal provided information for promotion and salary increment

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor	5	2	8	5	1	21
Associate Professor	4	8	4	7	2	25
Senior Lecturer	12	13	12	19	2	58
Lecturer	18	32	18	25	6	99
Assistant Lecturer	11	18	8	20	5	62
Total	50	73	50	76	16	265
Percent	18.9	27.5	18.9	28.7	6.0	100.0

Source: Survey data (2011)

Table 4.19 summarizes academic staff preferences regarding their views of the purposes of performance appraisal. Such purposes were broadly deemed to be formative or developmental and summative or managerialist. The table depicts the formative or developmental purposes at an average of 3.35 whilst the summative or managerialist purposes feature an average of 3.20. This suggests that the academic staff perceived performance appraisal systems as used more for formative or developmental purposes than for summative or managerialist intentions.

Table 4.19: Summary of the purposes of performance appraisal

Purposes of performance appraisal	Average	Overall purpose
Formative/Developmental		
Performance Appraisal meant to identify professional training and development needs of lecturers	3.5	Formative/Developmental
Performance Appraisal provides feedback to help subordinates improve performance	3.2	Formative/Developmental
Average	**3.35**	
Summative/Managerialist		
Performance Appraisal meant to give the university management information about lecturer's performance	3.9	Summative/Managerialist
Performance Appraisal gives the lecturer evaluative information about their own performance	3.5	Summative/Managerialist
Performance Appraisal holds lecturers accountable for their performance	3.5	Summative/Managerialist
Performance Appraisal identifies lecturers for promotion	2.9	Summative/Managerialist
Performance Appraisal gathers information for dismissal decisions	2.6	Summative/Managerialist
Performance Appraisal provides information for promotion and salary increments	2.8	Summative/Managerialist
Average	**3.20**	

Source: Survey data (2011)

4.3.4   Performance Appraisal Interview

According to Table 4.20, 48.2% disagreed that the appraisal interview discussed appraisee weaknesses, 21.4 % were undecided whilst 30.4 % were in agreement.

Table 4.20: Performance appraisal interview discussed subordinate weaknesess

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor	6	4	6	3	1	20
Associate Professor	2	7	6	9	1	25
Senior Lecturer	12	18	11	14	1	56
Lecturer	28	16	21	25	4	94
Assistant Lecturer	14	17	11	16	4	62
Total	62	62	55	67	11	257
Percent	24.1	24.1	21.4	26.1	4.3	100.0

Source: Survey data (2011)

Table 4.21 reveals that 31.4 % of the respondents were not in agreement with the view that the performance appraisal interview addressed appraisee's future goals, while 23.5% were unsure, 45.1% thought that the future goals were addressed.

Table 4.21: Performance appraisal interview focused on subordinates future goals

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor	6	4	3	6		19
Associate Professor	1	5	8	10	1	25
Senior Lecturer	7	10	13	25	2	57
Lecturer	16	8	26	33	10	93
Assistant Lecturer	11	12	10	24	4	61
Total	41	39	60	98	17	255
Percent	16.1	15.3	23.5	38.4	6.7	100.0

Source: Survey data (2011)

Table 4.22 shows that 34.7 % of the respondents did not view the performance interview as focusing on specific career development goals, 38.9% were of the opposite view, while 26.5 % were unsure.

36

Table 4.22: Performance appraisal interview focused on specific career development goals

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor	6	3	6	3	1	19
Associate Professor	1	5	11	6	2	25
Senior Lecturer	8	10	15	18	5	58
Lecturer	16	21	24	29	6	96
Assistant Lecturer	10	9	12	25	5	61
Total	41	48	68	81	19	257
Percent	16.0	18.7	26.5	31.5	7.4	100.0

Source: Survey data (2011)

As indicated in Table 4.23, 42.6% of the academic staff viewed the performance appraissal interview as focusing on how to improve performance, 23.4% were indifferent while 34% did not agree.

Table 4.23: Performance appraisal interview focused on ways to improve performance

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor	4	2	6	4	3	19
Associate Professor	1	4	8	10	2	25
Senior Lecturer	8	11	13	23	2	57
Lecturer	19	19	20	30	7	95
Assistant Lecturer	9	10	13	20	8	60
Total	41	46	60	87	22	258
Percent	16.0	18.0	23.4	34.0	8.6	100.0

Source: Survey data (2011)

Table 4.24 shows 33.4% of the respondents believed that past strength of the appraisee did not matter in the interview, 42.1% thought it mattered while 26.5% were unsure.

Table 4.24: Performance appraisal interview focused on strength of subordinate past performance

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor	3	4	7	4	2	20
Associate Professor	1	4	10	6	3	24
Senior Lecturer	9	9	12	22	5	57
Lecturer	18	11	25	29	7	90
Assistant Lecturer	10	9	12	22	5	58
Total	41	37	66	83	22	249
Percent	18.5	14.9	26.5	33.3	8.8	100.0

Source: Survey data (2011)

Table 4.25 reveals that the majority of academic staff (60.0%) did not view past performance reports as available to the appraisee while 26.8% agreed that the reports were accessible. A small proportion of 13.4% were undecided.

Table 4.25: Subordinate had access to performance appraisal report

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor	9	4	2	4	2	21
Associate Professor	5	5	3	5	7	25
Senior Lecturer	11	24	7	12	5	59
Lecturer	32	31	16	12	6	97
Assistant Lecturer	21	15	7	11	6	60
Total	78	79	35	44	26	262
Percent	29.8	30.2	13.4	16.9	9.9	100.0

Source: Survey data (2011)

4.3.5　Obstacles to Performance Appraisal

Turning to the issue of impediments to the exercise of performance appraisal, Table 4.26 shows that opinion was almost evenly divided as to whether the process was influenced by personal relationships. Whilst 39.0% did not think this was so, 37.5% were in the affirmative. Another 23.5% were undecided.

Table 4.26: Performance apprisal largely influenced by personal relationships

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor	3	6	5	3	4	21
Associate Professor	2	4	7	7	6	26
Senior Lecturer	9	12	18	12	6	59
Lecturer	11	28	17	25	16	97
Assistant Lecturer	12	16	15	12	8	63
Total	37	66	62	59	40	264
Percent	14.0	25.0	23.5	22.3	15.2	100.0

Source: Survey data (2011)

A related issue as seen in Table 4.27 was that 26.4 % of the respondents viewed current performance appraisal as influenced by previous report. A higher proportion (44.3%), however, did not support this view, whereas 29.4 % were undecided.

Table 4.27: Current performance apprisal influenced by previous report

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor	4	5	7	1	2	20
Associate Professor	3	10	9	3	1	26
Senior Lecturer	6	21	16	13	1	57
Lecturer	10	27	31	24	5	97
Assistant Lecturer	9	20	14	16	3	62
Total	32	84	77	57	12	262
Percent	12.2	32.1	29.4	21.8	4.6	100.0

Source: Survey data (2011)

Table 4.28 reveals that 47.5% of the academic staff were critical that the performance appraisal system was beset by unclear standards. Whereas 23.7% were undecided on this issue, 28.8% were not in agreement that unclear standards were an impediment.

Table 4.28: Performance apprisal system characterised by unclear standards

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor	1	2	10	4	4	21
Associate Professor		6	5	9	5	25
Senior Lecturer	3	14	10	19	7	53
Lecturer	8	19	22	31	18	98
Assistant Lecturer	6	15	14	19	6	60
Total	18	56	61	82	40	257
Percent	7.0	21.8	23.7	31.9	15.6	100.0

Source: Survey data (2011)

4.3.6 Fairness and Clarity of Appraisal System

Half of the respondents (50.1%) viewed the performance appraisal criteria as fair. A minority (21.3 %) held the opposite view while 28.5% were undecided.

Table 4.29: Performance apprisal criteria fair

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor	3	3	6	6	2	20
Associate Professor	1	4	6	12	3	26
Senior Lecturer	3	8	11	28	6	56
Lecturer	4	20	31	34	9	98
Assistant Lecturer	3	7	21	24	8	63
Total	14	42	75	104	28	263
Percent	5.3	16.0	28.5	39.5	10.6	100.0

Source: Survey data (2011)

According to Table 4.30, 40.8% of the academic staff viewed the performance apprisal system as transparent, 32.0% were undecided while 27.2% were not in agreement.

Table 4.30: Performance apprisal system transparent

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor	2	3	6	5	3	19
Associate Professor		4	10	7	4	25
Senior Lecturer	3	10	14	22	5	54
Lecturer	6	25	29	25	7	92
Assistant Lecturer	6	9	21	19	5	66
Total	17	51	80	78	24	250
Percent	6.8	20.4	32.0	31.2	9.6	100.0

Source: Survey data (2011)

Table 4.31 reveals that 42.3 % of the academic staff were happy with the performance appraisal outcomes. However, 31.4 % were unhappy while 26.4% were ambivalent.

Table 4.31: Performance appraisal outcome generally met subordinate expectations

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor	4	2	5	7	3	21
Associate Professor		5	9	10	2	25
Senior Lecturer	4	11	12	22	6	55
Lecturer	14	22	23	26	11	96
Assistant Lecturer	7	12	20	19	3	61
Total	29	52	68	84	25	258
Percent	11.2	20.2	26.4	32.6	9.7	100.0

Source: Survey data (2011)

According to Table 4.32, a good proportion of the respondents (45.6%) expressed understanding of the performance appraisal criteria, 32.4% expressed lack of understanding whilst 22.0% were undecided.

Table 4.32: Subordinate had good understanding of performance apprisal criteria

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor	2	1	4	9	5	21
Associate Professor	1	8	6	7	4	26
Senior Lecturer	3	7	10	31	6	57
Lecturer	11	28	24	24	9	96
Assistant Lecturer	10	13	13	17	6	59
Total	27	57	57	88	30	259
Percent	10.4	22.0	22.0	34.0	11.6	100.0

Source: Survey data (2011)

Table 4.33 reveals unequivocal results as to whether performance appraisal system incorporated student evaluation. Whereas 35.7% were in agreement, 34.5% held the opposite view while 29.8% were unsure.

Table 4.33: Performance appraisal considered results of student evaluation

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor	5		8	5	3	21
Associate Professor	1	7	11	3	3	25
Senior Lecturer	8	12	9	20	5	54
Lecturer	12	21	26	28	9	96
Assistant Lecturer	8	15	23	11	5	62
Total	34	55	77	67	25	258
Percent	13.2	21.3	29.8	26.0	9.7	100.0

Source: Survey data (2011)

4.3.7 Controllability of Appraisal Criteria

The matter of controllability of performance appraisal criteria revealed interesting results. In Table 4.34, a good proportion (47.2%) were in agreement that performance appraisal criteria were within the control of appraisees, 29.1% held the opposite view while 23.8% were undecided.

Table 4.34: Key result areas of performance appraisal within control of the subordinate

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor	3	1	7	8	2	21
Associate Professor	4	4	6	11	2	27
Senior Lecturer	3	17	15	19	3	57
Lecturer	10	19	20	37	11	97
Assistant Lecturer	7	9	15	28	4	63
Total	27	50	63	103	22	265
Percent	10.2	18.9	23.8	38.9	8.3	100.0

Source: Survey data (2011)

Table 4.35 shows majority (61.7%) disagreed that appraisees participated in developing the performance appraisal system. Only 15.5% agreed while 22.7% remained undecided.

Table 4.35: Appraisee participates in developing performance appraisal system

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor	9	4	6	1		20
Associate Professor	4	10	10	1	2	27
Senior Lecturer	15	23	10	9	1	58
Lecturer	38	29	19	7	4	97
Assistant Lecturer	14	17	15	13	3	62
Total	80	83	60	31	10	264
Percent	30.3	31.4	22.7	11.7	3.8	100.0

Source: Survey data (2011)

4.3.8 Appraiser-Appraisee Relationship

The issue of the credibility of the appraiser as seen by the appraisee revealed further interesting results. Table 4.36 indicates that 38.8% of appraisees trusted their appraisers, 32.0% were ambivalent about the relationship, while 29.3% did not consider their appraisers trustworthy.

Table 4.36: Appraisee trusted appraiser

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor	3	1	11	4	2	21
Associate Professor	3	1	9	9	4	26
Senior Lecturer	6	8	16	20	7	57
Lecturer	15	19	35	23	7	99
Assistant Lecturer	6	16	14	20	7	63
Total	33	45	85	76	27	266
Percent	12.4	16.9	32.0	28.6	10.2	100.0

Source: Survey data (2011)

In Table 4.37, 41.4% of the academic staff did not consider their appraisers as biased. Only 18.7 % thought their appraisers were baised while a high proportion (39.8%) were undecided.

Table 4.37:Appraisers were biased

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor	4	3	11	1	2	21
Associate Professor	5	7	8	4	2	26
Senior Lecturer	10	14	21	9	2	58
Lecturer	15	23	41	12	6	97
Assistant Lecturer	13	14	23	8	3	61
Total	47	61	104	34	15	261
Percent	18.0	23.4	39.8	13.0	5.7	100.0

Source: Survey data (2011)

Table 4.38 reveals that majority (52.3%) of the academic staff considered their appraisers as qualified. A minority (17.7%) held the opposite view, while 30.0% were ambivalent.

Table 4.38: Appraisers were qualified

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor	2		9	4	5	20
Associate Professor	1	3	10	10	2	26
Senior Lecturer	1	9	17	24	6	57
Lecturer	7	11	33	38	9	98
Assistant Lecturer	6	6	9	27	11	59
Total	17	29	78	103	33	260
Percent	6.5	11.2	30.0	39.6	12.7	100.0

Source: Survey data (2011)

Related to the issue of qualification to appraise was the matter of exprerince in teaching. As revealed in Table 4.39, the majority (54.6%) were in agreement that their appraisers had experience in teaching while a minority (15.0%) held the opposite view. Oddly, 30.4% could not decide on this matter.

Table 4.39: Appraisers had experience in teaching

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor	1		10	8	3	20
Associate Professor	2		10	12	2	27
Senior Lecturer	2	10	15	24	6	57
Lecturer	4	12	33	39	10	98
Assistant Lecturer	3	5	11	27	13	59
Total	12	27	79	108	34	260
Percent	4.6	10.4	30.4	41.5	13.1	100.0

Source: Survey data (2011)

Table 4.40 reveals the respondents' overall view of the fairness of the performance appraisal system. While over one third of the respondents (34.5%) were ambivalent, 41.0% agreed that the system was fair. Almost one quarter of the respondents were in disagreement about the fairness of the performance appraisal system.

Table 4.40: Overall performance apprisal system in university

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor	1	3	7	9	1	21
Associate Professor	2	3	12	4	4	25
Senior Lecturer	3	12	15	21	4	55
Lecturer	4	18	36	28	8	94
Assistant Lecturer	4	13	19	23	4	63
Total	14	49	89	85	21	258
Percent	5.4	19.0	34.5	32.9	8.1	100.0

Source: Survey data (2011)

4.4 Training Decisions

Table 4.41 shows that 47.4% of the academic staff believed that there was a written and operational training policy on this subject while one-quarter (25.0%) disagreed. Those who were undecided comprised 27.6 %.

Table 4.41: My univerisity had a written and operational training policy

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor	2	2	6	8	1	19
Associate Professor	2	4	9	9	3	27
Senior Lecturer	5	7	18	19	9	58
Lecturer	10	20	25	36	10	101
Assistant Lecturer	9	6	16	26	6	63
Total	28	39	74	98	29	268
Percent	10.4	14.6	27.6	36.6	10.8	100.0

Source: Survey data (2011)

As shown in Table 4.42, 46.1% were in agreement that their university offered funding support for academic staff attending training. The proportion of those who disagreed was 21.6% while 22.3% were ambivalent.

Table 4.42: My univerisity gave funding support to academic staff for training

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor	3	4	6	7		20
Associate Professor	4	5	10	5	3	27
Senior Lecturer	6	12	12	23	5	58
Lecturer	13	26	17	37	8	103
Assistant Lecturer	6	6	15	26	10	63
Total	32	53	60	98	26	269
Percent	11.9	19.7	22.3	36.4	9.7	100.0

Source: Survey data (2011)

According to Table 4.43, only a dismal 17.9% thought that their univerisity consistently applied performance appraisal outcomes in training policy. A further 40.3% were undecided on the issue while 41.8% disagreed.

Table 4.43: My univerisity consistently applied performance appraisal outcomes in training policy

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor	2	5	10	3		20
Associate Professor	1	8	11	7		27
Senior Lecturer	7	18	21	10	2	59
Lecturer	22	26	41	11		100
Assistant Lecturer	6	17	25	12	3	63
Total	38	74	108	43	5	276
Percent	14.2	27.6	40.3	16.0	1.9	100.0

Source: Survey data (2011)

Table 4.44 shows that 61.3% of staff had at least attended some training within a period of five years while 38.7% had not. The same results are shown in the Figure 4.4

Table 4.44: I have attended some training within the last five years

	Yes	No	Total
Professor	10	10	20
Associate Professor	18	6	24
Senior Lecturer	36	19	55
Lecturer	53	33	86
Assistant Lecturer	32	26	58
Total	149	94	243
Percent	61.3	38.7	100

Source: Survey data (2011)
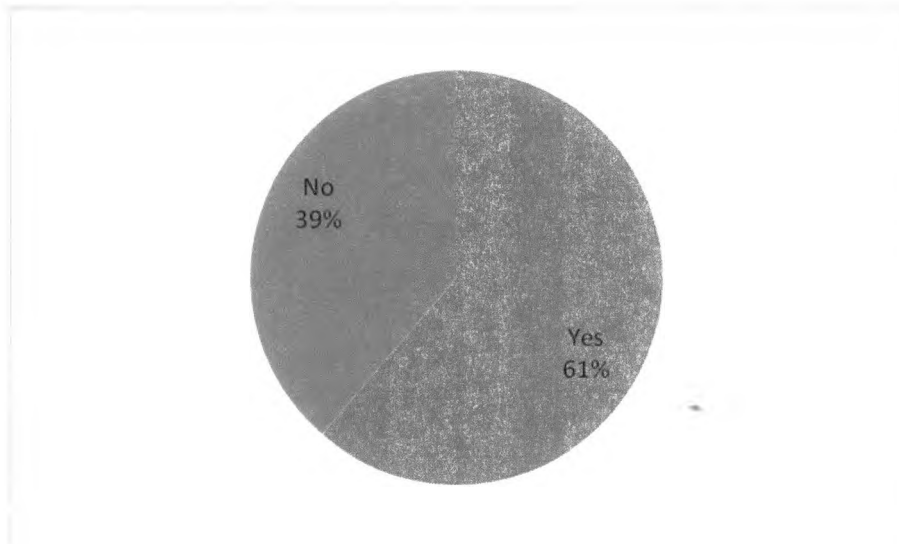
Figure 4.3: Training Attendance within the Last Five Years

Source: Survey data (2011)

Table 4.45 shows that an overwhelming majority of staff (63.7%) did not agree that the training attended was due to application of performance appraisal criteria. Moreover 30.2% expressed strong disagreement on this issue, while a 29.0% were ambivalent. A paltry 7.2% thought there was agreement between performance appraisal criteria and training attended.

Table 4.45: The training attended was due to application of performance appraisal criteria

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor	5	8	4	1		18
Associate Professor	6	11	6	4		27
Senior Lecturer	16	19	16	4	1	56
Lecturer	36	30	27	3	2	98
Assistant Lecturer	17	19	23	3	1	63
Total	80	87	76	15	4	262
Percent	30.5	33.2	29.0	5.7	1.5	100.0

Source: Survey data (2011)

4.5 Promotion Decisions

Most of the academic staff (55.7%) declared they had not been promoted to a higher grade in the last five years. A proportion of 44.3%, however, answered in the affirmative. Figure 4.5 shows the visual variability.

Table 4.46: I have been promoted to a higher grade within the last five years

	Yes	No	Total
Professor	11	7	18
Associate Professor	15	10	25
Senior Lecturer	30	21	51
Lecturer	34	55	89
Assistant Lecturer	15	39	54
Total	105	132	237
Percent	44.3	55.7	100.0

Source: Survey data (2011)
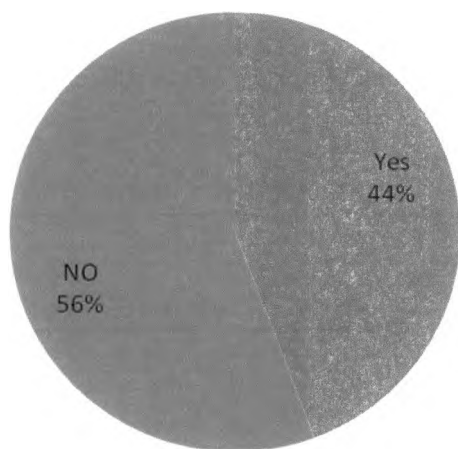
Figure 4.4: Promotion to a Higher Grade in the Last Five Years
Source: Survey data (2011)

According to Table 4.47, the majority of the academic staff (50.3%) believe that promotions had nothing to do with application of performance apprisal criteria. A further 29.2% were non-commital while only 20.4% percent saw a link between promotion and performance appraisal criteria.

Table 4.47: My promotion had been due to application of performance appraisal criteria

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor	2	4	9	2	2	19
Associate Professor	4	7	12	2	2	27
Senior Lecturer	12	19	8	10	6	55
Lecturer	26	25	24	19	4	98
Assistant Lecturer	12	20	23	6		61
Total	56	75	76	39	14	260
Percent	21.5	28.8	29.2	15.0	5.4	100.0

Source: Survey data (2011)

Majority of the academic staff (59.4%) indicated, in Table 4.48, that their university had a written and operational promotion policy, while a minority (17.3%) did not. Those who were unsure comprised 23.3% of the respondents.

Table 4.48: My Univerisity had a written and operational promotion policy

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor	1	1	5	7	5	19
Associate Professor	1	1	7	13	5	27
Senior Lecturer	6	7	11	24	9	57
Lecturer	7	10	23	46	14	100
Assistant Lecturer	4	8	16	32	3	63
Total	19	27	62	122	36	266
Percent	7.1	10.2	23.3	45.9	13.5	100.0

Source: Survey data (2011)

As indicated in Table 4.49, most of the academic staff (45.8%) were ambivalent on whether their university gave priority to seniority in promotion decisions. One-third of the respondents disagreed while only some 21.2% indicated such preference.

Table 4.49: My Univerisity gave priority to seniority in promotion decisions

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor	4		10	2	3	19
Associate Professor	1	6	15	4	1	27
Senior Lecturer	12	7	27	9	2	57
Lecturer	15	23	43	12	5	98
Assistant Lecturer	8	11	26	16	2	63
Total	40	47	121	43	13	264
Percent	15.2	17.8	45.8	16.3	4.9	100.0

Source: Survey data (2011)

While a proportion (40.6%) indicated agreement that their university gave priority to merit in promotion decisions in Table 4.50, one-quarter of the academic staff disagreed while over one-third were non-commital.

Table 4.50: My univerisity gave priority to merit in promotion decisions

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor	2	2	5	5	4	18
Associate Professor	2	2	15	4	4	27
Senior Lecturer	7	10	12	18	6	53
Lecturer	12	13	39	31	6	101
Assistant Lecturer	8	7	18	22	5	60
Total	31	34	89	80	25	259
Percent	12.0	13.1	34.4	30.9	9.7	100.0

Source: Survey data (2011)

In Table 4.51, majority of the academic staff (55.1%) disagreed that their university consistently applied the performance appraisal criteria in promotion policy. Amost 40.0% were non-commital while only 15.2% indicated agreement.

Table 4.51: My univerisity had consistently applied the performance appraisal criteria in promotion policy

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
Professor	2	4	9	4		19
Associate Professor	2	10	11	1	2	26
Senior Lecturer	13	10	16	12	4	55
Lecturer	21	33	38	8	1	101
Assistant Lecturer	11	13	31	5	3	63
Total	49	70	105	30	10	276
Percent	18.6	26.5	39.8	11.4	3.8	100.0

Source: Survey data (2011)

4.6 Performance Appraissal Purpose and Training Decisions

H_0: There is a relationship between formative performance appraisal purpose and training decisions.

Testing for the relationship between availablity of a written and operational training policy and performance appraisal purpose to identify professional training and development needs indicate highly significant results ($\beta = 0.258$, $p < 0.01$). The results show that 11.5% of the variance in operational training policy was explained by performance appraisal purpose to identify professional training need which, according to Cohen (1977) is a medium-size effect.

Testing for the relationship between availablity of a written and operational training policy and performance appraisal purpose to provide feedback for improved performance indicate significant results ($\beta = 0.140$, $p < 0.05$). The results show that 11.5% of the variance in availability of a written and operational training policy was explained by performance appraisal purpose to identify professional training need which, according to Cohen (1977) is a medium-size effect.

Testing for the relationship between university funding support for academic staff training and performance appraisal purpose of identifying professional training and development needs of lecturers yielded the following: ($\beta = 0.111$, $p > 0.05$). The results were not significant

Testing for the relationship between univerisity funding support for academic staff training and performance appraisal purpose of providing feedback for improved performance yielded significant results ($\beta = 0.30$, $p < 0.05$). The results indicate that 12.3% of the variance in funding support for academic staff training was explained by performance appraisal purpose to identify professional training needs, which according to Cohen (1977) is a medium-size effect.

Testing for the relationship between university consistent application of performance appraisal outcomes in training policy and performance appraisal purpose of identifying professional training and development needs of lecturers yielded significant results ($\beta = 0.129$, $p < 0.05$). The results indicate that 12.3% of the variance in consistent application of performance appraisal outcomes in training policy was explained by performance appraisal purpose to identify professional training need. According to Cohen (1977), this is a medium-size effect.

Testing for the relationship between university consistent application of performance appraisal outcomes in training policy and performance appraisal purpose of providing feedback for improved performance yielded highly significant results ($\beta = 0.239$, $p < 0.01$). The results indicate that 14.2% of the variance in consistent application of performance appraisal outcomes in training policy was explained by performance appraisal purpose to identify professional training need. According to Cohen (1977), this is a medium-size effect.

Testing for the relationship between attendance of training within last five years and performance appraisal purpose of identifying professional training and development needs of lecturers yielded insignificant results ($\beta = 0.017$, $p > 0.05$).

Testing for the relationship between attendance of training within last five years and performance appraisal purpose of providing feedback for improved performance yielded insignificant results ($\beta = -0.053$, $p > 0.05$).

Testing for the relationship between attendance of training resulting from application of performance criteria and performance appraisal purpose of identifying professional training and development needs of lecturers yielded highly significant results ($\beta = 0.156$, $p < 0.01$). The results indicate that 9.1% of the variance in attendance of training resulting from application of performance criteria was explained by performance appraisal purpose to identify professional training needs of lecturers. According to Cohen (1977), this is a medium-size effect.

It is evident that performance appraisal purpose of identifying professional training and development needs are highly related to availability of a written and operational training policy. Performance appraisal purpose to provide feedback for improved performance is moderately related to availablity of a written and operational training policy and performance. Performance appraisal purpose of providing feedback for improved performance moderately is related to university funding support for academic staff training. Performance appraisal purpose of identifying professional training and development needs of lecturers is moderately related to university consistent application of performance appraisal outcomes in training policy. Performance appraisal purpose of providing feedback for improved performance is highly related to university consistent application of performance appraisal outcomes in training policy. Performance appraisal purpose of identifying professional training and development needs of lecturers was highly related to attendance of training resulting from application of performance criteria.

In summary, some relationships were not significant. Performance appraisal purpose of identifying professional training and development needs is not significantly related to university funding support for academic staff training. Performance appraisal purpose of identifying professional training and development needs of lecturers is not significantly related to attendance of training within last five years.

4.7 Performance Appraissal Purpose and Promotion Decisions

H_0: There is a relationship between summative performance appraisal purpose and promotion decisions.

Testing for the relationship between appraisee promotion to a higher grade within last five years and performance appraisal purpose of providing information for promotion and salary increment yielded insignificant results ($\beta = 0.017$, $p > 0.05$).

Testing for the relationship between consistent application of performance appraisal criteria and performance appraisal purpose of providing information for promotion and salary increment yielded highly significant results ($\beta = 0.279$, $p > 0.01$). The results indicate that 9.0% of the variance in consistent application of performance appraisal

criteria was explained by performance appraisal purpose of providing information for promotion and salary increment. According to Cohen (1977), this is a medium-size effect.

Testing for the relationship between the dimension of university having a written and operational promotion policy and performance appraisal purpose of providing information for promotion and salary increment yielded significant results ($\beta = 0.138$, $p < 0.05$). The results indicate that 2.4% of the variance in university having a written and operational promotion policy was explained by performance appraisal purpose of providing information for promotion and salary increment. According to Cohen (1977), this is a small effect.

Testing for the relationship between the dimension of university giving priority to seniority in promotion decisions and performance appraisal purpose of providing information for promotion and salary increment yielded insignificant results ($\beta = 0.095$, $p > 0.05$).

Testing for the relationship between the dimension of university giving priority to merit in promotion decisions and performance appraisal purpose of providing information for promotion and salary increment yielded highly significant results ($\beta = 0.173$, $p < 0.01$). The results indicate that 3.5% of the variance in university giving priority to merit in promotion decisions was explained by performance appraisal purpose of providing information for promotion and salary increment. According to Cohen (1977), this is a small effect.

Testing for the relationship between the dimension of the university consistently applying the performance appraisal criteria in promotion policy and performance appraisal purpose of providing information for promotion and salary increment yielded highly significant results ($\beta = 0.325$, $p < 0.01$). The results indicate that 15.1% of the variance in university consistently applying the performance appraisal criteria in promotion policy was

explained by performance appraisal purpose of providing information for promotion and salary increment. According to Cohen (1977), this is a medium-size effect.

With regard to promotion decisions, the following is a summary of the analysis. Performance appraisal purpose of providing information for promotion and salary increment is highly related to consistent application of performance appraisal criteria. Performance appraisal purpose of providing information for promotion and salary increment is moderately related, though with small effect, to university having a written and operational promotion policy. Performance appraisal purpose of providing information for promotion and salary increment is highly related, though with small effect, to university giving priority to merit in promotion decisions.

Performance appraisal purpose of providing information for promotion and salary increment is highly related to university consistently applying the performance appraisal criteria in promotion policy. Performance appraisal purpose of providing information for promotion and salary increment is not significantly related to appraisee promotion to a higher grade within last five years. Performance appraisal purpose of providing information for promotion and salary increment is not significantly related to university giving priority to seniority in promotion decisions.

4.8   Discussion of Findings

The overall objective of the study was to examine perceptions of academic staff regarding application of performance appraisal results in training and promotion decisions in public universities in Kenya. Specifically, the study sought to: Establish the purposes of performance appraissal systems, the training decisions, the promotion decisions and, to determine the relationship between the purposes of performance appraissal systems and their application to training and promotion decisions. The results are presented in Sections 4.4, 4.5, 4.6 and 4.7; and are discussed in the following section.

4.8.1 Purposes of Performance Appraisal in Public Universities in Kenya

The findings in Table 4.19 indicates that on a 5-point scale most of the responses on formative or developmental dimensions of appraisal had an average value of 3.35 whilst the responses on summative, mangerialist or evaluative dimensions yielded an average of 3.2. This depicts an ambivalent outcome. The respondents were therefore divided as to whether the performance appraisal was employed for developmental or managerialist purposes.

These results are consistent with previous literature. For example, in the seminal studies by Simmons and Iles (2001) and Simmons (2002) of academic staff in higher education and further education institutions in the United Kingdom, only one third of the appraisees believed that performance appraisal increased clarity of individual and organisation's job objectives, while half of the respondents viewed the process as developmental. Furthermore, the minority thought that the outcome of performance appraisal interview would influence the salary progression and promotion decisions. Morris (2005) provides further support in a single-case setting study of an Australian university which reported that performance appraisal systems were neither used for training purposes nor for identifying training needs. Morris *et al.,* (2007) in a survey of 36 Australian universities similarly reported the apparent contradiction that, though majority of universities appeared to have a developmental orientation, the most popular usage of performance appraisal was to manage diminished or unsatisfactory performance. More support is given by Akinyele (2010) in a survey of private universities in Nigeria, who observed that the employees viewed the purpose of performance appraisal system as a mere formality without any important objectives. Flaniken and Citron (2011) also found that performance appraisal purposes lacked clarity in Christian Colleges and Universities in the United States.

In contrast, Okafor (2005) in a study of Nigeria universities, however, found that performance appraisal was used for both developmental and managerial purposes, while Rasheed *et al.,* (2011) in a single case study of a public university in Pakistan reported predominantly administrative use. The ambivalence of academic staff is intriguing,

bearing in mind that the present study reported that most of the staff (78.3%) are in agreement that the public universities apply some form of performance appraisal. One possible explanation could be that performance appraisal systems are yet to be entrenched in Kenyan public universities. An indication of the existence of obstacles to entrenchment of performance appraisal was that 39.0% of respondents thought the process was influenced by personal relationships and another 47.5% were critical that the system was beset by unclear standards. A further indication of impediment was the apparent lack of involvement with the finding that 61.7% disagreed that appraisees participated in developing the performance appraisal system. Furthermore, only 41.0% agreed that the system was fair. In a study that could shed further light, Sukirno and Siengthai (2011) found that participative decision making had a significant impact on lecturer performance in higher education institutions in Indonesia

The findings of the present study have support in the wider context. Kanungo (1995) in a study in developing countries [cited in Kobonyo and Dimba, 2007] reported that there exists potential and covert resistance to performance appraisal in developing countries, where there is seeming preference for group-based approach. They assert that individual-based performance appraisal approaches are frowned upon. Confusion regarding purposes of performance appraisal is a common phenomena (Randell, 1994; Soltani, 2002) with the scholars asserting that prescriptive approaches are not tenable. This confusion afflicts, appraisees, appraisers and practioners. For example, a nationwide American survey of human resource professionals in 1997 reported that only 5% of the respondents were happy with their organization's performance appraisal schemes (Barrier,1998). Scholars have pointed out that conflicts are inevitable when a performance appraisal system is used for dual purposes and caution that the single purpose is the ideal way (Rudman, 2003).

Another barrier could be the perceptions as to fairness of the performance appraisal criteria. This study found that half the respondents (50.1%) viewed the performance appraisal criteria as fair, a minority of 21.3 % held the opposite view while 28.5% were undecided. Again, this depicts an ambivalent attitude. While emphasizing percieved

fairness of performance appraisal systems as the most important factor, *Bretz et al.,* (1992) found that majority of the employees, nonetheless, perceive them as neither accurate nor fair.

In a similar vein, scholars in Kenya (Wanzare, 2002; Odhiambo, 2006) lamented the existence of unsystematic appraisal in Kenya and other developing countries, particularly in relation to teacher appraisal. Odhiambo (2006) in particular observed that teachers were not properly briefed on purposes of their appraisal system. Similar observations were made by Turk (2008) in a research focused on a university in Estonia.

4.8.2 Training Decisions in Public Universities in Kenya

The findings in Table 4.48 indicated that 47.4% of the academic staff believed there was a written and operational training policy, 46.1% were of the opinion that their university offered funding support for training while a dismal 17.9% thought that their university consistently applied performance appraisal outcomes in training policy. Significantly, while 61.3% had at least attended some training within a period of the last five years, the majority (63.7%), nonetheless, disagreed that the training attended was due to application of performance appraisal criteria. All these suggest that the academic staff see no connection between application of performance appraisal and training decisions.

This finding has some support in the literature. Akinyele (2010) in a study at a privately-owned university in Nigeria concluded that the employees viewed the purpose of performance appraisal system as a formality without any important objectives in training needs assessment. In contradiction, however, Simmons and Iles (2001) and Simmons (2002) reported that half of the respondents viewed the performance appraisal process as seeking to identify development needs such as training. Furthermore, Rasheed *et al.,* (2011) found divergent views between the faculty and chairmen of departments in a Pakistani public university, with the latter insisting that the performance appraisal system focused on counseling and training while the former disagreed. It could be summarised that performance appraisals that support training decisions are better designed in western countries.

4.8.3 Promotion Decisions in Public Universities in Kenya

The findings in Section 4.5 indicated that most of the academic staff who had not been promoted to a higher grade in the last five years (55.7%), viewed promotions as having nothing to do with performance appraisal criteria (50.3%), and were ambivalent on university prioritizing seniority in promotion decisions (45.8%). However, they thought there was some focus on merit (40.6%), but disagreed that their university consistently applied the performance appraisal criteria in promotion policy (55.1%). Yet the majority of the staff (59.4%) indicated that their university had a written and operational promotion policy.

In harmony with the findings of the present research, Simmons and Iles (2001) and Simmons (2002) found that few academic staff in higher educational and further education institutions in the United Kingdom believed that the outcome of performance appraisal influenced their salary progression or promotion decisions. Respondents in these institutions were reported to be against the linking of pay to assesment of their performance. In further support support of this, Morris (2005) in a single university case setting in Australia reported the absence of a link between performance appraisals and promotion decisions. Similarly, Flaniken and Citron (2011) in their survey of 108 Christian Colleges and Universities in the United States of America, indicated that though most institutions used performance appraisals to review past performance, there was no explicit focus on promotion decisions.

In a divergent view, Okafor (2005) in a study of Nigeria universities, found that performance appraisal was used for administrative purposes covering promotion and dismissal decisions. Morris *et al.,* (2007) in a study 36 Australian universities found that less than one-half of the universities used performance appraisal. Those employing performance appraisal preferred them in managing diminished or unsatisfactory performance. Similarly, Akinyele (2010) studied academic and non-academic staff at a private university in Nigeria and concluded that performance appraisal, besides being applied for developmental purposes was, to some extent, also used in the determination of promotion criteria.

4.8.4 Relationship between Performance Appraissal Purpose and Training Decisions

The finding is Section 4.6 was that performance appraisal purpose of identifying professional training and development needs was significantly related to availability of a written and operational training policy and to attendance of training resulting from application of performance criteria. On the other hand, the purpose of identifying professional training and development needs was moderately related to consistent application of performance appraisal outcomes in training policy. It was also reported that performance appraisal purpose to provide feedback for improved performance was significantly related to university consistent application of performance appraisal outcomes in training policy, but somewhat related to availablity of a written and operational training policy and to university funding support for academic staff training.

On the whole, the findings reveal corelation between purposes of performance appraisal and training decisions. Focusing on Nigerian universities, Okafor (2005) in support, reported that the performance appraisal system, to some extent, was used for identification of training needs. On the other hand, Townley (1993) points out the confounding trend where patently control-evaluative styles of performance appraisal schemes in universities are couched in developmental rhetoric, and such systems frequently cite staff training and development as their major tenets. Interestingly, Kanungo (1995) [cited in Kobonyo and Dimba, 2007] posited that, to maintain employee relationships, staff should be granted scholarship requests regardless of organizational needs, implying that there should be no relationship between performance appraisal and training decisions. The seeming lackadaisical attitude towards training extends to other sectors where, for example, Martins (2007) in a case study of managers in an aerospace engineering and manufacturing company in Britain found that training decisions were more linked to business needs than to performance appraisal outcomes.

4.8.5 Relationship between Performance Appraissal Purpose and Promotion Decisions

The finding in Section 4.7 was that performance appraisal purpose of providing information for promotion and salary increment is highly related to consistent application

of performance appraisal criteria, and to university consistently applying the performance appraisal criteria in promotion policy. It was also reported that there was a moderate relationship between providing information for promotion and salary increment, and the university having a written and operational promotion policy and, the university giving priority to merit in promotion decisions.

There was, however, no meaningful relationship between performance appraisal promotional purpose and appraisee promotion to a higher grade within last five years or to university giving priority to seniority in promotion decisions. On the whole, the findings did find a persuasive relationship between evaluative or managerialist performance appraisal purposes and promotion decisions. The findings are generally supported in the literature.

In a strong support of this link, Shahzad *et al.,* (2008) in a research covering 12 leading public and private Pakistani universities, established a significant corelation between promotion practices and lecturer performance. In another university context, Okafor (2005) found a role for promotion, among other determinants. In contrast, Amiri *et al.,* (2011) in a research focused on experts and managers of an Iranian education and training organization, reported training as more significant moderator than promotion on linking the direct relationship between employees' performance and performance appraisal, and organizational commitment.

Similar findings are reported in other contexts. Sutton and Brown (2008), advised on the importance of promotion alongside research project and conference funding, in motivating the research performance of academics. Grund and Sliwka (2007), in a study of individual and job-based determinants of performance appraisal in German firms reported significant linkage between systematic appraisal and future promotion decisions. Baugher *et al* (2008), focusing on a a state agency in the United States of America found that written criteria for promotion decisions did not exist but, nonetheless identified the following as significant in use of performance as a promotion determinant: Attitude of all stakeholders, the appraiser, the appraisee, the human resource administrator, top

management support, and organizational culture. In the research, it was reported that 80.0% of the respondents thought that the performance appraisal system would be more meaningful if criteria would be established targeting promotion decisions.

In contrast, Francis *et al.,* (2007) cautions that performance appraisal based on promotion is only useful when the processes are carefully designed to be job relevant, and are regularly reviewed by appropriately trained supervisors. There are some plausible explanations for the lack of unequivocal support of the performance appraisal promotional purpose-promotion decisions link. Blunt and Jones (1983) reported that Kenyans prefer communalism and frown upon individualism, a pillar of promotional decisions. Such an orientation towards collectivism would undermine the entrenchment of performance appraisal systems which are inherently individualistic.

Soltani (2003) reported that performance appraisal schemes have traditionally linked the assessment of promotion eligibility with long-term potential and carried out both as part of a single exercise. The researcher, however, states that the contemporary trend is to de-link the two and that promotion potential often remains undisclosed to the appraisee. These developments could shed light on the apparent ambivalence towards performance appraisal purposes and promotion decision in the current study.

CHAPTER FIVE
SUMMARY, CONCLUSION AND RECOMMENDATIONS

5.1 Introduction

In this chapter, the summary, conclusions and recommendations of the study are presented. The purpose of this study was to examine perceptions of academic staff regarding application of performance appraisal results in training and promotion decisions in public universities in Kenya. The study was guided by the broad questions: What are the attitudes and perceptions of academic staff towards performance appraisal systems in the public universities? Do the performance appraisal systems have a developmental focus or are they concerned with monitoring and control of academic staff? Have the outcomes of performance appraisal been applied to training and promotions decisions?

5.2 Summary of Findings

The overall objective of the study was to examine perceptions of academic staff regarding application of performance appraisal results in training and promotion decisions in public universities in Kenya. In order to achieve this objective, it was necessary to first establish the purposes of performance appraissal systems. Secondly, the study sought to establish the training decisions, thirdly, the promotion decisions and fourth, the study sought to determine the relationship between the purposes of performance appraissal systems and their application to training decisions. Lastly, the resesearch sought to determine the relationship between the purposes of performance appraisal and promotion decisions.

On the purposes of performance appraisal in public universities in Kenya, the study found that the respondents were divided as to whether the performance appraisal was employed for developmental or managerialist purposes. This finding is on the whole consistent with previous literature. Some researchers, however, have asserted that performance appraisal can be used for both developmental and managerialistic purposes. Regarding training decisions in public universities in Kenya, the finding was that the academic staff percieve only a limited use of performance appraisal purposes in training decisions. This finding

has equivocal support in the literature, with some researchers pointing out the divergence between rhetoric and practice. There is some evidence that performance appraisal schemes in western countries provide a better framework for training decisions. Turning to the attention paid to promotion decisions in performance appraisal in public universities, the finding was that the academic staff were ambivalent.

Exploration of the relationship between performance appraisal and training decisions on one hand, and performance appraisal and promotion decisons on the other hand, yielded mixed findings. While the relationship between performance appraisal and training decisions revealed corelation in some facets, most dimensions did not, however, demonstrate significant associations. The relationship between performance appraisal purposes and promotion decisions indicated credible relationship.

5.3   Conclusions

The first specific objective of the study was to establish the purposes of performance appraisal systems in public universities in Kenya. The study found that there existed ambivalence as to whether performance appraisal in public universities were for developmental or managerialist purposes. This implies that performance appraisal practices are not deeply entrenched in public universities in Kenya. This lack of depth in practice could be due to barriers in implementation.

The second objective was to establish the prevalence of training decisions. It was found that the academic staff percieved only a limited use of performance appraisal purposes in training decisions. With some evidence that performance appraisal schemes in western countries provide a better framework for training decisions, the implication is that there exists barriers to implementation of performance appraisal practices in public universities in Kenya.

The conclusion from this is that training efforts are not aligned with organizational needs in public universities in Kenya. In other words, public universities are yet to take training matters seriously in the design and application of performance appraisal systems.

The third intent of the study was to establish the prevalence of promotion decisions. The finding was that though the majority of the staff agreed there was a codified and operational promotion policy in public universties in Kenya, they were, nevertheless, ambivalent regarding its consistent application. The situation is somewhat similar in other parts of the academia world. The conclusion from this finding is that public university administrators are still grappling with design implementation of performance appraisal criteria for promotion decisions.

Fourth, the study sought to determine the relationship between the purposes of performance appraisal systems and their application to training decisions. On the whole, the findings depict some corellation, particularly with the facets dealing with identification of professional training and development in relation to availability of a written and operational training policy. The implication is that the policies exist and are used to identify the need. Beyond this needs-identification role, action is lacking. In other contexts, the literature depicted instances of use of training to maintain harmonious relationships and not necessarily to further organizational objectives.

Finally, the study sought to establish the relationship between the purposes of performance appraisal and promotion decisions. On the whole, the findings show a credible relationship between evaluative or managerialist performance appraisal purposes and promotion decisions. However there is mixed support in extant literature. The conclusion from this finding is that there could exist moderating variables affecting the direct relationship between the purposes of performance appraisal and promotion decisions.

5.4 Recommendations

Based on the findings and conclusions of the study, these recommendations are presented:

Following the conclusion that performance appraisal practices are not deeply entrenched in public universities in Kenya, it is recommended that management should identify the

possible barriers to the implementation. Issues to be considered include: Top management support for the performance appraisal system, fairness and clarity of criteria, appraiser appraisee training, and participation by the appraisees. Organization-wide matters affecting procedural and distributive justice should also be considered. At the heart of these efforts is the need to manage academic staff perceptions towards performance appraisal. With regard to the conclusion that training efforts are not aligned with organizational needs in public universities in Kenya, it is recommended that management addresses issues relating to the design of performance appraisal systems. The literature depicts training needs analysis as vital antecedent of successful perormance appraisal systems.

Based on the fact that public university administrators are still grappling with design and implementation of performance appraisal criteria for promotion decisions, it is recomended that management undertakes consultations with the various constituents. The literature indicates that stakeholder participation in choice of performance appraisal increases favourable perception of system. On the conclusion that though performance appraisal policies exist and are used to identify the need but are not acted upon, the recommendation is that top management of public universities must demonstrate commitment to implementation of performance appraisal systems. These may require training for apparisers or raters. Beyond this needs-identification role, action is lacking.

Finally, on the finding arising from mixed results on the direct relationship between the purposes of performance appraisal and promotion decisions, there could exist a moderating or mediating variables affecting the link. The recommendation is that management needs to examine contextual circumstances, such as the general organizational climate, to identify impeding factors.

5.5   Limitations of the Study

A general limitation of this study is the choice of survey methodology. Due to this, it is not possible to determine causal relationships between variables as the results are on the basis of the association between variables. A related limitation is that the research has

also relied on self-reported data from a sample. Such data is prone to common method bias. However, the use of multiple respondents, from diverse academic disciplines, has ameliorated this difficulty to some extent. Another limitation pertains to the study's construct measurement. Performance appraisal being largely derived from western context, the issue of its applicability to emerging economies such as Kenya is debatable. A more vigorous validation procedure would have been desirable. Lastly, a challenge encountered by the researcher was insufficient responses to the interview sessions with human resources administrators. However, most of the key issues that they were to respond on had been captured in the questionnaires administered to the academic staff.

5.6   Suggestions for Further Research

Avenues for future research stem from the study findings and alternative research methodologies. This study adopted the survey methodology. Future researchers may pursue techniques that seek in-depth understanding of causal relationship. Such approaches could employ triangulation of case studies and longitudinal research designs. The present study focused on essentially bivariate regression analysis to infer variable associations. Further research opportunities exist in the consideration of contextual variables which may be at play in the relationship between purposes of performance appraisal and training and promotion decisions. Such contextual variables include individual psychological profiles of appraisee or appraiser, gender and other demographic considerations. These possible variables could assume a moderating or mediating posture in the research design. In that event, more robust techniques, for example, multivariate analysis, or structural equation modeling (SEM) could be considered. Another research avenue is to include private universities, which are managed in business-like manner, in the sample or even pursue a comparable study of the private and public university settings. These may enhance generalizability of study findings.

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APPENDIX 1: LETTER TO THE VICE-CHANCELLORS

<div align="right">

Dominic W. Makawiti,
Maseno University,
P.O. Box 333,
Maseno 40105.
Tel: 0722-513828
Email: dmakawiti@gmail.com

</div>

8th September, 2011
Vice-Chancellor,
University,
P.O. Box ......,
....
Dear Sir/ Madam,

RE: LETTER OF INTRODUCTION

My name is Dominic W. Makawiti. I am a student pursuing Masters degree studies at the School of Business, University of Nairobi. I am currently undertaking a research project as part fulfillment for the Master of Business Administration (MBA) degree. The title of my study is **"Perception of Academic Staff in Kenyan Public Universities Towards Application of Performance Appraisal Results in Training and Promotion Decisions".** Your university is one of the seven public universities and as such was selected to participate in this study.

The primary information for the study will be collected through a questionnaire (a copy of which is attached) administered to a sample of your academic staff and Head of Human Resource Department. The study focuses on Performance Appraisal with respect to training and promotion decisions.

I need your assistance for the success of the study. The purpose of this communication therefore is to seek your authority to conduct the study. A letter from the university introducing me as a student is attached.

I assure you that the information will only be used strictly for academic purposes and will be treated with utmost confidentiality. At the end of the study, and if you will be interested I could send to you the Executive Summary of the findings upon request.
Thank you for your institution's anticipated participation in the study.

Yours sincerely,

Dominic W. Makawiti.

APPENDIX 2: QUESTIONNAIRE

The questionnaire asks questions about your university's performance appraisal with a specific focus on the aspects of training and promotion decisions. Based on your experience and knowledge, please indicate the statements which best reflect your views.

PART I: Background Characteristics

	Please tick as appropriate
Name of University	
Year of establishment	
Job Title	
Professor	
Associate Professor	
Senior Lecturer	
Lecturer	
Assistant Lecturer	
Other	

	Please tick as appropriate
Administrative Role	
Division Administrator	
Human Resource Administrator	
Dean of Faculty/Director of School	
Chairman of Department	
Progrramme Coodinator	
Other	

	GENDER (Tick as appropriate)
Female	
Male	

Duration of service in university education (years)	Please tick as appropriate
1 to 5 years	
6 to 10 years	
11 to 15 years	
16 to 20 years	
Over 21 years	

Duration of service in present university (years)	Please tick as appropriate
1 to 5 years	
6 to 10 years	
11 to 15 years	
16 to 20 years	
Over 21 years	

Age	Please tick as appropriate
51 Above	
46 to 50 years	
41 to 45 years	
36 to 40 years	
31 to 35 years	
26 to 30 years	
25 and below years	

Highest Academic Qualification	Please tick as appropriate
Post Doctoral	
Doctor of Philosophy	
Masters Degree	
Bachelor Degree	
Diploma	
Other (Please specify)	

Current Teaching Department	

PART II: Application of Performance Appraisal Results

Frequency of Performance Appraisal

Performance Appraisal in this University is Conducted	Please tick as appropriate
Yearly	
Twice yearly	
Monthly	
Other (Please specify)	

In my Opinion Performance Appraisal in this University Should be Conducted	Please tick as appropriate
Yearly	
Twice yearly	
Monthly	
Other (Please specify)	

	Strongly Disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
	1	2	3	4	5
My University Applies Some Form of Staff Performance Evaluation					

		Strongly Disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
		1	2	3	4	5
	Purposes of Performance Appraisal					
1	Identifies the professional training and developmental needs of lecturers					
2	Gives the university management information about lecturer's performance					
3	Gives lecturer evaluative information about their own performance					
4	Holds lecturers accountable for their performance					
5	Identifies lecturers for promotion					
6	Gathers information for dismissal					

		Strongly Disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
		1	**2**	**3**	**4**	**5**
	decisions					
7	Provides feedback to help subordinates improve performance					
8	Provides information for promotion and salary increments					
	Appraisal Interview	**1**	**2**	**3**	**4**	**5**
9	Interview included discussion of weaknesses in my past performance					
10	My future performance goals					
11	Specific career development goals for me					
12	Ways to improve performance					
13	Strength in my past performance					
	Disclosure of the Annual Evaluation Report	**1**	**2**	**3**	**4**	**5**
14	I have full access to the details of the report					
	Obstacles of the Performance Appraisal System	**1**	**2**	**3**	**4**	**5**
15	Appraisals are largely influenced by personal relationships					
16	Current appraisal is influenced by previous report					
	Appraisal system is characterized by unclear standards					
	Fairness and Clarity of Appraisal System					
17	The appraisal criteria on which I am evaluated are fair					
18	Overall, the appraisal system in my university is run fairly					
19	The appraisal system is transparent					
20	In general, I received the appraisal outcome that I deserved					
21	I have a good understanding of the appraisal criteria					
22	The results of student questionnaires are taken into consideration at appraisals					
	Controllability of Appraisal Criteria					
23	The key results areas that I am being evaluated on are within my scope of control	1	2	3	4	5
	Lecturer Participation in Developing Appraisal System	**1**	**2**	**3**	**4**	**5**
24	The appraisal system is developed with inputs from lecturers	1	2	3	4	5

		Strongly Disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
		1	2	3	4	5
	Appraiser-Appraisee Relationship and Appraiser Credibility	1	2	3	4	5
25	I trust my appraiser(s)					
26	My appraiser(s) is/are biased					
27	My appraiser is qualified to evaluate my teaching					
28	My appraiser has considerable experience in teaching					

PART III: Training Decisions

		Strongly Disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
		1	2	3	4	5
1	My university has a written and operational training policy					
2	My university gives funding support to staff to undertake training opportunities					
3	My university has consistently applied the performance appraisal outcomes in training policy					

		Yes	No
4	I have attended some training within the last five years		

		Strongly Disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
		1	2	3	4	5
5	The training I attended has been as a result of application of performance appraisail criteria					

PART IV: Promotion Decisions

				Yes		No
1	I have been promoted to a higher grade in the last five years					
		Strongly Disagree	**Disagree**	**Neither agree nor disagre e**	**Agree**	**Strongly agree**
		1	**2**	**3**	**4**	**5**
2	My promotion has been as a result of application of performance appraisail criteria					
3	My university has a written and operational promotion policy					
4	My university gives priority to seniority in promotion decision					
5	My university gives priority to merit in promotion					
3	My university has consistently applied the performance appraisal criteria in promotion policy	1	2	3	4	5

Please comment or elaborate on any of the issues addressed in the questionnaire that would complement the research study:

_____

_____

_____

_____

_____

_____

_____

APPENDIX 3: INTERVIEW SCHEDULE FOR HUMAN RESOURCE ADMINISTRATOR

1. Briefly describe the university performance appraisal system for academic staff.

2. Briefly describe the university training policy for academic staff.

3. Briefly describe the university promotion policy for academic staff.

4. How does the training budget cover academic staff?

5. Describe the major decisions that are dependent on performance appraisal results.

   (a) Training

   (b) Promotion

APPENDIX 4: SAMPLING FRAME

	Total Population		Sampling basis	Sample
Maseno University				
Assistant lecturers/Lecturers	253		Random sampling	29
Senior Lecturers	89	Academic staff	Random sampling	10
Professors	48		Random sampling	06
Head of Human Resource Unit	01		Purposive sampling	01
Total	**391**			**46**
Kenyatta University				
Assistant lecturers/Lecturers	671		Random sampling	77
Senior Lecturers	129	Academic staff	Random sampling	15
Professors	84		Random sampling	10
Head of Human Resource Unit	01			01
Total	**885**			**103**
University of Nairobi				
Assitant lecturers/Lecturers	898		Random sampling	103
Senior Lecturers	307	Academic staff	Random sampling	35
Professors	306		Random sampling	35
Head of Human Resource Unit	01		Purposive sampling	01
Total	**1512**			**174**
Egerton University				
Assistant lecturers/Lecturers	318		Random sampling	36
Senior Lecturers	99	Academic staff	Random sampling	11
Professors	48		Random sampling	06
Head of Human Resource Unit	01		Purposive sampling	01
Total	**466**			**54**
Moi University				
Assistant lecturers/Lecturers	440		Random sampling	50
Senior Lecturers	106	Academic staff	Random sampling	12
Professors	55		Random sampling	06
Head of Human Resource Unit	01		Purposive sampling	01
Total	**602**			**69**
Masinde Muliro University of Science and Technology				
Assistant lecturers/Lecturers	223		Random sampling	26
Senior Lecturers	32	Academic staff	Random sampling	04
Professors	23		Random sampling	03
Head of Human Resource Unit	01		Purposive sampling	01
Total	**279**			**34**
Jomo Kenyatta University of Agriculture Technology				
Assitant lecturers/Lecturers	333		Random sampling	38
Senior Lecturers	97	Academic staff	Random sampling	11
Professors	68		Random sampling	08
Head of Human Resource Unit	01		Purposive sampling	01
Total	**499**			**58**
Grand Total	**4,634**			**538**
SUMMARY				
Assistant lecturers/Lecturers	**3,136**			**359**
Senior Lecturers	**859**			**98**
Professors	**632**			**74**
Head of Human Resource Unit	**7**			**7**
Total	**4,634**			**538**