

**THE STATE OF PERFORMANCE - BASED CONTRACTS IN THE PUBLIC
SERVICE: A CASE FOR PERMANENT SECRETARIES IN ZAMBIA**

BY

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**A dissertation submitted to the University of Zambia in partial fulfilment of
the requirements for the award of the Master of Business Studies in
Management Strategy**

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DECLARATION

I, **Amos Malupenga**, declare that this is an original research report, produced out of my own individual efforts, and its contents have not been presented elsewhere at this university or any other university, or college for academic purpose. Further, that the opinions and views that are presented in this report are not influenced by the university but are views of my own.

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CERTIFICATE OF APPROVAL

This Dissertation by **Amos Malupenga** is approved as a partial fulfilment of the requirements for the award of the Degree of Master of Business Studies in Management Strategy

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DEDICATION

This dissertation is dedicated to Betty, my soulmate, for being a passionate cheerleader and a great source of inspiration during the course of this study.

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The esteemed ancient Chinese philosopher Confucius once imparted a profound truth: “*It does not matter how slowly you go as long as you do not stop.*” Indeed, my academic journey has been one of perseverance, resilience, and unwavering determination. At times, the path seemed arduous, and the temptation to relinquish this pursuit loomed large. However, thanks to the unwavering support and belief of remarkable individuals, I remained steadfast, ultimately reaching this milestone.

I am deeply indebted to His Excellency, the late President Michael Chilufya Sata, and his successor, His Excellency, former President Edgar Chagwa Lungu, whose esteemed leadership afforded me the invaluable opportunity to serve as a Senior Civil Servant at the esteemed rank of Permanent Secretary. Through my tenure in the Ministry of Information and Broadcasting, the Ministry of Local Government, the Ministry of Tourism, the Ministry of Labour, as well as in North-Western and Western Provinces, I gained profound exposure and experience in public administration. It is through this privilege of service that my passion for examining performance-based contracts in the public service was ignited, culminating in this study titled *The State of Performance-Based Contracts in the Public Service: A Case for Permanent Secretaries in Zambia*.

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LIST OF ABBREVIATIONS

| | |
|------|---|
| PA | Performance Agreement |
| BARS | Behaviorally Anchored Rating Scales: |
| BSC | Balanced Score Card |
| EFQM | European Foundation for Quality Management) |
| GRZ | Government of the Republic of Zambia |
| MBO | Management by Objectives |
| OECD | Organisation for Economic Co-operation and Development |
| PAS | Performance Appraisal System |
| PMAs | PMAs-Performance-based Management Agreements |
| PS | Permanent Secretary |
| SD | Standard Deviation |
| SPA | Staff Performance Appraisal |
| SPSS | Statistical Package for the Social Sciences |

ABSTRACT

This study's aim was to generate evidence to Cabinet Office of correlates of shortfalls in the implementation of the performance-based contract system for Permanent Secretaries since 2016 that could be used as evidence for improvements in performance appraisal practice. A mixed methods study approach was used. Correlational analysis was done using SPSS version 20 and qualitative data was analysed using qualitative content analysis. Appraisals were adequate in just 10% of the cases and in the majority of the cases (90%) they were inadequate. Ministers did not appraise civil service executives every year. The maximum they went to appraise civil service executives was zero and this accounted over half 61.7% and this was not expected. Spearman's rank-order correlation shows a weak, positive non-statistically significant correlation between the two variables (observed outcome of performance appraisals and inhibitors or facilitators ($r_s = .0252$, $p = 0.87$). There was also a very weak, negative correlation between the two variables (inhibitors or facilitators and appraisal implementation process) ($r_s = -.002$, $p = 0.989$). There were unclear performance indicators, unclear ineffective rating instrument, overly guessing reviews and political based reviews, immediate supervisors were not available, excess workload and suddenness of conducting appraisals. There was a missing link with Ministers when it comes to appraising, Ministers had less information on how to do the actual appraisal and permanent secretaries experienced a lack of ongoing performance feedback from the Minister. These key issues influenced the poor state of performance appraisal of civil service executives. This study has explored the state of performance-based contracts for Permanent Secretaries in Zambia. The conclusion is that the state of implementation of the appraisal process of the performance-based contract system for Permanent Secretaries' is influenced a great deal by an ineffective rating instrument, overly negative/second guessing review and political reviews, immediate supervisors in ministers who are not available, excess workload and suddenness of conducting appraisals. If all these factors are taken into consideration, then performance appraisal system the potential of being a good performance management tool.

Key words: Appraisal, Performance, Contract, Public Service, Permanent Secretaries

CHAPTER ONE

INTRODUCTION

1.1 Introduction

This chapter provides a background of the study, statement of the problem, purpose of the study, research objectives, and research questions, significance of the study, delimitation and limitations of the study. It has further defined the concepts which have constantly been used to enable the reader to understand the context of the study. The chapter also presents a theory that supports the study.

1.2 Context of the Study

... when I look at the contract, and the need for performance assessment, it is two years now, I have not had an assessment... I see an awful lot of problems that have a lot of negative consequences ... Hey, I have not seen the performance appraisal tool... we all [managers] want to be evaluated fairly and in a meaningful way but have I had an evaluation the last year ... It is a paradox for sure (Appraise)

Formal performance appraisals can be a useful tool to help lead people and make important HR decisions or they can be a process that can become meaningless and can even breed cynicism. It all comes down to the process and culture senior organizational leaders choose to create!

(A Senior HR Leader's Observation)

The above citations are from a chief executive in government and a human resource leader set the theme of this study which shows that organizations around the world are currently caught up in a flurry of activities designed to enhance key performance variables such as productivity, quality, cost effectiveness, customer service and cycle-time reduction (Longenecker and Gioia, 1988). To achieve improved results in these areas, organizations

are employing a host of improvement strategies aimed at producing competitive advantage. These improvement initiatives frequently include re-engineering, technology upgrades, process redesign, employee empowerment efforts, value-added activity assessments, improved customer-supplier linkages, and total quality management just to name a few (Longenecker and Gioia, 1993; Gioia and Longenecker, 1994).

In the public sector in Zambia, managerial appraisals have been thought to have been vehicles for management change and were believed until 2016, to be accountable to the Cabinet. Zambia's central government is composed of a horde of units that are held accountable to Cabinet Office. These include Ministries, Provincial Administrations and Spending Agencies. However, the possibilities of direct ministerial intervention in operating matters are circumscribed by the legislative framework, and the formal governance mechanisms available to the government are mainly those of the annual appropriation and reporting process and the appointment of Ministers and Permanent Secretaries. By international standards, Zambia's central government is relatively unique for its long history of devolved responsibility for operating tasks and has been accountable to Cabinet Office through the Secretary to Cabinet. In addition, the reform tradition regarding appraisals of Permanent Secretaries has been characterised by a consensus-oriented process (GRZ, 2016).

This reform tradition is reflected in the evolution of the governance system since 2016. The managing for results system has been heavily geared toward measures of outputs, operating processes, and efficiency. The decision to place Permanent Secretaries on performance contracts has been a way of enhancing service delivery in the public service. The level of service in most government ministries is a daily complaint by members of the public. They are less than satisfied with the level and quality of the service offered by the public service despite the high academic credentials possessed by most public service workers and other reform initiatives progressively implemented by government. It is for this reason that the need for professional Permanent Secretaries came about, resulting in the placement of Controlling Officers on performance-based contracts (GRZ, 2016).

On 12th January 2016, Dr Edgar Chagwa Lungu, President of the Republic of Zambia, launched Performance-Based Contracts for all Permanent Secretaries. Performance contracts are a tool for improving the work performance and productivity of individuals, teams, ministries and provinces. Government had been prompted to come up with the performance-based contract system to maximise the performances of public service workers (GRZ, 2016).

The need to improve both efficiency and effectiveness in the public sector, considering the scarce resources and the high public expectations, all Permanent Secretaries were placed on Performance-based Contracts by the Zambian government. It was believed that the Performance-based Contracts would create a public management system that focuses on the attainment of desired results and instilling a framework of transparency and accountability. To achieve these objectives, there is need for proper appraisal systems that involve annual work planning, setting of targets, feedback, and reporting structures. Performance-based contracting, as an approach, is new in the Zambian public service and faces several challenges that include setting of standards, evaluation, and control. A Permanent Secretary (PS) is the Chief Executive and Controlling Officer in a Ministry or Provincial Administration. The aim of performance contracts is to improve service delivery by instilling confidence in the public and subsequently trigger hard work among civil service executives and the civil service at large (GRZ, 2016). During all this process, change managers (at all levels) are asked to (see Öğüt et al., 2004; Nel et al., 2011).

- (a) Do more with less;
- (b) Move more quickly;
- (c) Change their current paradigms and thought processes;
- (d) Adopt a more progressive management style that places a greater emphasis on employee empowerment; and
- (e) Develop new technical skills.

There is no question that a role of a manager is changing rapidly in the world marketplace. This transformation is necessary to implement and support the myriad of organizational

change efforts previously discussed (Longenecker, 1997). Yet, a very basic question must be asked: “What are organizations doing to help their managers develop the skills necessary to operate in this rapidly changing environment?”

While much of the burden for management development falls squarely on the shoulders of individual managers, research has demonstrated that systematic management development efforts at the organizational level are necessary and vital to accelerate and sustain management change (Forth and McNabb, 2008; Houghton, 2010; Longenecker and Fink, 2014). When organizations talk about the management development, they frequently mention the practice of formal performance appraisal as a primary vehicle for management change. This tacit admission can be somewhat disquieting because of a growing body of both research and practice that suggests that managerial appraisals are all too often viewed as being ineffective (Lavigne, 2018).

Specifically, if an organization is going to rely heavily on the use of formal performance appraisals as a vehicle to foster managerial development, (which many do) they had better employ an effective appraisal system (Longenecker and Fink, 2014). Formal appraisals have been found to be a potentially effective device for:

- (a) Performance planning and goal setting;
- (b) Providing performance feedback and coaching;
- (c) Employee development, counselling and planning; and
- (d) Linking performance to compensation and promotion decisions.

Yet, these benefits will be difficult to achieve if members of the organizations do not use the appraisal process in an effective fashion (which appears to be the case all too often when appraisals are applied to managerial personnel) (Longenecker and Fink, 2011). Several studies suggest that managers regularly find the formal appraisal process to be frustrating, political and a less than meaningful experience, which does not bode well for management development (Jurien et al., 2018). The manager in the opening quote states: “I see an awful lot of problems that have a lot of negative consequences associated with managerial appraisals.”

The Government of the Republic of Zambia introduced performance-based contracts in the public service in 2016, with each Permanent Secretary at both ministerial and provincial levels receiving a performance-based contract. However, there has been inadequate information on how effective performance-based contracts are in public service as there is no documented evidence. There is a deficit in studies, especially from developing countries – Zambia included - to determine the factors that influence performance-based contracts in the public service and their impact on service delivery performance (Öğüt et al., 2004). Nel et al., 2011).

It is also observed that in exploring the factors, prior studies investigate individual factors in isolation from each other (Forth and McNabb, 2008). Therefore, a knowledge gap still exists regarding the factors of implementation of performance-based contracting of chief executives and ultimately the effect on service delivery (Appelbaum and Armstrong, 2003; Houghton, 2010). This could also be related to Permanent Secretaries in ministries and provinces in Zambia. This limits understanding of the interplay among various factors affecting performance-based contact mechanism and its impact on the service delivery.

1.3 Statement of the Problem

There were weakness in the running of government Ministries that led to the development of performance based contracts appraisal system for Permanent Secretaries. Following the launch of this system, there have been informal complaints during one to one meetings and at formal meetings by some Permanent Secretaries that the system has shortcomings and that these related to the state of implementation of the appraisal process of the performance-based contract system for Permanent Secretaries which appeared not to be uniformly done. This seems to point to the presence of some factors influencing the implementation as planned of the performance-based contract system for Permanent Secretaries since 2016. The complaints point to dissatisfaction. The fact that these complaints are not supported by any empirical evidence, this study, therefore, was designed to bridge the knowledge gap by critically accounting for the factors (individually

and collectively) contributing to the state of performance-based contract mechanism in the Republic of Zambia and determine the levels of satisfaction of the appraisal system.

1.4 Purpose of the Study

The purpose of this study is to generate evidence on the status of the implementation of the performance-based contract mechanism for Permanent Secretaries in Zambia.

1.5 Objectives

The following were the objectives of the study:

- 1) To describe the state of implementation of the appraisal of performance-based contract system for Permanent Secretaries.
- 2) To determine correlation of the implementation of the performance-based contract system for Permanent Secretaries since 2016.
- 3) To estimate the extent of satisfaction of appraisal outcome of the performance-based contract system for Permanent Secretaries since 2016.

1.5 Research Questions

- 1) What is the state of implementation of the appraisal process of the performance-based contract system for Permanent Secretaries like?
- 2) What are the factors influencing the performance-based contract system for Permanent Secretaries since 2016?
- 3) What is the extent of satisfaction of appraisal outcome of the performance-based contract system for Permanent Secretaries since 2016?

1.6 Scope of the Study

Delimitation is used to address how the study is narrowed in scope and covering several factors on which the researcher does not have control at all (White 2003). While acknowledging that there may be other sources on public service reforms impacting

positively on the performance on the Permanent Secretaries in the country, the scope of this study was narrowed to the performance appraisal system for Permanent Secretaries in the Public Service of Zambia. The appraisers include ministers and Secretary to the Cabinet. Ministers, Permanent Secretaries, Secretary to the Cabinet, Deputy Secretary to the Cabinet and Directors, were sampled because the researcher felt new knowledge from their experiences, attitudes and values could provide the information needed for the study.

1.7 Definition of Terms

The terms and words were defined according to the context in which they were used in the study.

- (a) Performance is used to indicate that measurement of results (outputs/outcomes) and development of incentives for individuals and agencies have in some way been brought together. (OECD, 2001 and Schick, 2005).
- (b) Performance agreements are negotiated agreements between the the appraiser and appraisee setting specific, often detailed, operational, procedural and output-oriented targets (OECD, 2001; Schnick, 2005 and Austin etal., 1991).
- (c) Performance appraisal is a methodology and set of procedures for rating the work or performance of individuals according to objective standards and criteria applied uniformly across one or several organisations (OECD, 2001; Schnick, 2005 and Austin etal., 1991).
- (d) Performance indicators illustrate if targets are being or have been reached (OECD, 2001).
- (e) Targets are the objectives a senior civil servant (and the government as a whole) is to work towards (Schick, 2005).

1.8 Dissertation Organisation

Now that there is a definite picture of the research problem, the researcher outlines the arrangement of the dissertation. The literature review, which forms chapter two, covers a

wide range of issues. To begin with, the philosophy of performance appraisal provides the ground for the study. The chapter covers the essentials of performance appraisal.

Chapter three gives a description of the research design matrix, which structurally roots the study in a mixed methods paradigm. The philosophical underpinnings of the study are presented alongside the corresponding logic to justify the design. This is done with the help of a research design matrix so that the reader understands the study and results later. All necessary processes related to sampling, data collection and analysis have been delineated. The chapter discusses how sampling, data collection, and analysis were done.

Chapter four is about the research findings. Each research question is presented and where quantitative and qualitative evidence is required, the researcher juxtaposes the findings. This is what an embedded design supports.

Chapter five is composed of the discussion of the findings, the conclusion of the study and the strengths and limitations of the study. The fact that there are no forerunner studies in Zambia on the subject, the discussion of findings does not refer to previous research. In addition, since this is a mixed methods study, no such studies are available to situate the findings. A conclusion follows the discussion which runs in sequence with the study's limitations and strengths. This chapter winds up by rendering research and policy implications. These are in art linked with the third research question.

CHAPTER TWO

LITERATURE REVIEW

2.1 Introduction

This chapter reviewed the literature related to this study. Related literature is that which is relevant to the problem, such as previous research investigating the same variables or a similar question, references or studies of similar practice (White, 2003). Therefore, this study highlighted what others have written on the performance appraisal and its application. It ends with a chapter summary.

2.2 The Appraisal Philosophy and Performance Appraisal

Performance Appraisal (PA) is a formal system of review and evaluation of an individual or performance and peers will be reviewing an individual's performance on a continuing basis. The Performance Appraisal System (PAS) is a development tool used to measure the actual performance in an organization and the strategic goals of the organization are aligned to that of individual performance. Using Performance Appraisal System, an employee's performance is measured against core competencies such as job knowledge, skill level, job execution, initiative, client orientation, cooperation and ability to work effectively, quality and quantity of output, leadership qualities, and compliance to policies and practices including safety and environment, efficient handling of available resources, intuitiveness to take new assignments and learn new things, etc.

However, the core competencies will vary from organization to organization, depending on its objectives, business strategies, and mission.

The performance management is an extensive, methodical, sequential, and continuous process that involves performance mapping processes and sequences (Garvin 1998). In considering the nature of performance management and performance appraisal we firstly need to appreciate how these two aspects are related but equally should not be seen synonymously. In fairly simple terms performance management can be seen as a holistic

process which aims to bring together a number of aspects, including appraisal. Thus, performance management may be thought of as being more strategic in its intent to achieve high levels of organizational performance. By contrast, performance appraisal is best seen as being more operationally focused, with a focus on individual employees short- to medium-term performance and development (CIPD, 2005). Consequently, to fully contextualize the notion of performance appraisal it is important to locate it within wider issues concerned with performance management systems (PMS) which may have an organizational, team or individual focus. Armstrong (2001: 469) suggests that performance management has a number of aims:

- a) Performance management is about getting better results from the organization, teams and individuals by understanding and managing performance within an agreed framework of planned goals, standards and competing requirements.
- b) It is a process for establishing shared understanding about what is to be achieved, and an approach to managing and developing people in a way which increases the probability that it will be achieved in the short and long term. It is owned and driven by management to harness accountability.

Organizations that emphasize accountability tend to use performance targets, but too much emphasis on "hard" targets can potentially have dysfunctional consequences. In general most of the organizations include the performance appraisal system under Performance Management System on yearly basis, where supervisor/subordinate interview with a standard performance appraisal form with the factors to be appraised or listed in the form (Dargam, 2009).

The performance management provides more opportunities for individuals to discuss their work with their managers in an attractive atmosphere (Armstrong, 1991). Performance Appraisal System is a continuous process and a natural aspect of management and assess performance by reference to agreed objectives. Performance management gives direction to the employees through guidance from management (Medlin, 2013). Managing organisations is about managing performance of people who work in organisations. The human resources managers believe that PAS is a good tool for

performance improvement. If well designed and implemented, it can benefit both the employees and the organizations (Coens and Jenkins, 2000). DeNisis and Pritchard (2006) aver that attitudes toward performance management affect the performance of employees in organisations.

The contemporary approach of performance appraisal is associated with employees as individuals. In this approach, performance appraisal is used as a contributor to employee motivation, development, and human resources planning. The primary goal of performance appraisal is to modify work behaviour (Austin et al., 1991). Research on performance appraisal has evolved from a pure focus on how to measure performance to examining the social context where performance appraisal takes place (Ferris et al., 1994; Fletcher, 2001; Ilgen and Feldman, 1983).

Recent studies on performance appraisal social context have been built on fairness and due process literature (Folger et al., 1992), encapsulating whether fair and respectful treatment has been used in appraisals (Findley et al., 2000). Two dimensions have been identified as constituting performance appraisal context (Findley et al., 2000; Folger et al., 1992; Giles et al., 1997): one includes fairness of the structures, procedures, and policies of an appraisal system (i.e. PA system facet) and the other involves fairness in the interpersonal interaction patterns between supervisors and subordinates (i.e. PA process facet). This study focuses on PA process which provides a proximal environment of performance appraisal directly, whereas the PA system facet has an indirect relation as shown in previous research (Folger and Konovsky, 1989; Tziner et al., 1998; Findley et al., 2000; Folger et al., 1992).

In the contemporary approach, the purpose of performance appraisal emphasizes that employees have full potentials that can be explored and expanded. Employees with promising abilities and expertise can be employed positively to sustain the quality of service and product of the organisation. Consequently, with the employees' roles and responsibility to perform at the highest level of their work competencies, performance appraisal tends to be more constructive, parallel with the employees' work development.

With this, employees can collaborate with the employer based on a win-win situation concept. It should be stated that performance appraisals serves as an administrative and motivational process (Beer and Ruh, 1976).

While performance appraisals clearly have administrative and motivational purposes, and we do not wish to downplay these vital objectives, the exercise should also provide the organization with a dynamic control measure. Sadly, many firms “seem to implement metrics without giving any thought to the consequences of these metrics on human behaviour and ultimately on enterprise performance” (Hammer, 2007). One would find this markedly true with respect to performance evaluation. Indeed, the literature is replete with those bemoaning the disappointing results of such appraisals (e.g., Einstein and LeMere-LaBonte, 1989) with some even calling for their complete elimination (Bowman, 1994; Gray, 2002). While it is acknowledged the numerous issues surrounding the concept of performance appraisal, one would argue that abandoning the practice is not only impractical but more importantly, would inhibit an organization’s ability to use performance evaluation as a valuable strategic performance management measure. Consequently, it is simply a business imperative the performance evaluation process includes the characteristics necessary to meet the organizational needs of all stakeholders (Antonioni, 1994; Lawler, 1994).

The information obtained as a result of performance appraisal is materialised in the organisations through establishment of systems such as strategic planning, wage increases, promotion decisions, job enrichment, determination of education requirements, selecting of reliable personnel and similar purposes (Erdil et al., 2004). Despite the fact that it is not specified by the organisations openly, another purpose of the performance appraisal is to reduce “the favouritism” and to project an image of an objective and unbiased management to the employees (Dilsiz, 2006). In general, the organisations are using the performance appraisal for three purposes: managerial purposes, development-oriented purposes and educational purposes.

2.3 Essential Characteristics

It is highly unlikely that any performance appraisal system will be totally free from criticism or even immune to legal challenge. However, based upon our experiences and a review of the literature across disciplines, evaluation systems possessing certain definitive characteristics are apt to be more defensible legally while producing useful functional and strategic information and results for the organization, its managers, and its employees. Consideration of these characteristics will make another significant point abundantly clear: development of an effective appraisal system is not an easy chore, nor does it happen overnight (Boice and Kliener, 1997). A performance appraisal system that does its job well is the result of hard work, careful thinking, and serious planning; especially so when the integration of the administrative, developmental, and strategic needs of the firm is intended. Consistent with this perspective, we describe eleven characteristics an effective employee performance appraisal system should reflect: formalization, job relatedness, standards and measurements, validity, reliability, open communication, trained appraisers, ease of use, employee accessibility to results, review procedures, and appeal procedures.

2.4 Formalization

The first requirement for any effective performance appraisal system is that it be formalized. There should be definite written policies, procedures, and instructions for its use (Allan, 1994). Such written guidance should be furnished to all appraisers. General information about the system should be given to all employees through an employee handbook if one exists or by a separate memorandum if an organization has no handbook (Longenecker and Fink, 2011). Formalizing the system requires an organization to think through all facets of performance appraisal and to clarify what it wants the system to achieve and how it will achieve it. While this may seem rather obvious, in our experiences, many organizational leaders have great difficulty in expressing what it is they wish to accomplish through the appraisal function and often view it as nothing more than a necessary administrative evil (Losyk, 2002).

Putting the system in writing tends to eliminate potential problems that may arise later within the managerial sphere (Somerick, 1993) so we understand this focus. This myopic attention, however, completely ignores the usefulness of the evaluation system as a feedback control measure. If senior leaders can be convinced of the value of performance appraisal as a strategic control metric, the system must be formalized to the greatest degree possible, so the results can be consistently feed back into the strategic process for decision-making, inspiration, improvement initiatives, problem-solving, and the successful alignment and/or realignment of people and processes needed for strategy implementation and adjustment. To not do so clearly puts the firm at a competitive disadvantage and, thus, must be recognized as a substantial organizational weakness (Humphreys, 2007).

2.5 Job Relatedness

All factors used to evaluate performance must flow from the jobs that are being appraised. Inasmuch as performance appraisal is an employment test according to the definition of test given in the Uniform Guidelines on Employee Selection Procedures (Allan, 1994) general traits, personality characteristics, and tenuously related job factors should be scrupulously avoided. Only appraisal factors that account for success or lack of success in performing a job should be used. These factors must be susceptible to standardized definition and uniform interpretation by all appraisers (Martin and Bartol, 1998). Such standardization certainly enhances the reliability of the process for control purposes.

Developing job-related performance factors may, obviously, necessitate creating different sets of factors for different levels or families of jobs (Martin and Bartol, 1998). Because jobs differ in content and expected results, it is difficult to develop a single set of performance appraisal factors that will adequately cover every job in an organization (Sales Agency Management, 1999; Marsden, 1999). Moreover, the increased level of task and/or group specificity of these evaluation elements significantly improves the firm's ability to measure their strategic objectives in terms of key performance indicators. Thus, weak job-related measures do more than run afoul of the law and lower employee morale;

they can hinder the organization's strategic ability to execute properly in dynamic environments.

2.6 Standards and Measurement

Standards are expectations, norms, desired results, or anticipated levels of accomplishment that express an organization's concept of acceptable performance (Sales Agency Management, 1999). To set standards, an organization must carefully examine each of its jobs and determine reasonable expectations that are acceptable to both the institution and the employees performing the jobs. This is not an effortless task, but it is one that must be accomplished if performance is to be evaluated meaningfully (Brown, 1987). Once standards have been set, some method of measuring actual results must be developed. In many instances, measurements are difficult to establish because many of today's jobs do not lend themselves to straightforward quantification. Yet if comparison with established standards is to be accomplished, a measurement system must be developed (Marsden, 1999). Even imperfect measurements would seem to be better than no measurements at all.

Establishing standards and measurements is a difficult and challenging task, but it is one that must be accomplished if job performance is to be evaluated accurately. Further, accurate appraisal of standardized, job-related measures is an absolute necessity if the desire is to integrate the information into the overall strategic processes of the organization – a must if there is to be consistent functional alignment with the broader organizational objectives (Longenecker and Fink, 2013b).

2.7 Validity

A test is valid if it measures what it purports to measure. As far as performance appraisal is concerned, the system employed, or the method used is valid if it measures what it is designed to measure: actual job performance as compared with the established standards. Establishing the validity of performance appraisal begins during job analysis, the process wherein job performance factors are clearly identified (Marsden, 1999). These factors

may include quantity of work, quality of work, meeting of deadlines, adhering to prescribed procedures, and so forth. Whatever the specific factors are, they must be items that directly and specifically reflect the outcomes expected of an individual performing the job. Again, they should also be items that are subject to explicit definition and measurement.

As far as performance appraisal is concerned, there should be a reasonably high relationship between the evaluation an employee has received on a performance factor and the actual results the individual has achieved as measured by that factor. Employees who consistently produce high volumes of output should consistently receive a higher rating on this performance factor than employees whose output is lower. Unfortunately, most performance appraisal systems currently in use do not appear to have been subjected to statistical validity studies as required by the Uniform Guidelines. This is tragic, since the consequences of feeding invalid information back into the strategic process can be deadly. If the performance appraisal system is to function as a control metric, we must take great care in establishing the validity of the method.

2.8 Reliability

Reliability, statistically speaking, refers to the ability of any test or measurement to produce consistent results. A performance appraisal system that does not consistently measure work performance accurately cannot be considered an effective one (Marsden, 1999). Assume, for example, that an employee's actual work performance on a particular job factor or even a whole series of factors is, in fact, considerably above expectation for three evaluation periods, but that the individual received an average rating on the job factor or factors for the first period, a high rating for the second period, and a below average rating for the third period. A performance appraisal system producing such results could not be considered a reliable one because of the absence of consistency. High performance must consistently receive a high rating, just as low performance must consistently receive a low rating for the measurement system to be considered reliable (Longenecker and Fink, 1999).

Where definitive standards and measurements are not used, reliability problems often arise in performance appraisal because appraisers lack objective criteria for evaluating performance, thus opening appraisers to committing performance evaluation errors that produce inconsistent, unreliable results. Yet again, employing unreliable control measures can be devastating when introduced into the strategic management of the firm. We believe so much so that if the reliability of your appraisal system is in question, it may be positive that your company is not using the evaluation process for strategic input.

2.9 Open Communication

All employees have a need to know how well they are performing (Lee, 2005). An effective performance appraisal system assures that feedback is provided on a continuous basis, not in the form of a written annual evaluation, but in the form of daily, weekly, and monthly comments from an employee's supervisor or manager (Lee, 2005). For any performance appraisal system to be effective, this ongoing aspect of its nature must be emphasized to appraisers and the necessity of providing continuous feedback information on job performance must be underscored (Longenecker and Goff, 1992). The annual evaluation and its accompanying interview or performance discussion must be devoid of surprises. While the annual performance discussion presents an excellent opportunity for both parties to exchange observations in depth, the annual performance appraisal discussion is not a substitute for day-to-day or week-to-week performance communications (Longenecker and Fink, 2014). Avoiding or inhibiting such communication is without doubt a real organizational weakness strategically.

Although we are in complete agreement with this, it is also true that the organization understands how well it is doing more broadly defined. This must be a significant component of the strategic management process and is the very definition of strategic control. Therefore, not using such functional level data as feedback control at the strategic level is imprudent and discards the input of valuable organizational stakeholders (Humphreys, 2003).

2.10 Trained Appraisers

Essential to the effectiveness of a performance appraisal system is thorough training, as well as periodic updating and retraining, of all individuals in the organization who conduct evaluations (Allan, 1994). Classroom training is especially important when a new or revised system is being installed; classroom training is also indispensable for all new managers and supervisors. An organization should never assume that because performance appraisal information is contained in a supervisory or managerial handbook or is included in the company personnel policy manual, supervisors and managers will automatically learn how to conduct effective appraisals. In addition to formal training sessions, opportunities for coaching and counselling by the appraisers' immediate supervisors and managers should also be incorporated into the system's procedures (Longenecker, 2010). Such personal sessions often permit the discussion and resolution of appraisal problems in their incipiency. Moreover, by actively involving each level of management in teaching performance appraisal, the system becomes more strongly imbedded in the organization as a vital function of human resource management, and as a result, the broader strategic management processes (Humphreys, 2005).

2.11 Ease of Use

A performance appraisal system does not have to be complex to be effective. In fact, the simpler the system, the easier it is to use, the more readily it can be understood by evaluators, the more likely it is to be used in the manner intended (Allan, 1994). If the system is firmly based on standards and measurements, it will probably be not only easier to use but also more valid and reliable, than many of the performance appraisal approaches in use today. Fortunately, the attempt to develop a system that is easy to use forces senior executives to spend considerable thought to what they wish to receive from the appraisal function. Also, an evaluation system that is well-designed and efficient simplifies use by all stakeholders and creates greater understanding of the role the appraisal system plays in strategic management and long-term organizational success (Longenecker and Fink, 2003).

2.12 Employee Access to Results

It is not clear now if Permanent Secretaries must be given access to their personnel records, including all files or other data pertaining to their performance appraisals. Presently, this requirement applies to junior employees in at large, but there are several reasons that suggest the necessity of allowing employees to examine any records relative to their job performance. First, secrecy may breed suspicion about the fairness of the system in the minds of employees (Lee et al., 2004). Second, concern about the fairness of the system could conceivably lead to discrimination charges and raise motivational issues related to perceived inequity. Third, the concept of fairness in dealing with employees suggests that employees have implicit rights to certain kinds of information that directly affect them on their jobs. Fourth, permitting employees to review their performance records builds a safeguard into the system in that employees can detect errors that may have been made in performance evaluations. Finally, since one of the espoused purposes of performance appraisal is employee development, employees need to have access to performance records if they are, in fact, to initiate efforts to improve the ways in which they carry out their job duties and responsibilities (Mount, 1984). Such development and continuous improvement are hallmarks of effective strategic processes and should be recognized by all stakeholders if they are to serve as operational control metrics.

2.13 Review Procedures

To eliminate any problems of bias, discrimination, favouritism, or the like, a performance appraisal system needs to include a review mechanism (Allan, 1994). The next higher level of management, usually the evaluator's immediate supervisor, should automatically review all evaluations of employees made by subordinate managers. The purpose of this managerial review is not to have the higher level manager perform a second appraisal; rather, it is for the purpose of auditing the evaluation for fairness, consistency, accuracy, and assuring that the evaluator has carried out his or her function objectively. While a secondary review increases the amount of time devoted to the performance appraisal process, such action tends to protect both the employee and the organization by trying to

assure fairness and consistency in all employee evaluations. In addition, the inclusion of different managerial levels increases the value and likelihood that the data generated by the review will be incorporated into the various levels of organizational hierarchy. The process information, then, can be more efficiently interjected into the broader strategic management of the firm. Of course, senior leaders must recognize that valuable strategic input emerges from all levels of the firm (Humphreys, 2005) and that benefits of appraisals are communicated.

The benefits of effective formal performance appraisals include more effective performance planning, better coaching and performance management, providing a platform to discuss and achieve performance improvement and employee development and providing documentation that can be used for a wide variety of HR decisions (Longenecker and Fink, 2011). But when appraisals are ineffectual, they create a number of serious problems that negatively impact individual performance and organizational outcomes that include damaging the manager-subordinate working relationship; demotivating and frustrating employees and their managers; wasting people's critical time resources; stifling employee development; breeding negative attitudes; creating inaccurate documentation of an employee's contribution; damaging the link between employee performance and rewards; and harming the overall credibility of an organization's HR function (Longenecker and Fink, 2013). Research has revealed that to avoid these dysfunctional outcomes, effective performance appraisal systems need three critical system components (Longenecker and Fink, 2014):

Effective system designs: Effective performance appraisal systems design includes:

- (a) A clearly defined and value-added purpose for conducting formal performance appraisals, which is clearly stated and understood by all;
- (b) Extensive input by employees and managers (users) on how the appraisal system should function;
- (c) Appraisal procedures that are easy to follow and rating forms that are job-related and performance based; and

- (d) Systematic education and training of both managers and employees and their perspective rules on how the appraisal system operates.

The “system design” component lays the foundation for effective appraisal practice.

Effective managerial system practices: Effective managerial appraisal system practices, which produce the best results include:

- (a) Individual managers at all levels conducting effective performance planning to clarify roles, goals and expectations;
- (b) Managers providing their people with ongoing informal appraisals and coaching on how to improve their performance; and
- (c) Managers conducting effective written and face-to-face performance reviews in a candid and forthright fashion.

A properly designed system will fail if these key practices are not part-and-parcel of an organization’s performance culture and managerial *modus operandi*.

Effective Appraisal System Support: Finally, appraisal systems that produce desired outcomes maintain an effective appraisal system-support component that motivates managers to practice effective rating behaviours. This appraisal support component includes: top management support of the appraisal process, including effective managerial appraisal; appraisal outcomes that are directly linked to performance ratings; and a monitoring component to ensure user-satisfaction and compliance with the rating system, and corrective action when desired outcomes are not forthcoming.

A properly designed system must have ongoing support, real impact on HR decision-making and ongoing corrective action to maintain its effectiveness. In summary, according to our previous research, to design or re-design an effective formal appraisal processes a “systems approach” must be followed (Longenecker and Fink, 1999).

2.14 Reasons Institutions Undertake Performance Appraisal Based Training

The goal of performance appraisal should be to provide information that will best enable managers to improve employee performance. Thus, ideally, the performance appraisal provides information to help managers manage in such a way that employee performance improves. Cleveland and her associates (Cleveland et al., 1989) presented a classification of the reasons for conducting appraisals in organizations, and these included documentation, within-person decisions (feedback on strengths and weaknesses) and between-person decisions (who to promote). Much earlier, Meyer et al. (1965) discussed the 'split roles' of performance appraisals, citing developmental feedback, and decision making as the two major purposes for conducting appraisals. Performance appraisal of an employee is imperative in managing the human resource of an organization, (Dilsiz, 2006). General objectives of training activities are; orienting new employees to the organization and their job, helping employees perform their current jobs well, helping employees qualify for the future jobs, keeping employees informed of changes within the organization, providing opportunities for personal development (Erdil et al., 2004). It helps to identify and overcome the problems faced by the employees on his/her work (Mackey and Johnson, 2000). Although it has many benefits for the organization, Anderson (2002) states that performance appraisal has the equal probability of having a bad impact on the organization as well as on employee performance.

2.15 Models of Staff Performance Appraisal System and Training

Clayton (2000) claimed that as with many human resource systems, performance appraisal systems evolved out of a perceived requirement to institutionalize and centralize good human resource management practice. The systems were set up to aid corporate decision-making, particularly for the purposes of salary review and promotion. The assumption was that line managers concentrated on their line activities and the human resource manager was interested in the people aspects of management. This led to the disempowering of the line manager and the abdication of good people management practices to the human resource department.

In management science, it has been realised that a more systematic approach ought to be used and hence the introduction and development of several performance appraisal techniques including the popular technique called the Management by Objectives (MBO). But although very logical in design, the systems were less successful in practice because it was implemented mechanistically and that objectives were imposed on subordinates from above (Fletcher and Bailey, 2003). Critics to MBO argue that the style was judgemental, and feedback would be given without the right to reply. Performance appraisal has generally been seen as a more participative, problem solving process concentrated on task performance rather than personality (Ford, 2004).

Belief about the nature of human abilities, theories of motivation, trade union concerns, government legislation and changing social attitudes have all influenced and modified performance appraisal process (Grote and Grote, 2002). During the 1990's the evident difficulties of assessment and appraisal as isolated activities resulted in growing shift in performance management and the need to link the requirement of business strategy to all employees (Levinson, 2005). Hence the performance measurement system like Balanced Score Card. Although the CIPD (2005) purport that there is no one right way to conduct an appraisal, they do advise that there are five key elements to a performance appraisal, underpinned by effective dialogue. Unlike earlier performance appraisal systems where the application of the systems were limited to the managers, there were trends to broaden the application of performance appraisal systems to employees in most job roles, and making performance appraisal much more than a top-down only process. It is commonly accepted that performance appraisal is more effective if an appraisee have more involvement in the review of his own performance (Mackey and Johnson, 2000). Moreover, with the development in upward appraisal, whereby the subordinate appraises the performance of the boss, performance appraisal has become even more democratized (Markle, 2000; Mackey and Johnson, 2000).

Some observations on the development of performance appraisal practice concluded that the changes that take place in the field of performance appraisal illustrate the fact that

activity in this area reflects wider changes in societies. As societies have become more open and less rigid, so has performance appraisal. Performance appraisal has developed from becoming the sole concern of top management to being something that the appraiser, the trade unions, the government have a say in (Fletcher and Williams, 1992; Mackey and Johnson, 2000).

Performance appraisal research has primarily focused on perfecting the appraisal instrument and measurement issues which has led to the system being built around a central technique (Mani, 2002). Basically, there are two appraisal techniques- subjective based procedure which deals with observable acts and the objective based procedure which defines performance according to tasks and targets (Orpen and Christopher, 1997; Poon, 2004). The type of technique used drives the appraisal process and contributes to organizational development (Mondy and Noe, 2008).

2.16 Behaviorally Anchored Rating Scales: (BARS)

Behaviorally anchored rating scales are a modernized or extended version of the subjective graphic scale. They are an apparent attempt to transform the graphic rating scale into an objective appraisal in terms of level of performance and performance objectives. In other words, they are corrective measures for many of the subjective concerns that cloud the validity and hinder the use of graphic rating scales (Goodge and Watts, 2000). Fletcher and Williams, 1992) state that this is an objective performance appraisal that describes performance along the continuum measuring from low to high. Each job performance is customized and is not assessed generically hence needing a lot of expertise and resources. It is therefore uneconomical and therefore not widely used (Fletcher and Baldry, 2001).

Even though BARS have received much attention in the private sector, they are also relevant to the governmental settings because it is process-oriented rather than result-oriented. This is perhaps even more characteristics of public sector than private organizations. Teamwork and conditions of fragmented authority which are more likely

to occur in government agencies are factors that inherent in the BARS approach to performance appraisal (Grote, 2002).

This technique specifies definite computable, quantifiable, and observable job behaviour on a range and the employee is rated based on his/her behaviour along the continuum. The scales combine elements of critical incident and graphic rating approach. In anchoring behaviours with specific examples BARS has two main options to choose from- behaviourally expected scales (BES) which represents managements judgment call as to what can be done and the behaviourally observed scales (BOS) which anchors its behaviours firmly in the reality of the situation (Clayton, 2000).

Furthermore, the BARS represent a passive application of participatory leadership where employees are incorporated in decision making process. For the approach to work it must be accompanied by bureaucratic immunity and structural accommodation. Bureaucratic immunity prevents ordinary standards procedures and control process which can thwart change and success. Structural accommodation employs a high degree of autonomy in terms of decision making and resource allocation (Baltaş, 2002).

2.17 Management by Objective Appraisal System

The management by objective approach originated as a process whereby managers can transform their strategic plans into implementable action (Işığışık, 2007). In this approach, participation is central; goals and objectives are worked out based on mutual understanding. This enhances teamwork and relationship building among the supervisors and the employee. In addition, there is constant communication between the participants, prior notice is given before scheduling the evaluation process, and at the end of the process "performance review or rating" is discussed and analysed (Kaynak and Bülbül, 2008).

The MBO is a result-oriented and objective approach which often decentralizes power to lower-level decision makers and tailors everyone's performance with job responsibilities.

Employee participation in work-related decision making gives him/her a sense of belonging which increases performance and productivity (Kırbaş, 2010). Furthermore, MBO is a means of setting precedence and resource allocation for achieving them. However, the public sector often works in ambiguity due to the political environment that dominates it. This has the potential to undermine the implementation of MBO in that sector. Hence, organizations resort to using the BARS format for those positions that involve numerous incumbents. Nevertheless, due to the inherent problems associated with the subjective techniques in terms of lack of communication, inter-rater differences, errors and inability to adequately explain to others the procedure of the appraisal, objective technique is most preferred (Öğüt et al., 2004). Hence, behaviorally anchored rating scales (BARS) and management by objective (MBO) approaches are most often used in place of subjective essays, graphic rating scales, forced choice checklist and forced distribution interpersonal comparison (Waldman, 1997).

Murphy and Cleveland (1991) states that MBO method is a joint effort between the manager and the subordinate in setting up objectives and targets. Rewards therefore are tied to the achievement of these agreed targets, which are evaluated, and feedback given on an ongoing basis. The work planning and review; managements of agreed upon goals; control of these goals and management of the results are steps that bound the MBOs. The method is suited for both evaluative as well as development of the employees. MBO method, however, is not economical in a situation where a superior has a larger span of control. The nature of MBO is that both must jointly set and monitor goals on an ongoing basis. As a result, the method is not widely used and where used, it is used as part of the generic performance appraisal process and specifically on the part of employee development (Erdil et al., 2004).

2.18 Ranking Methods

Literature available reveals that Ranking Method evaluates employee's performance ranked from worse to best (Dessler, 2008). It is often used for evaluative decision such as promotions and choosing employee of the month. Normally pre-determined categories are established such as from 1-10 is poor; from 11-20 is good and from 21-30 is very

good. It can also be used by superiors in developmental decisions such as letting employees know where they stand in relation to fellow colleague's performance so as to allow them strive to improve their own performance (Garg and Rastogi, 2006).

2.19 Graphic Rating Scale Form

This performance appraisal form is most popular and widely used because of its generic application to most jobs, therefore more economical. It is a measurement on a continuum by the superior who is rating a subordinate in simple words such as excellent, good, average, fair and poor. It has a numerical scale and used for both evaluative as well as developmental decision-making purposes (Dessler, 2008).

2.20 Critical Incidents Method

Line managers and supervisors record written positive as well as negative narrations of critical incidents during performance period of an employee. For it to be effective, coaching on how to record information is important and disciplining along the way than wait till it is appraisal time. This helps remove disagreements during performance appraisal, which should never have surprises. Critical incidents method is used for both evaluative as well as developmental decision-making purposes (Desimone, 2002).

2.21 European Foundation for Quality Management Model (EFQM)

The European Foundation for Quality Management (EFQM) Excellence Model is a management model with a self-assessment framework which can be applied to any organization to evaluate qualitatively the strengths of work performance and measure the areas of improvement across all activities that constitute a particular task. The model looks at four themes as enablers which examine what the organization is doing. These themes include among them-Customer Satisfaction, People Satisfaction, Impact on Society and Key Performance Results-which the organization achieves.

2.22 360 Degree Feedback

This method involves getting a feedback about the employee from every individual who interacts with him during his working hours. They can be his peers, his subordinates, his superiors, customers who have interacted with him and even he himself would be interviewed about his perception of himself and his duties at the workplace. This performance appraisal method would be very useful for start-ups, because the best way to review an employee's overall performance and get an insight about his behaviour, personality, and attitude this is the best method to follow. Although it is a little time consuming, but it is cost effective and precise. It keeps biases out of play due to multiple opinions, so that the review is not affected by biases of one person.

Appraisals are the means to an employee's career development. Therefore, effective performance appraisal methods not only help the employee grow, but also the organisation. If the employee is given feedback regularly and frequently, the organisation will be at the receiving end of the profit too. Performance reviews are important because they help identify and set goals for the employee, recognize performance over time, guide progress, identify the problem areas or weaknesses, improve performance and discuss career development in the company. Companies should give promotions and appraisals frequently because it keeps the employees motivated to perform better, thereby maximizing the efficiency of the employee, and the productivity of the company.

2.23 Recent Trends in Employee Performance Appraisal Research

The evolution of employee performance appraisal reflects a challenge for nowadays' organizations represented by the dynamics of internal and external factors. Contextual factors such as structure, policies and systems, etc., have a significant role, embedding a broader approach of performance management in employee performance appraisal in purpose to enhance both individual and organizational performance (Edmonstone, 1996). Dattner (2015) also underlines the importance of considering the appraisal context for devising effective employee performance appraisal systems. The same author highlights that, according to the activity profile or size, etc., each organization ought to promote its

own customized approach in designing and implementing employee performance appraisal, focusing on informal feedback (e.g. in start-ups) or as part of structured systems, using specific evaluation criteria and platforms which allow the collection and analysis of qualitative or quantitative data (e.g., in large companies) (Dattner, 2015). Furthermore, the role of establishing customized performance standards according to the organizational context where employees' performance appraisal takes place has been highlighted, in order to define different expectations for different jobs, according to the object of activity of the company where these are implemented (Pulakos, 2009).

On the other hand, employee performance is influenced by the perception and understanding of organizational culture, climate, and interactions of employees with their peers. In such a context, organizational factors are considered in relation with performance results, determining a continuing redesign of performance appraisal and management systems and processes where the organizational context is considered in a larger context (the industry, etc.) (Goodall et al., 1986, McKenna, 2011).

Moreover, recent studies on performance management processes emphasize that employee performance appraisal takes place in a social context and that the context contributes to the appraisals' effectiveness and to participants' reactions to the process (MacDonald and Sulsky, 2009). Specifically, in their recent work, authors Pichler et al.(2015) highlight the social context of the performance appraisal, mentioning the role of the exchange of information between manager and employee, with impact on procedural justice and performance appraisal, suggesting future research focus on motivation to improve performance leading to better understanding of reactions regarding appraisal and future intentions on performance. In this context, the focus on the relationship between employee and manager emphasizes that the performance management system might be successful by improving the communication between manager and employee and, consequently, the performance management systems in particular organizational contexts (Pulakos and O'Leary, 2011).

The effectiveness of the performance management system may be related to the social context of performance appraisal, as daily behaviours and interactions have a significant role (Pulakos et al., 2015). Moreover, authors Levy *et al.* (2015) also emphasize the role of social context of performance appraisal on the approach and effectiveness of employees' performance management system. Furthermore, the effectiveness of employee performance management is influenced by contextual factors, such as organizational culture, climate and the strategic integration of human resource management (Haines III and St-Onge, 2012).

The authors underline the role of organizational culture that reflects employees' engagement identified through a shared mission, a relational climate referring to the nature of social relationships between the management team and the employees, and the strategic integration of human resource management, which highlights that performance management has a significant importance, as it is a strategic integrated part of the system of human capital practices, encompassing important strategic objectives of the company (Haines III and St-Onge, 2012). Consequently, it is recommended that managers should consider the role of the organizational context where the employee performance appraisal takes place to enable the effectiveness and enhancement of employee performance management, including employee performance appraisal systems and processes.

2.24 Emphasis on Contextual Factors in Employee Performance Appraisal Models

According to the recent trends in employee performance management and employee performance appraisal research presented above we selected key dimensions of the organizational context to be included in our proposed research framework. We focused on two similar models, Levy and Williams' (2004) and Murphy and DeNisi's (2008) that include contextual factors influencing employee performance appraisal with a positive impact on individual performance improvement. Considering the first model of Levy and Williams' (2004) the authors organized the identified contextual factors in proximal and distal factors, the first category of proximal factors being also organized in process and

structural factors (Levy and Williams, 2004). The process proximal factors have “a direct impact on how appraisal process is conducted including things such accountability or supervisor-subordinate relationships” (Levy and Williams, 2004) whereas the structural factors refer to “the configuration or makeup of the appraisal itself” and include “things like the appraisal dimensions or frequency of appraisal”.

According to Murphy and DeNisi (2008) there are sets of proximal and distal factors which influence the employee performance appraisal, where the most important proximal factors are the purpose of the appraisal, organizational norms and the acceptance of the performance appraisal system, and the prominent distal factors refer to industry norms, national culture norms, the strategy and company’s performance, the legal system and the technology employed. The authors also identify intervening factors with an impact on employee performance appraisal, such as frequency, appraiser-employee relationships, appraiser motivation, perceived purposes and uses of the appraisal data. However, recent work highlighting the influence of contextual factors on improving results and behaviour regarding performance appraisal also indicate proximal contextual factors, such as beliefs and attitudes about the appraisal system and the orientation to appraisal system, and distal contextual factors, such as employees attitudes and beliefs about their organization and attitudes toward the organization moderated by rater personality (Tziner, 2015).

According to the research models presented above, the motivational factor was identified as a component of the organizational context, with a dynamic role in organizations. Also, according to Armstrong and Ward (2005) and Pritchard and Diazgranados (2008) the role of motivational elements in an employee performance management model is vital. For instance, Armstrong and Ward (2005) identify motivation as the „forgotten element” as “the extent to which the organization’s approach to performance management unlocks discretionary effort among its employees”. However, referring to performance improvement, DeNisi and Smith (2014) mention as well the importance of the employee motivation, suggesting the focus on “the process through which an individual employee might be motivated to improve his or her performance”.

2.25. Job Stresses and Conflicts, Organizational Political Behaviour, Internal Equity

Munz's (2001) research described that stress is the personal anxious reflection of the interaction of environment requirement and personal characteristic. If we consider individual and the organization's environment as a system, the personal anxious reflection is caused by one link of this system, which may be the individual himself or one factor of organization's environment or some variations in the system. Luthans (2004) showed that people who have great patience can develop even better in the environment with stresses, but to people who do not have patience, stresses may lead to negative results.

From a macro view, organizational stressors include management policy and strategy (including competition stresses and pay for performance); organizational structure and design (no opportunity to promote); organizational procedure (including both punishment system and lack of performance feedback); job environment and so on. Jackson (1993) also described in his research that most conflicts about contests in occupying resources and authority can lead to conflicts because of resources scarcity. In these organizational stressors, payment strategy and promotion opportunity are based on performance appraisal, so corporation's management policy related to performance appraisal, appraiser's style and individual's characteristics in enduring stresses. All these three factors interact one another that lead to personal worries, which can become heavy stresses. And from the conflict caused by resources scarcity and promotion, we can see that performance appraisal can also lead to organizational member's conflicts. Now we should point out that the interaction between interpersonal and organizational level leads to conflicts but not stresses, because individual stressors and individual conflicts are similar in definition, the conflicts studied in this paper is group conflicts in organization.

Stress, Conflict and Organizational Political Behaviour

Most people's deepest impression when talked about 'political' is 'power' and 'finesse'. In a word, political is often considered complicatedly, so it is when organizational political behaviour is talked. Previous study showed that managers, as appraisers, often

make mistakes because of political motivation. If managers intend to exaggerate the performance of employees who are loyal to them, while “warn” the employees who they do not like by giving them lower appraisals, this phenomenon is easy to understand. There is one explanation which Gray and Ariss have given in their studies. They have defined organizational political behaviour as the conscious acts taken by individual or community to protect or improve individual’s advantage when conflicts happen. When daily conflicts between appraisers and employees turn into emotional conflicts and appraisers’ personal quality is not so good, it usually leads to reprisal by using their authority.

Ferris et al. (1996) pointed out in his research that organizational political behaviour is one potential stressor in organization environment. We can see that no matter in the surface of community or individual, organizational political behaviour can both lead to job stresses and conflicts, and these two circulate at the same time, we can’t overlook one common psychology of employees, i.e., people are more interested in hearsays. If these hearsays spread widely and frequently, which would make performance appraisal looks like informal procedure, by and by, performance appraisal will turn out to be just a form, and form an organization performance culture such as “only the boss can decide all the things.” Gradually, such culture will lead to more organizational political behaviours that are not good for organization.

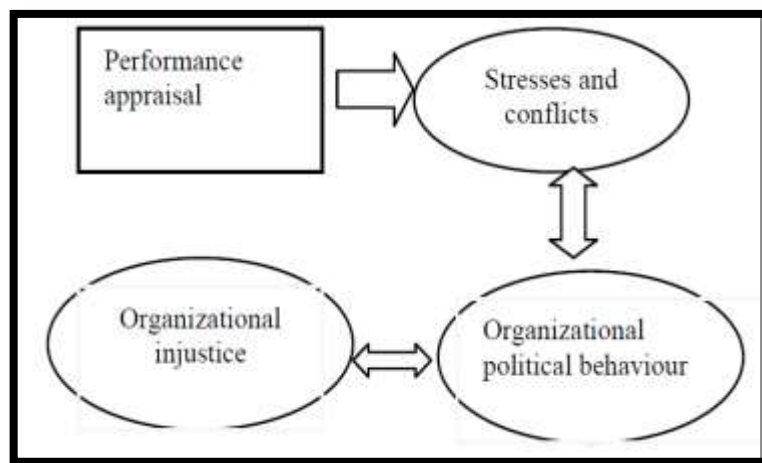


Figure 2.1: Relationship among Stresses and Conflicts, Organizational Political Behaviour and Organizational Injustice Based on Performance Appraisal

2.26 Performance Management Process

Performance management process requires performance Planning to achieve performance standards; performance planning will have to be informed by strategic planning, to achieve the desired performance of a system and publishing performance plan. Performance management is a continuous process of planning, coaching, and reviewing employee performance. The following are critical in the appraisal process.

(a) *Setting System Goals:*

The system could be any organized assembly of resources and procedures united and regulated by interaction or interdependence to accomplish a set of specific functions. In addition to a collection of personnel, equipment, and methods organized to accomplish a set of specific functions. Theory suggests that SMART goals are necessary to prevent the diffusion of organizational energy (Kaplan, 2001). By quantifying goals and measuring whether they are achieved, organizations reduce and eliminate confusion about objectives, and gain coherence in pursuit of their mission.

(b) *Identifying Performance Gap:*

Any business needs to compare the present level of performance to the desired level of performance. Therefore, it is necessary to identify the desired level of performance in measurable terms; the performance gap occurs when there is a difference between where one is and where he/she wants to be (Braverman et al., 2004; Wilson, 2005; Piskurich, 2006; Pressley et al., 2007; Hall, 2008). Performance gap analysis helps identify the reasons causing the gap and taking appropriate steps to reduce it, in addition to improving the effectiveness and efficiency of employees, ensuring target achievement, facilitating easy adaptability to change, concentrating on individual employee performance improvement and team performance improvement, and then an overall corporate performance improvement will result (Lewis and Entwistle, 1990; Schlessenger and Heskett, 1991).

(c) Identifying *Performance Constraints*:

There are always limitations to the performance of the system of interest, and that despite the complex web of relationships, these limitations are caused by just an element in the system which is known as “constraint” (Goldratt, 2000). Constraints can come in many forms, and it is often difficult to know where to look first. Constraints may be controllable (removable) [financial – resources – material – market demand –knowledge/competence] and others are sometimes uncontrollable (irremovable) [environmental factors – policy/regulations – culture] aligned with business rules and policy. By taking the theory of constraints philosophy into consideration, improvements in performance can only be achieved by focusing on system constraints. Goldratt and Cox (1992) suggest five generic steps to achieve this focus that can be applied to any system.

(d) Conducting *Cost-Benefit-Analysis (CBA) on each Constraint*

After that the system must decide which of these constraints has the priority to be removed that provides the highest quality at the lowest cost. In other words, the system urgently needs to weigh the costs involved in remaining those constraints against the benefits received by moving them (Holt and Elliott, 2003).

Among the several quantitative approaches to decision making which have become popular in recent years, CBA is the most widely used. CBA is the systematic and analytical process of comparing benefits and costs in evaluating the desirability of a project or programme, often of a social nature. It attempts to answer such questions as whether a proposed project is worthwhile, the optimal scale of proposed project and the relevant constraints (including financial, legal, among others) (Mishan and Quah, 2007; Florio, 2007). Therefore, CBA in all areas of research is used as part of wider evaluation of the impacts of a project (Jupp, 2006).

(e) Decide on *Improvement Strategy*

What might be a tremendous success for one company may be a failure for another. Improvement from a very good position in the previous year may be much more difficult

than improvement from a bad position. Accordingly, managers need to assess annual performance improvement to capture the starting point in decision making.

(f) *Publish Performance Plan:*

After applying the previous steps, the system publishes its performance plan to attain transparency (Armstrong, 2006). The system is now ready for performance measurement to know the position of the organization, where it is now, and where it will be.

(g) *Performance Measurement*

Subsequently periodical measures for an organization's progress toward explicit short- and long-term objectives are done. Feedbacks are given on the results to decision makers who can use the information in various ways to improve performance or predict the future performance (World Bank, 1996; Goldratt and Cox, 1992).

(h) *Improvement Action Process*

Through asking managers about the annual performance improvement, they will be able to report on their perception of change from one year to the next while taking into consideration their own perception of their firm's reference groups (including their firm's circumstance in terms of size, industry, stage of export involvement, technology intensity, and the characteristics of the foreign market).

(i) *Future Performance*

Decision makers also can predict future performance as previously mentioned. Future performance should be characterised by efficiency and effective performance measures; considering CBA; providing a continual self-assessment; periodically evaluate overall competitive position; reflect stakeholders requirements specially customer and identify their current and future needs; identify where problems exist and where improvements are necessary; set up comprehensive marketing; identify focal issues (strategic issues and research needs); encourage employees' innovations; provide transparency, including a "scoreboard" for employees to monitor their own performance levels; make interviews with stakeholders to convert these into their own job context (meetings) (Wilson, 2005).

Consequently, an organization's evaluation and performance measurement system play important roles as ways of providing information to decision makers who are engaged in managing organisations to achieve results and predict their future performance. Also, it sets the direction and forms the basis for measurement, feedback, assessment, and development in the performance management process.

2.27 The Reason why Performance Appraisal is not welcomed

Till now, there is not one perfect measure in performance appraisal, for performance appraisal lacks a confirmed standard. As Molapo (2002) found in one study about scales showed, scales may lead to appraisal errors. When appraisers use BARs (Behaviourally anchored rating scales), they may only observe behaviours regarding to scales in influence of the standard messages that scales have given and may have lost true information in memories after observation. In addition, with the finding of contextual performance, there is one more task in performance appraisal: appraise contextual performance. However, contextual performance pays great attention in communication skills and interpersonal behaviours which intend to promote job relations, and its index system mostly bases on descriptive index. So, most appraisal indexes have some subjectivities to affect equality, especially when task performance is not well defined (Pulakos, 2009; St-Onge and Morin, 2009). Sun Jian described in his book "360-degree feedback process" that it is hard to appraise the value of innovation and personal value in teamwork.

(a) Appraiser's view

In this paper, author has made a research to 30 human resources managers from 5 corporations in China through internet. To say about be an appraiser, they all confirmed that there are lots of scruples such as management, human relationship, profit and so on. It is hard to think about all the things (Erdogan, 2002; Dattner, 2013). It also worried lots of manager about conflicts with employees, so they felt hard to choose between part and whole benefit. When talked about halo error effect, stereotype effect, "like me" effect and other effects that make performance appraisal's results have deflections. Some appraisers think these factors cannot be controlled, while others think they have nothing to do with these deflections because they lack the training of skills and related knowledge. All these

problems create great stresses among appraisers, so they complain about their job (Haines and St-Onge, 2012).

(b) Employee's view

When the results of performance appraisal get out, we can often hear some employees complain about unfairness. They think they do better than others but have not got a better appraisal, and then they think others may get higher score in performance appraisal in other informal ways. In this case, we need to consider that others' organizational political behaviour affects one's sense of injustice (McKenna et al., 2011). In addition, we must pay attention to personal attribution deflection. In the theory of attribution deflection, selfish deflection has been described as one person often attributing their success to personal ability and efforts while attributing their failure to external environment such as bad luck or the impossibility of finishing task (MacDonald and Sulsky, 2009). At the same time, they attribute others' success to external environment while attributing their failure to personal factors. This attribution deflection leads to injustice sense, so people begin to think performance appraisal has no sense.

From above one could draw a conclusion that the core of why performance appraisal is not welcome is that the worries about job stress and disagree on organizational political behaviour, and the most important, is the sense of being fairly treated or not. So, what is the relationship between these three? And, can we start to change people's attitude towards performance appraisal, making it more positive?

2.28 Pragmatism and Resolving System Problems

A review of dissertations and theses in the University of Zambia library shows that these academic works have a section dealing with recommendations. The section on recommendations is not informed by pragmatic assumptions. Recommendations are made as gut feelings by researchers. A review shows that action research (AR) is not considered as a paradigm through which solutions to research problems could be found. In AR, researchers and practitioners tend to address real-life practical problems (Goldkuhl and Lind, 2010) and in the place of work, they use practice theory.

Practice theory (in this case the work practice theory of Goldkuhl and Röstlinger, 2006) is a theory about practices and their action elements. This means that this theory, per se, is an example of pragmatism. One of the main purposes of work practice theory is to contribute to practical work of evaluation and design. Work practice theory is like a model that could be used as theoretical basis for developing specific work practice actions. The theory is not only about practices and actions; it is also aimed for practices and actions. Work practice theory should be an example of functional pragmatism. There are several examples where the theory has been used in work practice and information systems inquiries. Based on Goldkuhl (2006), work practice theory is informed by the following constructs:

- a) Conceptualisations (*what things exist*)
- b) Patterns (*how things may work*)
- c) Normative criteria (*the goodness of things*)
- d) Models (*illustrative theory crystallizations*)

2.29 Conceptual Framework

According to Cole and Kelly (2011:300) performance appraisal is a systematic approach that entails a planned process to assess individual performance and commences with completing a form, conducting an interview, discussion of progress, results, and agreeing on action. Performance appraisal can take the form of a rational theory of management and emotional intelligence which sets the appraisal system in motion (Cole and Kelly, 2011). Thurston Jr. and McNall (2010:202) assert that performance appraisal could be guided by the traditional-rational and political perspectives which emphasise testing and measuring performance against set standards on the assumptions that appraisal is more about personalities, self-interest, power and negotiations. Performance appraisal is based under Theory X which was advocated by McGregor (1960) (in Cole and Kelly, 2011:301) and this is a management style which assumes that people are unreliable, unable to take responsibility and need close supervision and control. Cole further asserts that the

performance appraisal model is based on a cyclical process entailing setting of performance standards which are assessed against set standards or criteria. Cole questions the accuracy and fairness of such a performance appraisal system which is based on control. Bratton & Gold (2007:287) point to the three models of performance appraisal based on a performance control approach as shown in the Figure 2.2 below.

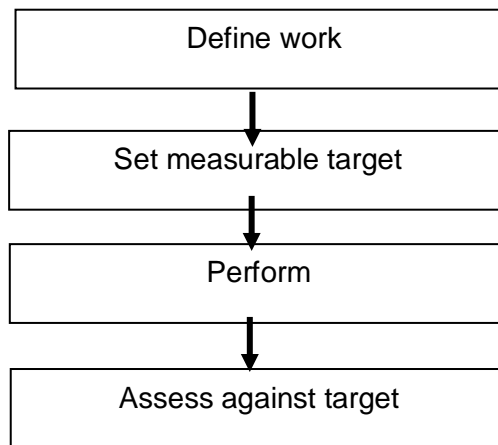


Figure 2.2: Performance control approach to appraisal
Source: Bratton & Gold (2007:287)

The Bratton & Gold (2007) assert that there is a shift to developmental approach which emphasised the view that it is important to harness peoples' potential and future development. The transformational process model emerged as an approach that measures output and behaviour (Bratton & Gold, 2007:290).

Nel et al. (2011:411) assert that the evaluation of employee performance can be based on two perspectives entailing the rational perspective which assumes that the value of each employee can be estimated and that the goal of appraisal is accuracy where supervisors and workers are passive in the process and workers' performance is clearly defined. On the other hand, the political perspective assumes that the goals of appraisal is utility and depends on the agenda or goals of the supervisor and what is being assessed is ambiguous. According to Rowland & Hall (2013), performance appraisals have evolved from subjective appraisals to more objective, integrative approaches that incorporate employee wellbeing and have become a more strategic part of the human resource management function.

Thurston Jr. & McNall (2010) assert that performance appraisal can be founded on the conceptual framework associated with the organisational justice theory where justice perceptions related to attitudes and behaviour that affect reaction to appraisal ratings. In this case, those appraised would react to an appraisal depending on their perceptions regarding fairness in the appraisal procedure. The due process model is premised on procedural fairness perceptions regarding treatment during the appraisal, allocation of rewards and decisions made (Thurston Jr. & McNall, 2010). This model could be applied to result in a shared view in the acceptance of performance standards which will be compared with actual performance during the appraisal process (Thurston Jr. and McNall, 2010:202). The two authors further said that the exchange theory could be used to incorporate aspects of the justice theory which entails procedural justice, interactional justice, interpersonal justice, and information justice.

Rowland & Hall (2013:197) also mention a variety of frameworks to explain appraisals, including the theory of distributive justice, the equity theory and the social sciences framework which could be useful to explain organisational approaches to performance management. Thurston Jr. & McNall (2010) assert that the equity theory, which relates to the economic exchange relationship, is based on the perception of equity and fairness in the distribution of outcomes from an appraisal process (Adams, 1963; Homans, 1961, (in Thurston Jr. & McNall, 2010:205). The two authors suggest that an appraisal would be perceived as fair if the latter is trying to motivate, develop an employee, and considered unfair if the latter tries to avoid conflict, uses favouritism, or has a political agenda. They assert that performance appraisals are more than objectives, judgements, evaluations, and interviews that are emphasised by the traditional and political models. Rowland & Hall (2013) suggested that objectives of performance appraisals should incorporate concepts of distributional justice and a wider ethical framework as perceptions on inequity impact on commitment and performance.

The proposed conceptual framework was adopted based on the reviewed literature and the main constructs under the study have been represented diagrammatically to show the relationship between the main constructs. The state of appraisal implementation process (Box 1) is all that happens in the appraisal system during the contract when the PS and

the Minister, on one hand, and the PS and the Secretary to Cabinet or his staff, on the other hand, meet to set systemic goals (Kaplan, 2001), identify performance gaps (Braverman et al., 2004; Wilson, 2005; Piskurich, 2006) assess performance and agree on the future (Pressley et al., 2007; Hall, 2008). Effective or ineffective appraisal process tends to be influenced by a horde of factors which may be linked to the appraisee or appraiser or the system (Goldratt and Cox, 1992; Holt and Elliott, 2003; Wilson, 2005) and depending on the degree of effect, this performance appraisal process is responsible for the outcomes (Box 1) and yields particular appraisal outcomes (Box 2). (See Figure 2.3).

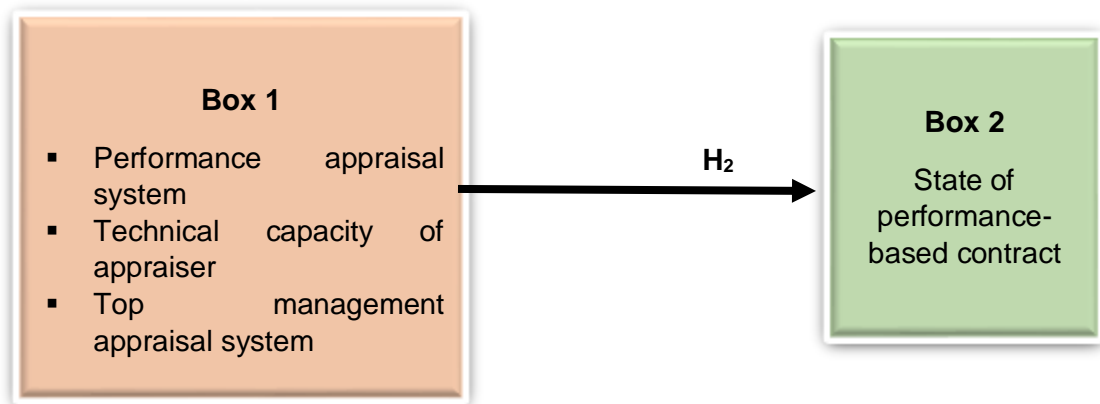


Figure 2.3: Conceptual Map

Source: Inductively drawn by the researcher

From the figure 2.3, three hypotheses are drawn and these are linked to the third objective “to determine correlates of shortfalls in the implementation of the performance-based contract system for PSs since 2016”. The hypotheses are presented in the preceding section:

2.29.1 Research Hypothesis

From the conceptual framework, this study was designed to test the following hypotheses.

HO₁: There is no relationship between the performance appraisal system and the state of performance-based contract for Permanent Secretaries.

HO₂: There is no relationship between the involvement of top management in the appraisal process and state of performance-based contract for Permanent Secretaries

HO₃: There is no relationship between technical capacity of the appraiser and the state of performance of based contract for Permanent Secretaries.

2.30 Chapter Summary

Attempt was made to review related literature on the subject at hand, which was establishing factors that influence the state of performance appraisal. Specifically, it systematically reviewed works on staff appraisal, nature and its use, staff appraisal and training, reasons institutions undertake performance appraisal system, theories used in performance appraisal system and human resource development. This is because a well-managed performance appraisal system helps organizations to identify gaps between actual performances outcome of an employee and that which is expected; identifies those gaps and then design interventions with a view of closing identified gaps. Despite reasons that influence performance appraisal in the public service having been highlighted in the previous studies and related literature, the researcher still decided to go ahead to conduct the research so to establish the factors, specific to Zambia.

CHAPTER THREE

RESEARCH DESIGN AND METHODOLOGY

3.1 Introduction

This chapter presents the methods and instruments that were used to conduct the study. It presents research design, study population, sampling techniques, sources of data, data collection methods and instruments, presentation and interpretation of findings and the limitations faced during the study.

3.2 Research Philosophy

Research philosophy represents a set of beliefs which points to strict guidelines and principles on how research should be conducted (Saunders et al., 2009). Consequently, it is an overarching term that refers to how new knowledge is developed in a field and what the nature of that knowledge is. This study is based on integrating the positivist and anti-positivist paradigms (Mertens, 2009).

This study is of the view that reality about appraisal is twofold and is presented as follows:

- 1) First reality is out there to be discovered and that the State of Appraisal implementation process can be measured as outlined in Boxes 1 and 2. The measurement fits the realist ontology (See Figure 2.29.1).
- 2) Second, reality resides in the respondents and the researcher (see Figure 3.1). Edmund Husserl's phenomenology provides epistemological and methodological guidance for this qualitative research as the researcher was seeking to explicate the lived experience of study participants. In this study, the researcher opts to present the lived experiences of respondents based on first-hand accounts - from the point-of-view of the experience as an immediate state in consciousness and as an intentional expression of self or ego in the world (Crotty, 1996; Denzin and Lincoln, 2011; Creswell, 2013; Ary et al., 2014). One of the central tenets of Edmund Husserl's philosophy is that he acknowledges the consciousness of the

individual – that is learning from the inside of a person by describing social life and its meaning (van Manen 1990; Moustakas 1994; Rossiter, 1999).

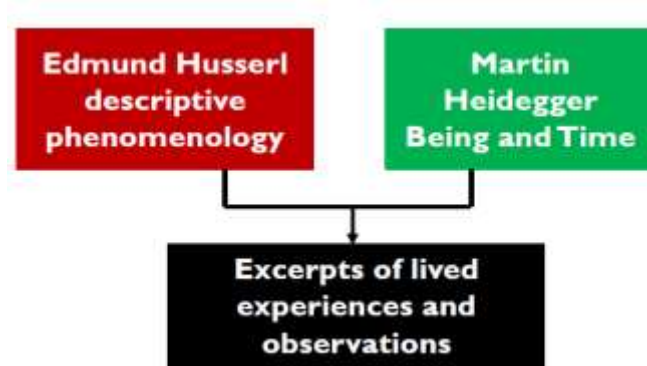


Figure 3.1 Phenomenological Conceptual map

Martin Heidegger’s phenomenology provides epistemological and methodological guidance for this qualitative research as the researcher was seeking to explicate the lived experience of study participants. In this study, the researcher just like Martin Heidegger, rejects the notion of the human being/subject as a spectator of the research enterprise objects espousing that both subject (the respondents) and object (the researcher being part of the community) were inseparable. For Heidegger, “being” was thus the descriptions or accounts that “Dasein” (being there or man’s existence) provided of their everydayness or ordinary existence (Heidegger, 2011: 38). The researcher thus adds his view points to that of the respondents.

One of the central tenets of Heidegger’s philosophy acknowledges existence as “being in the world,” understood as embeddedness and inseparability from the world (Moran, 2000; Dreyfus & Wrathall, 2007; Heidegger, 2011). From this stance, just like Heidegger, the researcher is rejecting Husserl’s method of phenomenological reduction and his view of the transcendental ego (Cerbone, 2009; Dreyfus & Wrathall, 2007; Heidegger, 1927/2011) and is arguing that during analysis of data, the researcher will be alive to it.

The co-constituted ideal of being with others in the world, in shared humanness, and in shared interactions in the world (Heidegger, 2011) is in this study acceptable as the researcher is part of the community of those being investigated.

3.3 Research Design

The interdisciplinary ontology of this research required unique epistemological choices, and a combination of methods and techniques from the legal and the social sciences. Hence, both the quantitative and the qualitative approaches were used, according to the needs of each phase and stage (data collection, analysis, or inference), but the latter prevailed throughout. In all respects, this thesis implemented a partially and concurrent mixed methods research design (Creswell et al., 2003).

A research design shows which individuals will be studied, as well as when, where and in which context. Saunders *et al.* (2009) add that a research design is the process by which social science theories are generated, evaluated and justified. There are generally two approaches to research, namely induction and deduction. Inductive Approach starts with the observations and theories are proposed towards the end of the research process because of observations. It involves the search for pattern from observation and the development of explanations for those patterns through series of hypotheses. Deductive Approach starts with using existing theory, developing hypotheses, collecting and analysing data to test, refute or confirm the hypotheses (Saunders et al., 2009).

In this study, inductive approach is used because the topics is new and there is scant literature on the state of performance appraisal in the public service. Thus, it was more appropriate to use the inductive approach to collect and analyse data. It also offered a good way of reflecting on the theoretical themes the data (Creswell, 2014). However, in order to comprehensively complete the cycle, the deductive quantitative approach was used to test the relationship between the “state of performance-based contract for permanent secretaries” with each of the variables: performance appraisal system, top management involvement and technical capacity of appraisers. Currently, the public

service performance appraisal system in Zambia is under-researched, hence it was vital to have an in-depth understanding of the research issues.

3.4 Research Strategies

Saunders et al., (2009) and Creswell, (2014), opine that a research strategy is a detailed overall plan for conducting a study. It guides a researcher in planning, executing, and monitoring the study. This strategy also informs the research of the methods and techniques to be employed in data collection and analyses. Below is a detailed discussion of the two main research strategies, namely quantitative and qualitative strategies.

(a) Quantitative Research Strategy

Quantitative research strategy emphasises quantification (numbers) in the measurement, collection and analysis of empirical data. This may require a deductive approach where the focus is theory testing (Saunders et al., 2009). This strategy not only incorporates the practices and norms of the natural scientific model but also embodies a view of social reality as an external, objective reality.

(b) Qualitative Research Strategy

Qualitative research is a strategy that emphasises narrative experiences and accounts of social actors rather than quantification of empirical data. This predominantly relies on an inductive approach where the focus is on theory building. This strategy rejects the practices and norms of the natural scientific model. Instead, the strategy emphasises on the ways in which individuals interpret their social world. This strategy embodies a view of social reality as a constantly shifting emergent property of individuals' creation (Bryman and Bell, 2011). Thus, it stresses the importance of understanding social phenomena through gathering subjective viewpoints or meaning held by relevant individuals.

(c) Mixed Methods Strategies

Creswell (2014) recognises that qualitative and quantitative methods should be viewed as complementary rather than rival, this recognition led to the adoption of mixed methods. Mixed methods build on the strengths and weaknesses inherent in each single method. It also allows for convergent validation or the development of analytic density and more importantly methodological triangulation. Triangulation is about examining a research issue from different angles. This use of two or more research strategies greatly reduces the uncertainty misinterpreting data. It also assures internal consistency or reliability and validity. To ensure reliability and validity, there three types of strategies which could be adopted namely: concurrent triangulation; explanatory sequential triangulation; and exploratory sequential triangulation (Creswell, 2014).

(i) Concurrent Triangulation Strategy

This strategy involves collecting both qualitative and quantitative data concurrently and then comparing the results to determine if there is convergence or difference. This comparison is also known as confirmation, disconfirmation, cross validation, or corroboration (Creswell, 2014). The overall purpose is to provide comprehensive analyses of the research problem by comparing integrated information during the interpretation of the overall results.

(ii) Explanatory Sequential Triangulation Strategy

This strategy is characterised by the feature that the collection and analyses of quantitative data (phase 1) informs the collection and analyses of qualitative data (phase 2). Phase 2 builds on the initial results of phase 1 and its purpose is to provide a follow up in-depth explanation and interpretation of specific, especially unexpected results. The challenge

with this strategy is the choice of specific results to further explore and the unequal sample sizes for each phase.

(iii) Exploratory Sequential Triangulation Strategy

This strategy involves qualitative data collection and analyses at phase 1, followed by quantitative data collection and analyses at phase 2. The primary purpose of this strategy is to explore a phenomenon, then quantitatively test elements of an emergent theory resulting from the qualitative phase in order that qualitative findings can be generalized. This strategy can also use qualitative results to develop, build or identify an instrument that best fits the context under study (Creswell and Clark, 2007). One particularly challenge with this strategy is that sample selection for both phases as well as the qualitative findings to focus on as a basis for the quantitative research (Creswell, 2014).

The study strategy chosen for this study was an embedded design. Within the mixed methods paradigm (QUAN → QUAL), an embedded design approach was chosen in which the researcher opted to elaborate, enhance, illustrate or clarify by way of integration of the results from one paradigm with the results from the other paradigm. Integration in this study allows the researcher to combine the elements of sampling, data collection and presentation of findings throughout the study. This is done to achieve a common research goal, thereby producing findings that are greater than the sum of the parts of any paradigm (Bazeley, 2010: 432). Here the aim of the mixing is to get a more holistic understanding of the research object (Creswell, Plano Clark, et al., 2003) and the interpretation is based on QUAN (qual) results. The premises of this design are that a single data set is not sufficient, since the different world views need to provide evidence to provide answers to the research questions succinctly and to improve the quality of the conclusions informed by the two world views or paradigms (quan and qual) (Morse and Niehaus 2009). This embedded design sees one method of enquiry the “qual” being used in a supportive secondary role to the “quan”. The

researcher opted for this design as enables researchers and readers to make sense of the study in its entirety (Almalki, 2016). The research design was in essence sequential (Bergman, 2008; Creswell and Plano Clark 2018; Morse and Niehaus 2009). In this study, the two components are conducted at different times and one component (qualitative) build on the results of the quantitative (QUAN → QUAL).

To facilitate qualitative research, insights based on the knowledge and experiences of relevant stakeholder groups were sought through in-depth interviews. The interviews were facilitated by a semi-structured questionnaire as a data collection instrument (Appendix III). Interviews allowed the interviewer to clarify any responses, though it was costly due to travel cost and time. Upon completion of the semi-structured interview. A questionnaire based on the literature review and interviews was piloted with research active experts for content validity. The questionnaire was revised based on comments and suggestions from these specialists, especially those from Cabinet Office and academia. This was done to ensure that the questions were not only clear but relevant to the study.

3.5 Population

Population refers to an entire group of persons or elements that have at least one thing in common. Lin, (1976) defined target population as the set of individuals, cases or objects with some observable characteristics, to which a researcher wants to generalize the results of the research. The population was the total number of top management personnel operating in the public service Lusaka. The 2020 Government of the Republic of Zambia Staff Assignment Report placed this figure at 600 persons (GRZ, 2020).

3.6 Sample and Sampling Procedures

This is the process of drawing a study sample from the study population. The main purpose is to obtain a representative group to enable the researcher get information about a study population. According to Saunders (2007), the population is divided into several sub populations, which are then subdivided into other sub-populations until observation units are selected.

Orna (2004) mentions that a sample represents the larger population and is used to draw inferences about that population. The technique used should ensure that it is the representative of a population and not biased in any way. However, the larger the sample, the smaller the sampling error and thus Orna (2004) recommends that a minimum sample of 20% of the total number of subjects is adequate for educational research of less than a thousand participants, which translate to a minimum 100 participants. However, this study used maximum variation sampling to enlist the 47 respondents for this study.

Table 3.1 Profile of Maximum Variation

| Portfolio |
|--|
| 1. PSs in Ministries |
| 2. PSs in Provinces |
| 3. Secretary to the Cabinet |
| 4. Deputy Secretary to the Cabinet (A) |
| 5. Deputy Secretary to the Cabinet (FED) |
| 6. Director - MDD – Cabinet Office |
| 7. Director – PSMD - Cabinet Office |

Source: Author’s Computations from Research Data Collected (2020)

3.7 Description of Research Instruments

According to Borg and Gall (1989), questionnaires and interviews are the most common instruments for data collection in research. In this study, both questionnaires and structured interviews were employed for data collection.

(a) Questionnaire

Lin (1976) adds that a questionnaire is a document in which a list of questions appears for a formal social survey enquiry. There are two types of questionnaires: the open-ended questionnaires where the respondents are free to give detailed answers or opinions, and the closed ended where the respondents are given alternatives and asked to choose the appropriate one. In the second category, respondents are not free to give unwanted details.

(b) Interview

An interview is a very popular method of data collection. Interviews can be structured or unstructured and can be used in various situations. In structured interviews, normally the interviewer has a list of questions for the interviewee, while in an unstructured interview the interview takes the form of discussions. In this case, the researcher leads the conversation by identifying several topics and allowing the interviewee to talk about them. The structured interviews were employed because of the following advantages (Lin, 1976):

- (a) When the interviewee lacks in reading skills, the subjects would then struggle to interpret the questions if they were to be written down and there might be a communication breakdown that results in invalid data;
- (b) When researchers ask difficult questions, the participants have the chance to seek clarity;
- (c) Opportunities to establish rapport unlike when they just read a text;
- (d) Insight into declarative knowledge used is provided;
- (e) General rules and problem-solving strategies can be uncovered; and
- (f) A representative sample is possible.

3.8 Description of the Data Collection Procedures

There are two types of data: primary and secondary data (Saunders, et al., 2007). The commonly used methods of primary data collection are interviews, questionnaires, observations and focus group discussions. The primary data collection method is the most suitable for this study and entails the use of questionnaires and interviews. This is due to its advantage of allowing the researcher to get firsthand information from the correspondents. In this case, however, the researcher used interviews, questionnaires and observation.

(a) Questionnaire

Questionnaires were administered to 47 respondents. The questionnaires had both open ended and closed ended questions.

(b) Interviews

The study interviewed 16 participants, as outlined Table 1. The interviewees were selected using Purposive Sampling (Kerlinger, 1973). The goal was to triangulate the information and assist in framing questions for interviews and focus group discussions.

3.9 Validity and Reliability

Lin (1976) and Creswell (2005) add that validity is the degree to which the sample of test items represents the content the test is designed to measure. Reliability refers to the consistency of measurement and is frequently assessed using the test–retest reliability method.

In this study, a pilot study was carried out to pre-test and validate the questionnaire and the interview guide. The pilot group, of 10 participants, was randomly selected, to fill the questionnaire. The interview guide was also pre-tested by interviewing randomly selected persons. This helped refocus both the questionnaire and interview guide. Content validity

which was employed by the researcher measured the degree to which data collected using an instrument represented a specific domain or content of a particular concept.

In addition, the study sought opinions of experts in the field of public administration and governance to enhance the validity of the research instruments used in the study. Furthermore, the questionnaires and interview guides which were used were developed through a rigorous quality assurance process. This facilitated the necessary revision and modification of the research instrument thereby enhancing validity and reliability.

Reliability is increased by including many similar items on a measure, by testing a diverse sample of individuals and by using uniform testing procedures. The researcher selected a pilot group of 10 individuals from the target population to test the reliability of the research instrument. The pilot data was not included in the actual study. The pilot study allowed for pre-testing of the research instrument. The clarity of the instrument to the respondents enhance the instrument's validity and reliability. The pilot study enabled the researcher familiarise with the study area and its administration procedure as well as identifying items that required modification. The result helped the researcher to correct inconsistencies that arose from the instruments so that they capture what was intended.

Conformability or objectivity refers to how neutral the findings are in terms of whether they are reflective of the subjects and the inquiry and not a product of the researchers' biases and prejudices (Smith, 2003). In this study, proof was shown on how the findings emanated from qualitative and quantitative data. Problems that were encountered were identified and explained.

3.10 Description of Data Analysis and Presentation Procedures

(a) Quantitative Data Analysis

Neuman (1997) adds that a researcher provides tables, graphs and charts to give the reader a condensed picture of the data. The author goes on to say that in the analysis of

quantitative data, the researcher needs to organize and manipulate the quantitative data to get them to reveal things of interest about the social world. In this study, graphs and tables have been used to present data.

The data was coded before computing it. Coding data, according to Neuman (1997), means "systematically reorganizing data that is computer readable". He asserts that the coding procedure is a set of rules stating that certain numbers are assigned to variable attributes.

After coding, the study checked for the accuracy of the coded data (cleaning data) and afterwards it was entered into the computer (capturing data). Statistical procedures using the Statistical Programme for the Social Sciences Version 21, was used to analyse responses from the questionnaires. The collected quantitative data was analysed using descriptive statistics which included the frequency distribution tables, mean and percentages. The second one consists in the analysis of the relationship, using the Chi Square test, between the independent variables and the dependent variables.

The Chi-square test is used to verify the possible relationship between two categorical variables. In this test a two-way table is created and the observed counts are compared to the expected counts of the cells. According to Moore and McCabe (2003) "the chi-square statistic is a measure of how much the observed cell counts in a two-way table diverge from the expected cell counts." Therefore, the Chi-square tests the following hypothesis:

- H₀:** Row and column variables are independent – there is no relationship between the state of performance-based contract with each of the variable: performance appraisal system and stakeholder's involvement.
- H_a:** Row and column variables are not independent – there is a relationship between the state of performance-based contract with each of the variable: performance appraisal system and stakeholder's involvement.

If the difference between expected and observed counts is large, there will be enough evidence against the null hypothesis (small P-value) and in favor of the alternative one. The Chi-square distribution approximates the normal approximation for a binomial distribution. The approximation is more accurate as the cell counts increase. To validate the test, it is necessary that at least 80% of the expected cell counts must be greater than 5, except for 2 x 2 tables where all four expected cell counts must be 5 or more. Because it is not always possible to achieve the required cell counts, cells are combined or excluded for some tests (Moore and McCabe, 2003).

(b) Qualitative Data Analysis

Neuman (1997) is of the view that social researchers systematically collect and analyse empirical evidence to understand and explain social life. He goes on to say that when data is in the form of words, sentences, and paragraphs rather than numbers, researchers need to use different research strategies and data collection techniques.

Data analysis involved content analysis; examining, sorting, categorizing, evaluating, comparing, synthesizing, and contemplating the coded data as well as the raw data (Lin, 1976; Neuman, 1997; Johnson, 2006). Data was transcribed by typing the text from interviews into word processing documents. Data was also read by the researcher line by line and divided into meaningful analytical units. This process is termed coding and it is defined by Johnson (2006, p.2) as "marking the segments of data with symbols, descriptive words, or category names. In this study data, was coded using descriptive statistics. The content analysis process can be broken down into 5 steps.

Step 1: Determine Coding Categories

Measurement of content in content analysis was based on structured observation which is a systematic observation of what was in each text. The researcher read each text to identify themes, subthemes and categories. These needed to be mutually exclusive.

To be able to analyze the content, it was important to divide the entire content collected into categories so that it can be managed better. This is a process of selective reduction where the text is reduced to categories so that the research can be focused on the categories for specific words and patterns that answer the questions of the researcher.

The categories or the codes could be a word, a phrase, a sentence, an article, brand names, numbers, competitor names, countries, emotions and much more. For example, a performance appraisal which was partly done', was coded as poorly done.

Step 2: Code the Content

A code was the label that the researcher assigned to the text that has to be analyzed, and the text can be a word or a phrase. For example, the code 'supervisor 1' was assigned when there is a mention in the text of Minister and 'supervisor 2' was assigned when there is a mention in the text of secretary to cabinet or any designated person.

During the coding process, a number was assigned to each category. The code had to be mutually exclusive.

Coding is a set of rules that explain the method of observing the content in given text. Coding identified four important characteristics, frequency, direction, intensity, and space.

Frequency describes the number of times a particular code occurs.

Direction is the way in which the content appears, positive, negative, opposite, support etc.

Intensity denotes the amount of the strength towards a particular direction.

Space refers to the amount of space assigned to the text or the size of the message.

The list of words, phrases, images, videos etc. is loaded to social media and other data sources to locate them in the source. Coding fetches highly reliable data as the word or phrase either exists or is absent.

Step 3: Check Validity

The next stage involved the testing of the codes that have been designed. The codes need to validate for its reliability. The code had to be tested to check if it indeed describes what it purports semantically, and to check if the results are consistent. Semantic validity checks to see if the different phrases or words that are part of a category have similar meaning and to make sure that they all belong to the same category. The correlation also has to be checked to see if one coded concept can be substituted for another.

Step 4: Present Results

After completing the analysis, there were several sets of information organized and available as files. This had to be presented in a report format that can be easily understood by readers.

3.11 Researcher Bias

Bias—commonly understood to be any influence that provides a distortion in the results of a study (Polit & Beck, 2014) — is a term drawn from the quantitative research paradigm. This is the paradigm that deals with objectivity as the best way to deal with bias covering sampling, measurement and reporting of findings. However, a number of authors on qualitative research methods argue that the concept is incompatible with the

philosophical underpinnings of qualitative inquiry (Thorne, 2009; Polit & Beck 2014; Thorne et al., 2016). The arguments are that there is no estimation or rule of thumb that could be used to determine how much of a researcher's own values and opinions need to be reflected in qualitative study questions, data collection methods, or findings for the study to constitute bias. The authors submit that researcher carrying out qualitative research are an integral part of the process and final product, and separation from this is neither possible nor desirable. The concern instead should be whether the researcher has been transparent and reflexive (i.e., critically self-reflective about their own preconceptions, relationship dynamics, and analytic focus; Polit and Beck, 2014) about the processes by which data have been collected, analyzed, and presented.

Principally, the challenge in defending dissertations which are rooted in the nominalist ontology or qualitative paradigm and are examined from the realist ontology or positivist quantitative paradigm is not to try and convince readers that qualitative work ought to reflect objective and opinion-free neutrality (Thorne et al., 2016). The researcher is of the opinion that reading the arguments of not tolerating bias, we should resist the temptation to reach for a positivist tape measure to solve this problem. To do so will lead us to become apologists for the subjectivity that is the very strength of interpretive work (Morse et al., 2002).

3.12 Ethical Considerations

The respondents were assured of data confidentiality and they were given a way to participate voluntarily in the provision of information. The researcher ensured that informed consent was obtained from each respondent. The respondents were given a form to read, complete and sign for consent, kindly refer to **Appendix I**, the Informed Consent Form. However, in this study informed consent was more than a completed Form. It was mainstreamed in the entire process, given the nature of the institution under review. Informed consent process was taken as a dialogue of the study's purpose, duration, risks, and benefits. The respondents were free to withdraw if the nature of questions was contrary to their values and principles.

3.13 Chapter summary

This chapter has presented the methodology used in the study. It described the research design, the research area, the population sample and sampling techniques, and the data collection and analysis methods. To avoid bias from utilising one particular methodology, this research purposely employed a concurrent triangulation strategy. The survey questionnaires were used as the main instruments in the collection of data because of their advantages. Both descriptive and inferential statistics were employed to generate evidence on the state of performance-based contract for Permanent Secretaries. Qualitative procedures, including systematic coding and categorization via content analysis were used to analyse responses to the individual interview questions. The next Chapter presents the analysis and interpretation of data as collected from the different respondents.

CHAPTER FOUR

PRESENTATIONS OF FINDINGS AND DISCUSSION

4.1 Introduction

This Chapter deals extensively on the description, interpretation and analysis of data used during this research work. The researcher presented facts considered relevant to the study. These facts were primarily selected in line with the research objectives and questions.

4.2 Demographic Profile

The data for this study was collected over three months from August to October 2019. The study sample included ministers, permanent secretaries, directors, heads of department and academia. The sample also had Permanent Secretaries who had served for more than 9 years and the shortest period served was 4 years. With regard to Permanent Secretaries' category, there was a negative skew in terms of service, but this did not impact negatively on the study since sample include top management who had served in top management position for more than 10 years hence had an experience with the appraisal process. Forty seven respondents participated in the study. These were enlisted using maximum variation purposive sampling.

All the respondents were above the youth age 35 by Zambian definitions. The mean age was 48 (± 5.2 Standard Deviation). The youngest was 40 and the oldest was 56. The age showed a normal distribution (0.426 skewness). The 60% of study respondents have been serving in top management position in the public service for an average of tens (10) years.

The ratio of female to male respondents was 1: 4 indicating that males dominated the service (see Figure 4.1).

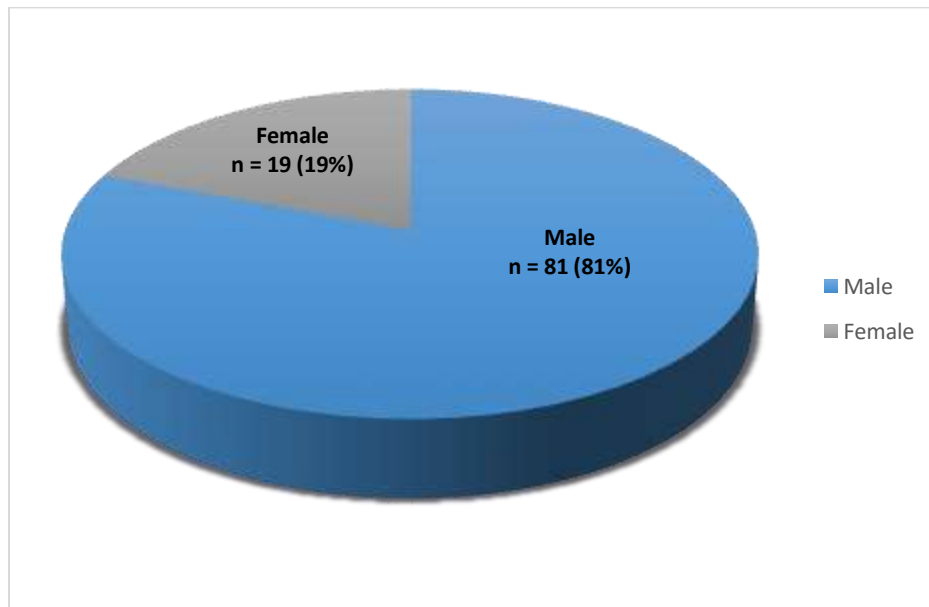


Figure 4.1: Respondents Gender (n=100)

Source: Author's Computations from Research Data Collected (2020)

4.3 Extent of Appraisal of PSs

The study investigated the influence of current performance appraisal system and structure on the state of performance-based contracts for Permanent Secretaries in Zambia. It establishes that the performance appraisal system was negatively impacting on the state of performance-based contract for Permanent Secretaries.

4.3.1 Frequency of Appraisals

The state of performance-based contracts for Permanent Secretaries was measured by the number of times a respective Permanent Secretary was appraised since 2016 by the Minister, the Secretary to the Cabinet and the staff at top management level. The study established that the ideal number of appraisals per public office ought to have been in the category 6-8 times since 2016, reference made to Figure 5.

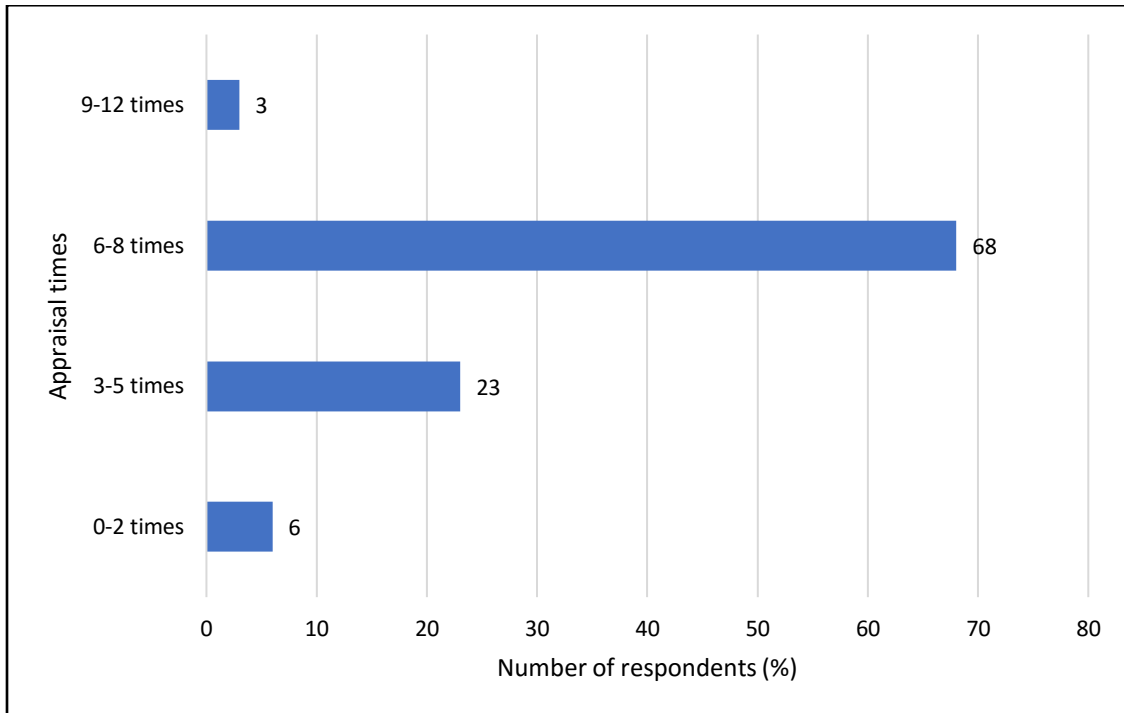


Figure 4.2: Ideal Appraisal Times

Source: Author’s Computations from Research Data Collected (2020)

The study findings show that the number of appraisals in the category 0 to 2, were only considered to be adequate appraisals by 6% of the respondents. The respondents who claimed 3 to 5 times as an ideal period were only 23%. Approximately 68% of the study respondents were of the view that 6-8 times since 2016 would be an adequate number of times for a supervisor to make a meaningful decision on performance. It was established that only 3 % of the respondents claimed that 9-12 times was ideal frequency for appraisal. From the interviews, it was established that 8 times was the deal.

Table 4.1: Categories of adequacy of performance appraisals

| Category | Frequency | Percent |
|--|-----------|---------|
| Adequate to make meaningful decisions | 10 | 10 |
| Somewhat adequate to make any meaningful decisions | 76 | 76 |
| Inadequate to make any meaningful decisions | 13 | 13 |
| Total | 100 | 100.0 |

Source: Author’s Computations from Research Data Collected (2020)

Table 4.1 shows that in just 10% of the cases were appraisals adequate to make meaningful decisions and in most of the cases (90%), it was not possible to make any meaningful decisions. Table 4.2 shows that Ministers did not appraise civil service executives every year. The maximum they went to appraise civil service executives was zero and this was the view of approximately 61.7%. As for the Secretary to the Cabinet and his staff, the maximum they appraised civil service executives was four times and this was the view for 38%.

Table 2.2: Actual Appraisal Conducted by Ministers and the Secretary to the Cabinet

| | Total number of appraisals done by the Minister since 2016 | | Total number of appraisals done by the Secretary to the Cabinet since 2016 | |
|-------------------|--|------|--|------|
| | <i>f</i> | % | <i>f</i> | % |
| No appraisal done | 29 | 61.7 | 0 | 0 |
| One appraisal | 10 | 21.3 | 0 | 0 |
| Two appraisals | 8 | 17.0 | 12 | 25.5 |
| Three appraisals | 0 | 0 | 17 | 36.2 |
| Four appraisals | 0 | 0 | 18 | 38.3 |
| Total | 47 | 100 | 47 | 100 |

Source: Author's Computations from Research Data Collected (2020)

The mean appraisal for Ministers was less than 1 and for the Secretary to the Cabinet and his staff was 3.1. The mode for Secretary to the Cabinet and his staff was higher than that of the Minister as could be observed from Table 4.3, below.

Table 4.3: Statistics -Number of Appraisals

| | <i>Total number of appraisals done by the Minister since 2016</i> | <i>Total number of appraisals done by the Secretary to the Cabinet since 2016</i> |
|----------------|---|---|
| Mean | .55 | 3.13 |
| Median | .00 | 3.00 |
| Mode | 0 | 4 |
| Std. Deviation | .775 | .797 |
| Minimum | 0 | 2 |
| Maximum | 2 | 4 |

Source: Author's Computations from Research Data Collected (2020)

It was hypothesised that $H_0: \mu = x$ ("the sample mean was equal to the population mean 4"). The one sample t test below shows Sig. (2-tailed) values less than .05 under the Sig 2 tailed column means that the variability in the conditions is not about the same. That the observed mean scores did vary too much more than the populations expected mean of 4. Put scientifically, it means that the variability in the sample is statistically significantly different. This is a not a good phenomenon of performance appraisal as it could observed from Table 4.4.

Table 4.4: One Sample t-test of appraisal

| | <i>Test Value = 4</i> | | | | |
|--|-----------------------|-----------|------------------------|-------------|------------------------|
| | <i>T</i> | <i>df</i> | <i>Sig. (2-tailed)</i> | <i>Mean</i> | <i>Mean Difference</i> |
| Total number of appraisals done by the Minister since 2016 | -30.49 | 46 | .001 | .55 | -3.44 |
| Total number of appraisals done by the Secretary to cabinet since 2016 | -7.502 | 46 | .001 | 3.13 | -.872 |

Source: Author's Computations from Research Data Collected (2020)

4.3.2 Focus of appraisal

The state of implementation of the appraisal process of the performance-based contract system for Permanent Secretaries was further assessed by investigating the focus and content of what the appraisal was to focus on. Eight constructs were measured on a 5 point ordinal scale as follows: 1 being "Strongly Agree," 2 being "Agree", 3 being "somewhat agree", 4 being "Disagree" and 5 being "Strongly disagree."

Table 4.5: Appraisal Area Focus

| <i>Appraisal area</i> | <i>1</i> | <i>2</i> | <i>3</i> | <i>4</i> | <i>5</i> |
|--|----------|----------|----------|----------|----------|
| Setting goals that will benefit the individual and the unit/Ministry or department | 0 | 0 | 0 | 41 | 6 |
| The Minister and I discuss performance-related issues | 0 | 0 | 8 | 39 | 0 |
| The Secretary to the Cabinet and I discuss performance-related issues. | 0 | 12 | 14 | 21 | 0 |
| I score my performance and so does the Minister on performance-related issues. | 0 | 0 | 2 | 35 | 10 |
| I score my performance and so does Secretary to the Cabinet on performance-related issues. | 0 | 19 | 17 | 11 | 0 |
| The Minister and I score performance-related issues. | 0 | 0 | 3 | 44 | 0 |
| The Secretary to the Cabinet and I score performance-related issues. | 0 | 8 | 18 | 21 | 0 |
| The Minister and I agree on work plans for the subsequent year. | 0 | 0 | 3 | 44 | 0 |
| The Secretary to the Cabinet and I agree on work plans for the subsequent year | 0 | 8 | 14 | 25 | 0 |

Source: Author's Computations from Research Data Collected (2020)

In all the nine appraisal areas, the study respondents agreed that the appraisal was rather poor as in all instances they disagreed that performance appraisal process was effective (see Table 4.5). In order to have a composite score, the levels of frequency of each respondent were summed and further three categories were computed, those who scored in the range of 9 to 20 were placed in the category “the appraisal process was done well”, those who scored in the range of 20 to 33 were placed in the category “the appraisal process was somewhat done well” and, finally, those who scored from 34 to 45 were placed in the category “the appraisal process was poorly done”. The general picture of the appraisal process shows that approximately 77% of the Permanent Secretaries indicated that the process was poorly done whereas approximately 23.4% of the Permanent Secretaries were of the that appraisal process was somewhat done well.

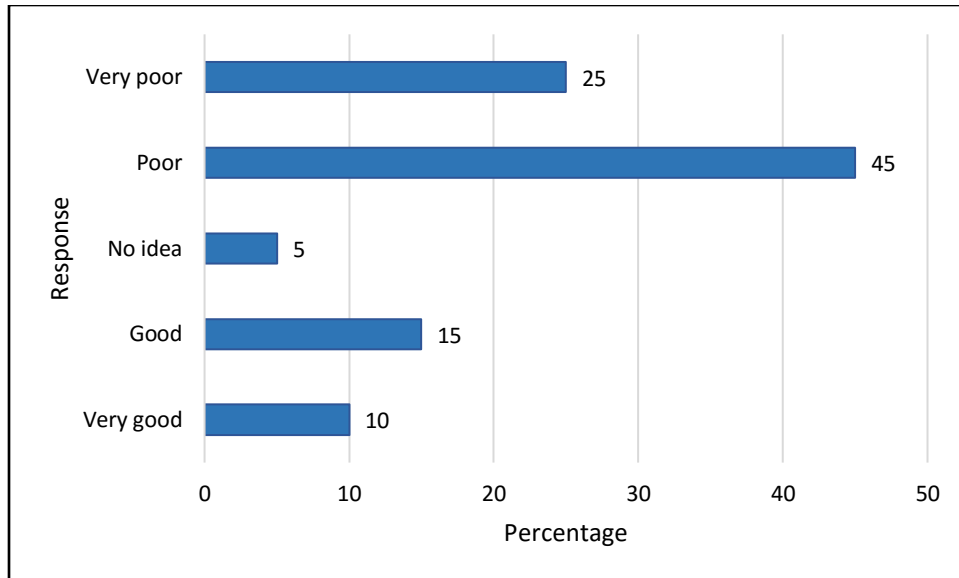


Figure 4.3: Appraisal Rating Process

Source: Author’s Computations from Research Data Collected (2020)

The study established that 25% of the respondents indicated that the appraisal process for Permanent Secretaries with respect to rating was “very poor” conducted while 45% of the respondents claimed that it was “poor”. Approximately 5% of the respondents had no idea of the process adequacy. Only 15% and 10 % of the respondents claimed that it was good and very good respectively. The study also established that the sample mean was 32 and the mode was 33.0 with regards the adequacy of the appraisal process (Table 4.6).

Table 4.6: Statistics-Score of Appraisal Process

| | |
|----------------|-------|
| Mean | 32.65 |
| Median | 33.00 |
| Mode | 33.00 |
| Std. Deviation | 30.00 |
| Minimum | 36.00 |
| Maximum | 32.65 |

Source: Author’s Computations from Research Data Collected (2020)

From the interviews, it was established that most respondents, nearly 70% of the respondents, were of the view that the current performance appraisal process did not

adhere to a typical performance appraisal process as outlined in Performance Appraisal Manual.

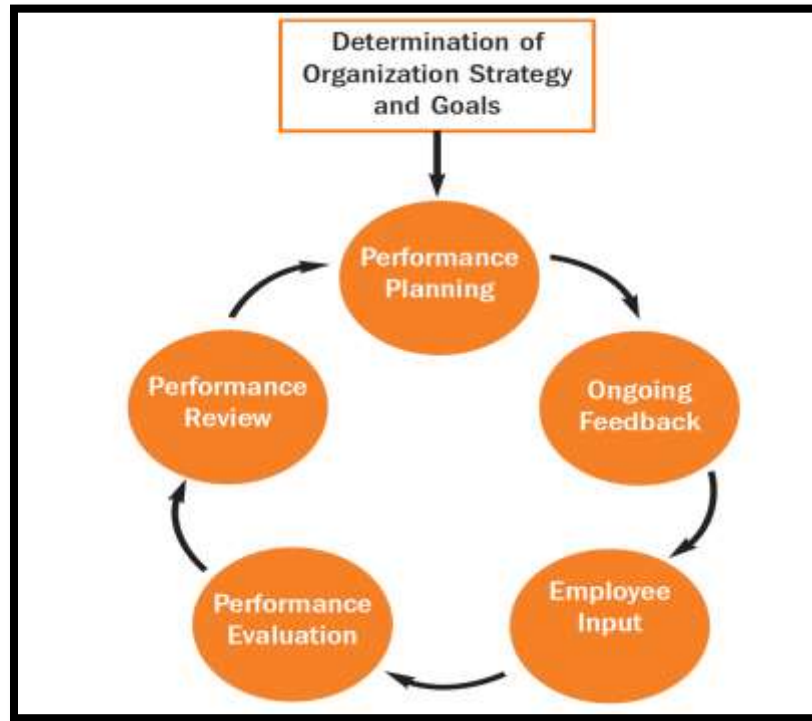


Figure 4.4: Performance Management Process

Source: Author's Computations from Research Data Collected (2020)

Referring to Figure 4.4, it was generally observed from respondents that the performance appraisal process for Permanent Secretaries had structural gaps. It was observed with dismay that Appraisals were irregularly done or skipped in most instances. There were no agreed key result areas or core competencies in the job to be done and this was compounded by absence of performance standards. Performance planning, ongoing feedback and performance review were poorly done. The comments have been categorised into seven thematic areas for easy of analysis. Below are selected quotes that represent the four challenges.

Table 4.7: Quotes from Respondents

| CHALLENGES | CATEGORY | QUOTES |
|------------|--------------------------------------|---|
| 1 | Inability to have appraisals | <i>“I have not had an appraisal with my Minister. So far out of six appraisals, I have only had been appraised three times. Performance appraisals are supposed to be conducted once annually and in most instances were not done. When they were done, they were not scheduled and could be done earlier than expected”;</i> |
| 2 | Limited Involvement of Ministers | <i>“I know of a colleague who has been involved by the Minister throughout the process. My current Minister has involved me in everything, and this has made me understand organizational goals, what is expected of me, and what the system expects of me to achieve the performance goals”.</i> |
| 3 | Frequency of transfers | <i>“Within the year transfers affected the rhythm of appraisals and areas of appraisal.” One PS who was transferred to two ministries had this to say about the break in the rhythm.</i> |
| 4 | Inconsistency of performance targets | <i>“I have been lucky in that I have negotiated the need to have performance targets. Twice I have had these set at the beginning of the year and agreed upon by the ratees and these are the Minister and the Secretary to Cabinet. Year one was well done, and things began to change in year 2. I was moved to two ministries and the appraisals could not be done”.</i> |
| 5 | Inconsistency in rating | <i>“The process of rating was rather problematic. It appeared that the raters had no training. There were lapses in the process of managing, motivating, and evaluating employee performance. An emphasis of supervision and monitoring will do”.</i> <i>“It is a well-known fact that we must be appraised. Look at this now. There is no supervision and when there is some disagreement on scoring the appraisal form, there seems to be no mechanism of resolving the dispute. I was hoping that the system will link me to pay or some commendation”.</i> |
| 6 | No alignment to Ministerial goals | <i>“What I can say is that while appraisals are about performance monitoring, the annual performance appraisals have not helped me very much. I have not seen how I fit into the Ministry”.</i> |
| 7 | Frequency of Appraisal | <i>“The infrequent within the year performance reviews paved way for surprises experienced during annual reviews. You score yourself good in one area and only to be told no it is an under score. In my view, the appraisals could have been spaced. These periods of review can could have been bi-monthly or quarterly. They will tell you after nine months and not even a year that you did not do well”.</i> |

Source: Author’s Computations from Research Data Collected (2020)

It was recommended by respondents that the current performance appraisal process could be enhanced by introducing mid-term and quarterly reviews. It was also proposed that there

was need for an appellate system so that Permanent Secretaries were protected from any unfair ratings.

However, it was observed that Cabinet Office had prepared Permanent Secretary Performance Appraisal Manual with a module on rating, but it was not adequately followed. Performance ratings were claimed to be based on rater’s evaluations which are subjective to human judgments and they tend to discard the appraise’s evaluations. The excerpt below supports this position:

“In one year, I got two performance appraisals from two different ministers. I put up my score and it was difficult to agree.... and what I have learnt is that the current appraisal should try as much as possible to remove subjectivity and bias in the ratings”.

4.4 Performance Appraisal Outcome

The performance appraisal outcomes of the performance-based contract system were assessed by looking at the frequency of what the outcomes were. Six constructs were measured on a 5 point ordinal scale as follows: 1 being “Strongly Agree,” 2 being “Agree”, 3 being “somewhat agree”, 4 being “Disagree” and 5 being “Strongly disagree.” Out of the six critical implementation of appraisal process domains, civil service executives agreed that the appraisal was effective in three areas and these are identifying the performance gap, performance constraints and making clear my expectations as shown by the asterisks reference made to Table 4.8

Table 3: Performance Appraisal Outcome

| <i>Appraisal area</i> | <i>1</i> | <i>2</i> | <i>3</i> | <i>4</i> | <i>5</i> |
|--|----------|----------|----------|----------|----------|
| Each appraisal has identified the performance gap | 18 | 22 | 7 | 0 | 0 |
| Each appraisal has identified the performance constraints | 7 | 22 | 10 | 7 | 1 |
| Each appraisal has identified my job-related staff development needs | 3 | 7 | 14 | 20 | 3 |
| Each appraisal has contributed to the determination of my remuneration | 4 | 6 | 15 | 20 | 2 |
| Each appraisal has made me accountable for my job. | 2 | 20 | 11 | 10 | 4 |
| Each appraisal has made clear my expectations** | 6 | 32 | 4 | 5 | 0 |

Source: Author’s Computations from Research Data Collected (2020)

The frequencies above cannot render a general picture and as such, a composite score of performance appraisal outcome was done and three categories were developed. Those who scored in the range of 6 to 13 were placed in the category “No effective appraisals were done”, those who scored in the range of 14 to 22 were placed in the category “Some effective appraisals were done,” and, finally, those who scored from 23 to 30 were placed in the category “effective appraisals were done”.

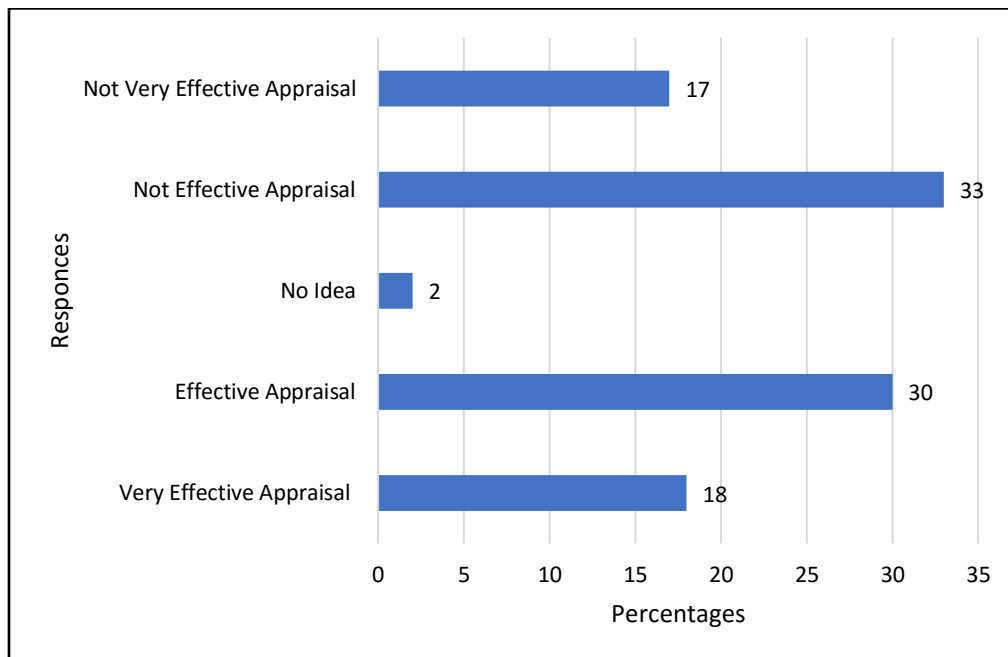


Figure 4.5: Effectiveness of the Appraisal Process
Source: Author’s Computations from Research Data Collected (2020)

Figure 4.5 above shows that approximately 17% and 33% of the respondents were of the view that the appraisal process was “not very effective appraisal” and “not effective appraisal” respectively and 30% and 18% of the respondents were view that the appraisal process was “very effective appraisal” and “effective” respectively.

It was observed from the interviews most respondents were of view that that performance planning was not prioritised and both behavioural and results expectations were not set. The planning stage which normally involves establishing performance standards and expectations, setting objectives and targets and agreeing on assessment methods or

measures, establish feedback mechanisms as well as development of personal development plans was given little attention especially by Ministers. Below is an excerpt related to lack of planning:

“We hardly discussed what we were going to do as ministry each year. This affected the appraisal in that no feedback would be given on the appraisal”. “When feedback was positive, it was motivating. I was happy to see that I was told of my performance gap, but the gap had to do with the amounts of funds that could not be released by the Ministry of Finance in time. This eventually affected the programs”. (interview with Permanent Secretary, June 2020)

It was established that Department Heads and Directors were responsible for project monitoring and implementation and they complained of lack of skills and training in project implementation, monitoring and evaluation especially when they were assigned a Ministry that was remote to their trade. When they were appraised, they tended to underscore. The challenge was that training was not considered to enhance their jobs. The example below suffices.

“Each time an appraisal is done, I am told where I am not doing well. However, the surprising thing is that my boss ignores job related personal staff development needs. Feedback was either not given or delayed and some managers had problems giving constructive criticism and regular feedback and communicate effectively with employees when it is time for performance review. One had this position. They will appraise you, give you a feedback and when you perform as expected, they do not reward you. I do not actually see the benefit for me in this case.” (interview with Permanent Secretary, June 2020)

4.5 Factors Influencing the State of Performance Appraisal

This section investigated the factors influencing the state of the performance appraisal system for Permanent Secretaries. Table 4.9 shows the criteria used to determine the factors influencing the state of the performance appraisal system. Most respondents agreed in the affirmative only in two elements were there positive influence and these are (a) the

Secretary to the Cabinet has less information on how to do the actual appraisal and (b) the Secretary to the Cabinet lacks skill on conducting the performance appraisals. As for the other eleven variables, the respondents disagreed with their assertions. This evidence by the larger sums of agreements for statements that were in the affirmative and larger sums for statements that were reversed.

Table 4.9: Factors Influencing the State of Performance Appraisal

| <i>Factors</i> | <i>SA</i> | <i>A</i> | <i>SWA</i> | <i>DA</i> | <i>SDA</i> |
|--|-----------|----------|------------|-----------|------------|
| There are clear performance criteria/effective rating instruments. | 6 | 8 | 11 | 12 | 10 |
| I have been experiencing a missing link with the Minister when it comes to appraising. | 3 | 14 | 20 | 7 | 3 |
| I have been experiencing a link with the Secretary to the Cabinet when it comes to appraising. | 19 | 14 | 12 | 2 | 0 |
| The review process lacks structure/consistency | 0 | 5 | 5 | 11 | 26 |
| There is sufficient training provided on PMS to appraisees | 5 | 5 | 5 | 25 | 7 |
| I get strong support from appraisers | 0 | 2 | 7 | 17 | 21 |
| Appraisers conduct appraisals as scheduled | 4 | 10 | 8 | 9 | 16 |
| The Minister has less information on how to do the actual appraisal | 21 | 13 | 6 | 7 | 0 |
| The Secretary to the Cabinet has less information on how to do the actual appraisal | 2 | 3 | 17 | 20 | 5 |
| I have experienced a lack of ongoing performance feedback from the Minister | 11 | 27 | 9 | 0 | 0 |
| I have experienced a lack of ongoing performance feedback from the Secretary to the Cabinet | 10 | 24 | 8 | 5 | 0 |
| The Minister lacks skill on conducting the performance appraisals | 8 | 23 | 16 | 0 | 0 |
| The Secretary to the Cabinet lacks skill on conducting the performance appraisals | 0 | 0 | 5 | 23 | 19 |

Source: Author's Computations from Research Data Collected (2020)

To have a holistic picture of how the implementation factors fared, the researcher opted to use composite scores. Three semantic differential categories were developed. Those who scored in the range of 13 to 35 were placed in the category “High presence of shortfalls,” those who scored less than 39 were placed in the category “Moderate presence of shortfalls,” and, finally, those who scored from 40 to 43 were placed in the category “No presence of shortfalls”.

The analysis revealed that approximately 57% of the respondents were of the view that the factors mentioned in Table 4.9 had negatively affected the appraisal system while only 43% of the respondents were of view that the factors had no effect on performance appraisals system, as shown in Figure 4.6.

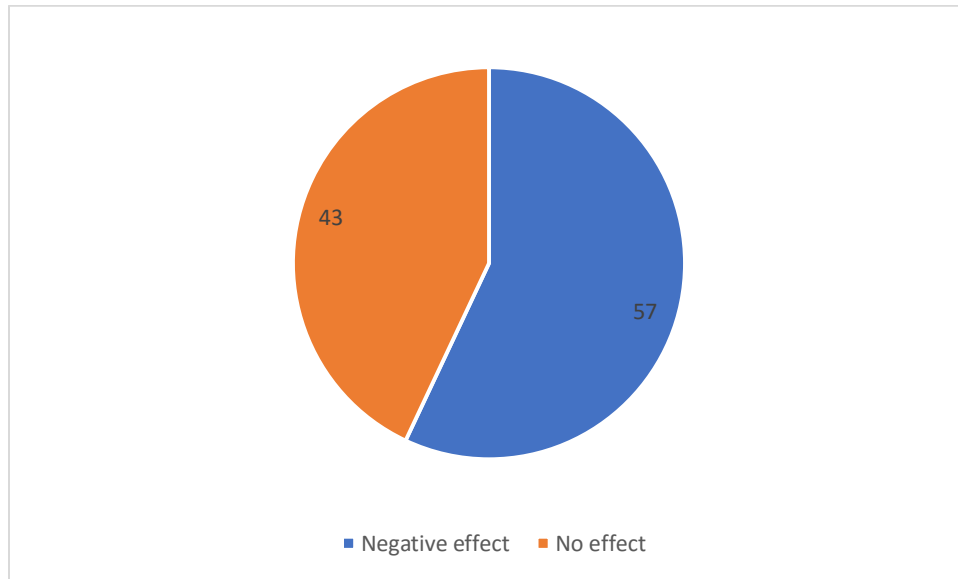


Figure 4.6: Semantic differential of Factor Impact
Source: Author’s Computations from Research Data Collected (2020)

4.6 Level of Satisfaction of Appraisal Outcome

Figure 4.6 below shows the level of satisfaction of the respondents with regards to outcome of the performance appraisal for the Permanent Secretaries. The data shows that 25% of the respondents were satisfied while 15% were very satisfied with the outcome of the performance appraisal for the Permanent Secretaries. Those dissatisfied and very dissatisfied with the outcome of the performance appraisal for the Permanent Secretaries accounted for 30% and 20% of the respondents, respectively. Approximately 10% of respondents were undecided on the level of satisfaction of the outcome of the performance appraisal for the Permanent Secretaries. This shows that most of the respondents were not satisfied with outcome of the performance appraisal for the Permanent Secretaries.

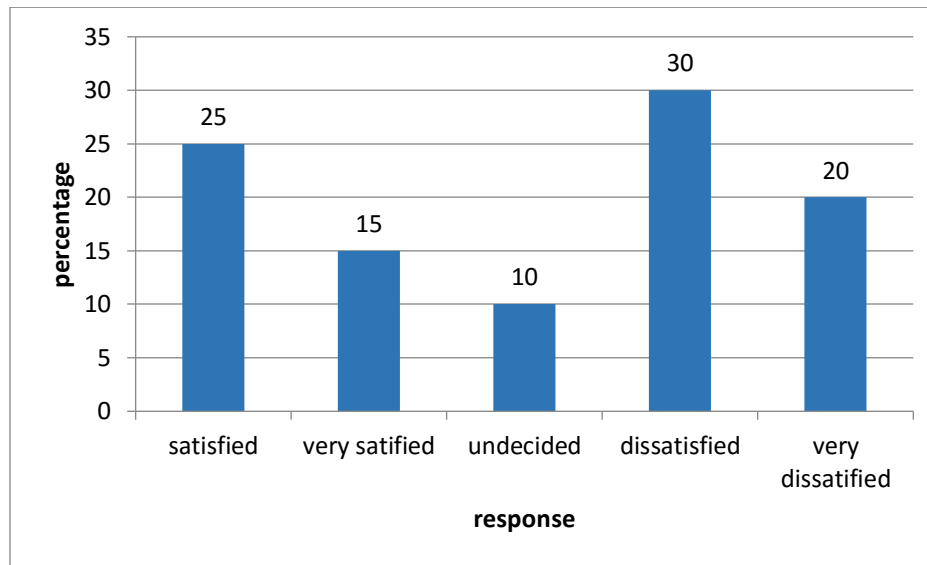


Figure 4.7: Level of Satisfaction of Appraisal Outcome

Source: Author's Computations from Research Data Collected (2020)

Interviews with selected Directors at Cabinet Office reviews that the major challenges accompanying the implementation of the performance for Permanent Secretaries and the low level of satisfaction of the appraisal outcome include:

- (a) Lack of buy-in by the Permanent Secretaries in the processes. This could be noticed from the number of times Cabinet Office staff had to pester Permanent Secretaries to submit progress reports;
- (b) Lack of ownership of the contents of the documents and agreements. Most Permanent Secretaries' think target settings are the job of Cabinet Office or Directors in their respective Ministries and not themselves.
- (c) It was also observed that most Permanent Secretaries had a tendency of setting unrealistic targets and always blame subordinates and lack of funding as the reasons for failure to deliver;
- (d) Lack of follow up action commensurate with the status of performance levels;
- (e) Different approaches in assessments of performance by appraisers (rater) for example one rater was systematic and rigorous to ensure every target was assessed

- while the other rater would not even reference to the documents and targets. The assessment was based on listening to the appraisee as the only bases of assessment;
- (f) Some Permanent Secretaries had a tendency of negotiating with the appraiser to have a better rating. Cabinet Office had observed that some Permanent Secretaries had high rating over and over even when performance has not improved in the Ministry.

The study also established that respondents were decisive as to whether the performance of the Ministries and Provinces regarding service delivery had increased with the introduction of Performance- Based Contracts for Permanent Secretaries.

4.7 Testing of Hypothesis

The hypotheses which appear below were assessed using Spearman correlation and Chi-Square test. Spearman correlation was to determine whether there was a monotonic correlation, especially for Hypothesis 1. Minda (2016) argues that a monotonic relationship exists when either the variables increase in value together, or as one variable value increases, the other variable value decreases. Spearman correlation was chosen because the data at hand failed the assumptions necessary for conducting the Pearson's Product-Moment Correlation.

Hypothesis 1:

H01: There is no relationship between the performance appraisal system and the state of performance-based contracts for Permanent Secretaries.

The first hypothesis was that the performance appraisal system does not correlate with the state of performance-based contracts for Permanent Secretaries. Table 4.10 outlines the Spearman's correlation, its significance value (0.87) and the sample size (n = 47) that the calculation was based on.

Table 4.4: Correlation Test: Performance Appraisal System and the State of Performance-Based Contracts for Permanent Secretaries.

| | | performance appraisal system | The state of performance-based contract for Permanent Secretaries. |
|---|------------------------------|------------------------------|--|
| Spearman's rho | performance appraisal system | Correlation Coefficient | 1.000 |
| | | Sig. (2-tailed) | .252 |
| | | N | .087 |
| | | | 47 |
| The state of performance-based contract for Permanent Secretaries Process score | | Correlation Coefficient | .252 |
| | | Sig. (2-tailed) | .087 |
| | | N | 47 |
| | | | 1.000 |

Source: Author's Computations from Research Data Collected (2020)

The Spearman's correlation coefficient, r_s , is 0.252, and the significant value is 0.87. The Spearman's rank-order correlation however shows a weak, positive correlation between the two variables, which was not even statistically significant ($r_s = .0252$, $p = 0.87$). It could be concluded that there is a weak positive correlation between the effectiveness of the Performance Appraisal Process for Permanent Secretaries and the level of satisfaction of the outcome of performance appraisals.

The section that follows builds on the quantitative data above. Interviews with top management personnel reveals that the performance appraisal processes had both inhibitors and facilitators from the planning phase up to the evaluation phase. Though there were these challenges as noted in Table 4.10, when appraisal was conducted by the top management and the Secretary to the Cabinet, it was very collaborative. The study reviews that top Management and the Secretary to the Cabinet in most instances reviewed the annual work plans to determine alignment to Ministerial portfolio. However, it was also observed that there were no instances when Ministers reviewed work plans. Below are narratives in support of the data presented above. It was reviewed during interviews that one of the inhibitors was the suddenness of conducting appraisals.

Respondents mentioned numerous shortfalls and numerous encouraging and success points.

“So far, I have had this chance of working with my boss...We have done the appraisal together even when they have been rather unplanned” (interview with Permanent Secretary 1, July 2020).

Others expressed concerns was with the workload: *“Things do not go according to plan...I think because of the busy schedules, it has not been possible for me to develop a work plan that outlines the tasks or deliverables to be completed. I had excess work to do than I anticipated. My Ministry is very busy. So, the appraisal tends to shift the focus onto other areas”.* (interview with Permanent Secretary 5, July 2020).

Immediate supervisors like Ministers were most of the times not available: *“I have been hoping that one day, my Minister would appraise me. This is a missing part in the jigsaw puzzle when it comes to making an overall decision following the appraisal”* (interview with Permanent Secretary, 3 July 2020).

Others had positive positions relating to having sufficient time for appraising employees was noted. *“When getting ready to conduct a performance discussion, it is important to allow sufficient time for the discussion. I cannot complain. I have been given enough time”.* (interview with Permanent Secretary 8, July 2020).

There were instances when appraisals made the appraisees happy. Most of them were happy as it appears there was a link with the Secretary to the Cabinet on matters to be appraised when it comes to appraising. *I was happy to note that in the previous appraisal, we had to determine which of the Job Elements were to be rated. I had presented some of the elements in my job we had agreed on to be rated and my boss just nodded approving them* (interview with Permanent Secretary 7, July 2020).

When work was done very well, little did the appraisers offer feedback. Feedback was not available the whole year round and even after appraisal. Appraisers appeared to have related this important part of the PAS to the least important activity in the PAS. *“What I know and believe is that after an appraisal the boss has to give some feedback on the competence and overall progress made since the last appraisal or as agreed in the year on what was to be done. I always long for a feedback just soon after the appraisal. A detailed feedback can come later”* (interview with Permanent Secretary 4, July 2020).

There is evidence that performance ratings are often manipulated for political purposes as civil service executives perform a seemingly political function. *“It is not expected that a PS would be retired in national interest if there are political reasons. The accuracy of the information provided by the appraiser or rater remains doubtful in the presence of politics involved in giving ratings during the performance appraisal process. The appraisers intentionally alter the appraisal results for their own interests the ratings and results of the appraisal are changed for political reasons”* (interview with Permanent Secretary 1, July 2020).

Others pointed at the design of the PA system which seemed to affect the process.

I have failed to grasp the true design you know. The dual reporting system is rather confusing. You have the standard used by the Minister and that of Cabinet...I do not see the two speaking together....There should have also been room for each PS to have their own performance standard. (Interview with Permanent Secretary 3, July 2020).

There were PSs who were concerned with the method and modality for collecting and reporting information. They wished this could have been agreed at the time of signing performance-based contract.

The method and modality for collecting and reporting information should be agreed at the time of signing performance-based contract. Ideally, it should be part

of the performance-based contract. (Interview with Permanent Secretary 4, July 2020).

The need for a readily available performance appraisal manual was echoed. Since the performance appraisal process was periodic in order to evaluate an employee's performance of assigned duties and responsibilities, the appraisal was not consistent on targets and processes. This was attributed by some PSs to the lack of availability of a manual.

How I wished here could be a manual that could be used at our regular appraisals. The manual could be complimented with systems' improvements combined with capacity development initiatives. I believe that in this way, Cabinet Secretariat staff would be in a better position to support Ministers in an effective and evidence-based manner. (Interview with Permanent Secretary 13, July 2020).

Hypothesis 2:

There is no relationship between the involvement of top management in the appraisal process and state of performance-based contracts for Permanent Secretaries.

The researcher set to establish if there was any association between the involvement of top management in the appraisal process and state of performance-based contracts for Permanent Secretaries. A chi-square test of dependence was carried out between the two variables. The objective was to determine whether state of performance-based contracts for Permanent Secretaries was associated with top management's participation. Findings reveal that 32% of the respondents that indicated that involvement of top management was actively involved in the appraisal process and claimed that the appraisal process for Permanent Secretaries was very effective.

Approximately 12 % of the respondents claimed that top management staff were not involved in the appraisal process for Permanent Secretaries and claimed that the appraisal process for Permanent Secretaries was effective. Further, approximately 30.6% of the respondents who claimed that top management staff was not involved in the appraisal

process for Permanent Secretaries and claimed that Appraisal Process for Permanent Secretaries was not effective. Approximately 54% of the respondents remained neutral to the question “Are top management staff involved in the appraisal process for Permanent Secretaries?” Refer to Table 11, for detailed findings.

Table 4.5: Cross -Tabulation for the Level of Stakeholder Involvement and Level of State of Physical Infrastructure

| | | How effectiveness is the Appraisal Process for Permanent Secretaries? | | | | | |
|--|---------|---|-----------|---------|---------------|--------------------|--------|
| | | Very Effective | Effective | Average | Not Effective | Not Very Effective | Total |
| Is top management staff involved in the appraisal process for Permanent Secretaries? | Yes | 32 | 28 | 30 | 8 | 3 | 100 |
| | | 31.7% | 27.9% | 29.8% | 7.7% | 2.9% | 100.0% |
| | No | 12 | 16 | 31 | 30 | 10 | 100 |
| | | 12.2% | 16.3% | 30.6% | 30.6% | 10.2% | 100.0% |
| | Neutral | 9 | 16 | 54 | 17 | 5 | 100 |
| | | 8.5% | 16.2% | 53.5% | 16.9% | 4.9% | 100.0% |
| Total | | 17 | 20 | 41 | 16 | 5 | 100 |
| | | 17.3% | 20.3% | 41.4% | 15.9% | 5.1% | 100.0% |

Source: Author’s Computations from Research Data Collected (2020)

The Chi-Square test for the above variables’ relationship revealed a large Chi-square value of 48.800, with a P-value of 0.000. Based on this result, the Null hypothesis (H_0), stating that there was no relationship between the two variables was rejected. Thus, the study concluded that the state of performance-based contract for permanent secretaries was associated with involvement of top management. Further that the relationship between these variables was significant at 0.001 level of significance as shown by the P-value of 0.000. Refer to Table 4.12 below.

Table 4.6: Chi-Square for the Level of Involvement of Top Management and State of Performance-Based Contracts for Permanent Secretaries

| | Value | df | Asymp. Sig. (2-sided) |
|------------------------------|---------------------|----|-----------------------|
| Pearson Chi-Square | 48.625 ^a | 8 | .000 |
| Likelihood Ratio | 46.800 | 8 | .000 |
| Linear-by-Linear Association | 24.217 | 1 | .000 |
| N of Valid Cases | 100 | | |

a. 1 cells (6.7%) have expected count less than 5. The minimum expected count is 2.49.

Source: Author’s Computations from Research Data Collected (2020)

Hypothesis 3:

In determining the relationship between technical capacity of the appraiser and state of performance-based contracts for Permanent Secretaries in Zambia, a Chi-Square test of dependence was carried out, with a null hypothesis stating, “There is no relationship between technical capacity of the appraiser and state of performance based contract for permanent secretaries.

Table 16 is a cross tabulation between the two variables “technical capacity of the appraiser” and “state of performance-based contract for permanent secretaries”. Findings revealed that of the total respondents who indicated that appraiser had installed technical capacity to effectively appraise were 22.5% (23) of the respondents rated the state of performance-based contract for permanent secretaries as very effective, while 24.6% (25) rated the state of performance based contract for permanent secretaries in Zambia as effective. Further, 19.5% (20) and 4.3% (4) rated the quality as either effective or very effective respectively. Table 4.13 also indicate that 2.4% (2) of the respondents claimed that the appraisers had no installed technical Capacity. It also shows that 51% of the respondents remained neutral. Refer to Table 4.13 below.

Table 4.7: Cross Tabulation and Chi-Square Test for Technical Capacity of the Appraiser and State of Performance-Based Contracts for Permanent Secretaries

| | | State of Performance-Based Contracts for Permanent Secretaries | | | | | Total |
|---|---------|--|-------------|-------------|---------------|--------------------|---------------|
| | | Very Effective | Effective | Average | Not Effective | Not Very Effective | |
| Do the Appraisers have technical capacity required to appraise? | Yes | 23 22.5% | 24 24.6% | 33 33.3% | 15 15.2% | 4 4.3% | 100 100.0% |
| | No | 86 85.7% | 0 .0% | 0 .0% | 14 14.3% | 0 .0% | 100 100.0% |
| | Neutral | 9 9.3% | 17 17.3% | 51 50.7% | 17 16.7% | 6 6.0% | 100 100.0% |
| Total | | 17 17.3% | 20 20.3% | 41 41.4% | 16 15.9% | 5 5.1% | 100 100.0% |

Source: Author’s Computations from Research Data Collected (2020)

The Chi-Square test for the above variables’ relationship revealed a large Chi-square value of 38.964, with a P-value of 0.000. Based on this result, the Null hypothesis (H₀), stating that there was no relationship between the two variables was rejected. Thus, the study concluded that the quality performance-based contract for permanent secretaries was influenced by the level of technical capacity of appraisers. Further that the relationship between these variables was significant at 0.001 level of significance as shown by the P-value of 0.001 as shown in Table 4.14 below.

Table 8: Chi-square Test for State of Performance-Based Contracts For Permanent Secretaries

| | Value | df | Asymp. Sig. (2-sided) |
|------------------------------|---------------------|----|-----------------------|
| Pearson Chi-Square | 38.964 ^a | 8 | .000 |
| Likelihood Ratio | 35.243 | 8 | .000 |
| Linear-by-Linear Association | 8.076 | 1 | .003 |
| N of Valid Cases | 100 | | |

a. 5 cells (33.3%) have expected count less than 5. The minimum expected count is .36.

Source: Author’s Computations from Research Data Collected (2020)

The performance-based contract document should be freely negotiated by Permanent Secretaries. This will mitigate the current practice were the performance-based contract system is accepted overtly but resisted covertly by Permanent Secretaries.

To ensure credibility and transparency, there must be a third-party component in the system to ensure that performance-based contract appraisal system have been negotiated freely and that they are “fair” to both parties.

The evaluation of the performance-based contract appraisal system should be done by a third party to ensure fairness—clearly one party to the contract cannot be the judge for that contract.

Adherence to performance-based contract commitments should matter. That is, there should be consequences for “good” and “bad” performance. Otherwise, performance-based contract will simply remain as paper tigers. There must be an explicit incentive system to motivate people to take performance-based contract seriously. However, this incentive system can be both pecuniary and non-pecuniary.

4.8 Summary of Findings

This study's aim was to generate evidence to Cabinet Office of correlates of shortfalls in the implementation of the performance-based contract system for Permanent Secretaries since 2016 that could be used as evidence for improvements in performance appraisal practice. In summary, appraisals were adequate in just 10% of the cases and in the majority of the cases (90%) they were inadequate and it was not possible to make any meaningful decisions. Ministers did not appraise civil service executives every year. The maximum they went to appraise civil service executives was zero and this accounted over half, 61.7%, and this was not expected. As for the Secretary to the Cabinet and his staff, the maximum they appraised civil service executives was four times and this accounted for just over a third 38% of what was expected. Spearman's rank-order correlation shows a weak, positive non-statistically significant correlation between the two variables (observed outcome of performance appraisals and inhibitors or facilitators ($r_s = .0.252$, $p = 0.87$)). There was also a very weak, negative correlation between the two variables (inhibitors or facilitators and appraisal implementation process) ($r_s = -.002$, $p = 0.989$)). There were unclear performance indicators, unclear ineffective rating instrument, overly guessing reviews and political based reviews, immediate supervisors were not available, excess workload and suddenness of conducting appraisals. There was a missing link with Ministers when it comes to appraising. Ministers had less information on how to do the actual appraisal and Permanent Secretaries experienced a lack of ongoing performance feedback from the Minister. These key issues influenced the poor state of performance appraisal of civil service executives.

CHAPTER FIVE

DISCUSSION AND CONCLUSION

5.1 Introduction

These findings point to the fact that though the government has opted to conduct performance appraisals of its executives as part of its performance management program, the import of utilising the competencies inherent of these employees and the extent to which employees excel at the competencies to be utilised are not appraised as designed and appraisals are based on the competencies that are unimportant. The results of this study suggest that civil service executives are willing to be appraised in their areas of perceived potency as well as weakness and this should be tallied to subsequent rewards and employee development.

It is surprising that there were no agreed key result areas in the jobs that were to be done by PSs and this was compounded by absence of performance standards, core competences, and communicating the standards. It is not expected that ministries and government departments would yield optimum results when well performing employees are not rewarded and when sub-performing employees are not considered for personal development and this has been echoed in previous research (Murphy and Cleveland, 1991; Caruth and Humphreys, 2008; Prowse and Prowse, 2009).

Linking performance with reward schemes increases the levels of performance. Such schemes have been used in both public and private sectors (Boswell and Boudreau, 2000; Armstrong & Brown, 2005). Linking employees with reward motivates employees and commits them to the appraisal process. It will also show the employees that the completion of the performance targets and objectives will affect them directly (Prowse & Prowse, 2009).

One other area worth noting is concerned with organisational objectives and key result areas. This part has been least considered in the performance management system. Boice

and Kleiner (1997) point out that the organizational objectives must be determined first before embarking on a performance management system in order to make it effective. Departmental and individual objectives or key result areas are then formulated which must be consistent with the organizational objectives. This is not the case in this study. It is not expected that staff that are to be appraised are uninvolved in the performance system. According to Coens, and Jenkins, (2000), involving employees will make them understand organizational goals, what is expected of them, and what they will expect for achieving their performance goals. This explains the concerns of the respondents in this study.

It is surprising that there were no agreed key result areas relating to the job to be done and this was compounded by absence of performance standards, core competences, and communicating the standards and competencies by appraisers to appraisees. The fact rating was rather a problem in this study, it points to lack of training. Evans (1991), noted that the raters should be trained on various aspects like supervision skills, conflict resolution, coaching and counselling, setting performance standards, linking the system to pay, and how to provide employee feedback. The training will equip ratees with expertise and knowledge that they need in making decisions in the course of the process.

It was not expected to see civil service executives who were better performing to be rewarded. A PAS should also link individual performance with reward (Townley, 1999). It is assumed that linking performance with reward increases the levels of performance. Such schemes have been used in both public and private sectors (Armstrong & Brown, 2005). Linking employees with reward motivates employees and commits them to the appraisal process. It will also show the employees that the completion of the performance targets and objectives will affect them directly (Prowse & Prowse, 2009).

The lack and poor feedback experienced by civil service executives is far from the ideals of PAS. Feedback is an important part of the PAS. According to Longenecker (1997), the ratees should be given feedback on their competence and overall progress within the organization. The feedback should be specific and timely and be against the pre-

determined performance expectations. It's within the employees' rights to know how they are progressing in performing the assigned tasks and to receive feedback. The feedback should be provided on a continuous basis – daily, weekly, or monthly reviews (Henderson, 1984; Tornow, 1993; Lee, 2005).

What is deciphered from this study is that appraisers are not very considerate of the effect of appraisals onto the civil service executives in the manner they are done. Research elsewhere has shown that employee reaction to the PAS has been a critical aspect of the acceptance and effectiveness of the system which at times tends to be riddled with satisfaction issues. Extreme dissatisfaction and perceptions of unfairness and inequality in the ratings may lead to the failure of the system (Cardy & Dobbins, 1994; Murphy & Cleveland, 1995). The criteria that must be met in order to make the system be perceived by ratees to be fair include having a formal system of appraisal, ratees must have a very high degree of job knowledge, the ratees must have an opportunity to appeal against their performance ratings, the dimensions of performance must be relevant, and having action plans to deal with any weaknesses.

It is very clear that Ministers and Secretary to Cabinet as appraisers and drivers of PAS had not undergone some training as literature would posit in such a scenario (GOK, 2006; 2008; 2010). McDowall and Fletcher (2004) noted that the raters should be trained on various aspects like supervision skills, conflict resolution, coaching and counselling, setting performance standards, linking the system to pay, and how to provide employee feedback.

5.2 Status of the Implementation of the Performance-Based Contracts Mechanism for Permanent Secretaries

The general picture of the status of the implementation of the Performance-based contracts mechanism for Permanent Secretaries in Zambia shows that most of the respondents indicated that the appraisal process was poorly conducted in Zambia. The appraisal process, especially the rating process, was equally poorly conducted. The

process did not adhere to a typical performance appraisal process as outlined in Performance Appraisal Manual.

It was generally established by the study that the performance appraisal process for Permanent Secretaries had structural gaps. The system had no agreed key performance result areas or core competencies in the job. This was compounded by absence of performance standards. It is surprising that there were no agreed key result areas relating to the job to be done and this was compounded by absence of performance standards, core competences, and communicating the standards and competencies by appraisers to appraisees.

Performance planning, ongoing feedback and performance review were equally poorly conducted. The appraisal sessions were irregularly held and skipped in most instances as well. According to Longenecker (1997), the ratees should be given feedback on their competence and overall progress within the organization. The feedback should be specific and timely and be against the pre-determined performance expectations. It is within the employees' rights to know how they are progressing in performing the assigned tasks and to receive feedback.

The study also established that most respondents were of the view that the appraisal process was not effective, and most respondents were dissatisfied with the outcome of the performance appraisal for the Permanent Secretaries. It was established that most respondents were, however, confident that the introduction of Performance-Based Contracts for Permanent Secretaries had contributed to the enhanced delivery of services by Ministries and Provinces.

5.3 The Performance Appraisal System

The study has established that the performance appraisal system was negatively impacting on the state of Performance-Based Contracts for Permanent Secretaries. In addition, it

established that the ideal number of appraisals per public office ought to have been in the category 6-8 times since 2016 and specifically it established that 8 times was the deal.

However, it was observed from the study that Ministers did not appraise Permanent Secretaries as designed annually. On average most Ministers had never officially appraised their Permanent Secretaries. It was observed that the Secretary to the Cabinet and the Deputy Secretaries to the Cabinet had, on average, appraised their subordinates, Permanent Secretaries, on the maximum four times since 2016. According to Part V, of the Performance Contract Agreements, the performance of the Permanent Secretary shall be reviewed twice per year, after six months and at the end of the year. For the first review, the Permanent Secretary shall submit a progress report to the Secretary to the Cabinet on the targets/performance standards agreed in the Contract. The findings show that the current system is far short of this requirement.

The Spearman's rank-order correlation shows a weak, positive correlation between the two variables, which was not even statistically significant ($r_s = .0.252$, $p = 0.87$). It could be concluded that there is a weak positive correlation between the effectiveness of the Performance Appraisal Process for Permanent Secretaries and the level of satisfaction of the outcome of performance appraisals. Extreme dissatisfaction and perceptions of unfairness and inequality in the ratings may lead to the failure of the system (Murphy and Cleveland, 1995). The criteria that must be met in order to make the system be perceived by ratees to be fair include having a formal system of appraisal, ratees must have a very high degree of job knowledge, the ratees must have an opportunity to appeal against their performance ratings, the dimensions of performance must be relevant, and having action plans to deal with any weaknesses.

5.4 The Involvement of Top Management in Appraisal System

According to the pre-conditions for introducing Performance Contracts for Permanent Secretaries document, the implementation of the Performance-Based Contract System (PBCS) requires that all Ministers, Provincial Ministers, Secretary to the Cabinet, and

Permanent Secretaries are fully involved in the process (GRZ, 2016, unpublished). The guidelines also allow for the Secretary to the Cabinet to appoint an Ad-Hoc Committee of eminent persons to conduct the performance review. The Ad-Hoc Committee will comprise distinguished persons with integrity and expert knowledge in the functional areas of the Permanent Secretaries whose performance is being reviewed.

The study established that top Management staff in the Ministries and Provinces are not fully involved in the appraisal process. One other area worth noting is concerned with organisational objectives and key result areas. This part has been least considered in the performance management system. Boice and Kleiner (1997) point out that the organizational objectives must be determined first before embarking on a performance management system to make it effective. Departmental and individual objectives or key result areas are then formulated which must be consistent with the organizational objectives. This is not the case in this study. It is not expected that staff that are to be appraised are uninvolved in the performance system. According to Coens, and Jenkins, (2000), involving employees will make them understand organizational goals, what is expected of them, and what they will expect for achieving their performance goals. This explains the concerns of the respondents in this study.

Thus, the study concluded that the state of Performance-Based Contracts for Permanent Secretaries was associated with involvement of top management. Further, that the relationship between these variables was significant at 1% level of significance as shown by the P-value of 0.000.

The Technical Capacity of Appraisers.

The study established that the Appraisers had limited technical capacity and less information on how to do the actual conduct of the appraisal. In addition, the appraisers had limited skill in conducting the performance appraisals. According to the Pre-conditions for introducing Performance Contracts for Permanent Secretaries document, implementing robust Performance Contracts for Permanent Secretaries System required

putting in place an institutional framework to facilitate effective coordination and management. There is need, therefore, to enhance the capacity of the Public Service Management Division (PSMD) to give support to the Office of the Secretary to the Cabinet in the management of Performance Contracts for Permanent Secretaries System. This was established in the study that it was not done.

The fact rating was rather a problem in this study. It points to lack of training. Evans (1991), noted that the raters should be trained on various aspects like supervision skills, conflict resolution, coaching and counselling, setting performance standards, linking the system to pay, and how to provide employee feedback. The training will equip ratees with expertise and knowledge that they need in making decisions during the process. It is very clear that Ministers and Secretary to Cabinet as appraisers had not undergone some training on how to manage and conduct appraisals. McDowall and Fletcher (2004) noted that the raters should be trained on various aspects like supervision skills, conflict resolution, coaching and counselling, setting performance standards, linking the system to pay, and how to provide employee feedback.

Thus, the study concluded that the quality of Performance-Based Contracts for Permanent Secretaries was influenced by the level of technical capacity of appraisers. Further that the relationship between these variables was significant at 1% level of significance as shown by the P-value of 0.000.

5.5 Limitations of this Study

All studies have limitations and the limitations are peculiar to each study. In this study, the following standout and the findings ought to be considered with a pinch of salt.

The first one relates to the areas of focus within the PAS. While the study considered the processes in PAS, the study did not consider the policy design of the PAS. This omission made it difficult to appreciate further the theory of the PAS that was guiding this project.

The second one relates to the weaknesses of cross sectional study designs. It is difficult to determine whether the constraints that were pointed out in the study are of short duration or chronic nature. This cross-sectional did not look at a year's prevalence of factors. As such, it did not look at performance appraisal variations when civil service executives were moved from one Ministry to another. Further, the associations are from cross-sectional data and may render difficulties in interpreting the findings.

The third one is about respondent access. It was difficult accessing respondents, the participation of directors at provincial level was relatively low. Also, performance-based contracting is a broad area of study itself, therefore, not all aspects could be assessed in this study. These notwithstanding, the use of qualitative analysis to complement the quantitative assessments strengthens this study. Finding of this study are, therefore, reliable and are valuable for policy and practice improvement.

The fourth one is about the constraints or barriers affecting the appraisal process. It was difficult to determine whether the constraints that were pointed out in the study are of short duration or chronic nature. This cross-sectional did not look at a year's prevalence of factors. As such it did not look at performance appraisal variations when civil service executives were moved from one Ministry to another. Further, the associations are from cross sectional data and may render difficulties in interpreting the findings.

5.6 Significance of this Study

In spite of the limitations above, this study has notable significances.

The first significance relates to the study being the premiere study looking at performance appraisal of chief executives in the public sector. The methodological contribution of this mixed study will help other researchers who would desire to see how integration of qualitative and quantitative research could be welded. The researcher has also demonstrated a trail of evidence which other researchers may consider in undertaking a similar study. The evidence which has been generated could be used for future research and teaching.

The second is that to date, this study adds to the pool of knowledge on performance appraisal. Currently, literature lacks evidence of studies that have investigated two dimensions simultaneously (factors and facilitators of performance appraisal and out puts of such appraisals). In addition, extant studies have often neglected interrelations between the two. Therefore, the research presented in this dissertation contributes to the closure of this research gap.

The third is about lessons learnt. There are key lessons that have been learned from this study for more effective appraisals in future. The key to improving the formal appraisal process is the behaviour of appraisers and human resource managers in the Zambian public service. If managers are to increase the effectiveness of their rating behaviour, they need to operate using an effective appraisal system as a foundation; demonstrate and practice effective planning, monitoring and evaluation behaviours; and finally receive ongoing motivation and support to conduct effective appraisals.

To this end, there are ten important lessons for improving any organization's performance appraisal system. The study makes it clear that appraisers must clearly articulate and communicate (for all parties concerned) what benefits this appraisal process can produce for the institutions. For example, they should highlight that almost all HR functions and activities can be improved with accurate and relevant information generated from the appraisal process. In addition, they should point out that if appraisal criteria (as it should always be) were designed around supporting the organization's strategic objectives, then appraisal information would provide critical information on how well the organization is using civil service executives to achieve its goals.

The fourth is related to bottlenecks. The study has identified bottlenecks that impede on the effective implementation of the PMS for civil service executives since 2016. These bottlenecks could be the substrate for durable solutions that future research, applied research could consider.

The fifth is that noting this is a premier study, its methodology provides a trail of methodology which other researchers could use and will provide first-hand empirical

evidence for those who may desire to carry out further studies in the same field in the future.

5.7 Conclusion

The purpose of this study was to generate evidence on the status of the implementation of the performance-based contract mechanism for Permanent Secretaries in Zambia. This study has shown that, appraisals were adequate in just 10% of the cases and in the majority of the cases (90%) they were inadequate. Ministers did not appraise civil service executives every year. There were unclear performance indicators, unclear ineffective rating instrument, overly guessing reviews and political based reviews, immediate supervisors were not available, excess workload and suddenness of conducting appraisals. There was a missing link with Ministers when it comes to appraising. Ministers had less information on how to do the actual appraisal and Permanent Secretaries experienced a lack of ongoing performance feedback from the Minister. These key issues influenced the poor state of performance appraisal of civil service executives.

Lessons learned in our research suggest that to achieve effective appraisal support, one needs to have top management support, appraisal outcomes linked to performance ratings and ongoing systems review/ corrective action. However, according to the findings, the state of implementation of the appraisal process of the performance-based contract system for Permanent Secretaries is influenced a great deal by design and process factors. If these factors are taken into consideration, then performance appraisal system's potential of being a good performance management tool will be guaranteed.

The study makes it clear that appraisers must clearly articulate and communicate (for all parties concerned) what benefits this appraisal process can produce for the institutions. In addition, they should point out that if appraisal criteria (as it should always be) were designed around supporting the organization's strategic objectives, then appraisal information would provide critical information on how well the organization is using civil service executives to achieve its goals.

5.8 Recommendations

Looking at the study's outcomes and limitations, the following are the recommendations under the domain research and policy:

- a. Future research should consider looking at the design and processes of PAS. This study could be commissioned by Cabinet Office or academia may pick it as research agenda.

- b. Since this is a cross-sectional study design, it would be ideal to conduct a longitudinal study design in order to determine whether the constraints that were pointed out in the study are of short duration or chronic nature. A longitudinal study would address not only a year's prevalence of factors but an ongoing prevalence. In this way, the longitudinal study would help in looking for performance appraisal variations when civil service executives were moved from one Ministry to another. This study could be commissioned by Cabinet Office or academia may pick it as research agenda.

Considering the findings and in terms of policy implications, the study recommends the following to Cabinet Office:

- a. The examination of the practical impact of implementing the administrative framework of performance contracts in the public service. The study has shown that although performance management within government is widely discussed, there is information asymmetry in the guidance available to Permanent Secretaries and Ministers. This study recommends the need to take a practical approach for reforms on Performance-Based Contracts for Permanent Secretaries, within the context of a government's overall performance management framework. The starting point is the strengthening of the mechanism for determining and measure results and provide incentives for Permanent Secretaries to achieve the results.

- b. There is need to design and implement a performance-based arrangements for Permanent Secretaries that ensures that they meet their own performance standards, and at the same time to improve the contribution of their Ministries and Provinces to meet the overall goals of government.
- c. Further, it is recommended that a mechanism is put in place to entrench performance-based contracting in entire public service, especially at top and senior management levelsd in Ministries and Provinces. Measured factors leading to effectiveness of performance-based contract pre-determined and broken down to their specific indicators to enable monitoring.
- d. The performance-based contract document should be freely negotiated by Permanent Secretaries. This will mitigate the current practice were the performance-based contract system is accepted overtly but resisted covertly by Permanent Secretaries.
- e. To ensure credibility and transparency, there must be a third-party component in the system to ensure that performance-based contract appraisal system have been negotiated freely and that they are “fair” to both parties.
- f. The evaluation of the performance-based contract appraisal system should be done by a third party to ensure fairness—clearly one party to the contract cannot be the judge for that contract.
- g. Adherence to performance-based contract commitments should matter. That is, there should be consequences for “good” and “bad” performance. Otherwise, performance-based contract will simply remain as paper tigers. There must be an explicit incentive system to motivate people to take performance-based contract seriously. However, this incentive system can be both pecuniary and non-pecuniary.

- h. The method and modality for collecting and reporting information should be agreed at the time of signing performance-based contract. Ideally, it should be part of the performance-based contract.
- i. A Performance Manual for Cabinet Secretariat to be designed to enable effective follow up decisions taken at regular meetings of the Cabinet.
- j. Institutional systems improvements combined with capacity development initiatives that will enable Cabinet Secretariat staff to support Ministers in an effective and evidence-based manner.

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APPENDICES

Appendix I: Consent Form

Dear Participant,

This serves to give you an understanding of the purpose of this research and procedures that will be followed. Further implications for your participation are explained below. Finally, you are being asked to sign this form to indicate that you have agreed to participate in this exercise.

1. Description

This exercise is an educational research. The researcher is a student at The University of Zambia pursuing a Master programme. This research is a major requirement for the researcher to complete his programme. Therefore, this research is purely academic.

2. Purpose

The researcher wishes to generate evidence on the status of the implementation of the Performance-based contract mechanism for Permanent Secretaries in Zambia.

3. Consent

Participation in this exercise is voluntary. You are, therefore, free to decline to participate in this exercise.

4. Confidentiality

All data collected from the research is treated with utmost confidentiality. Participants are assured they will remain anonymous and untraceable in this research.

5. Rights of Respondents

All efforts will be taken that rights of participants are protected and respected. Participants are assured that they will suffer no harm because of participating in this research. Participants are free to ask for clarification at any point of the exercise and to inform the researcher if they feel uncomfortable about the procedure in the research.

6. Declaration of Consent

I have read and fully understand this document. I, therefore, agree to participate in this exercise.

Signature.....

Date.....

Appendix II: Survey Questionnaire

You have been selected by chance with other respondents including Permanent Secretaries, directors and others to help us know what may relate to you and other people regarding the PMS. Please read /listen to each item carefully and decide to what extent it is characteristic of you. Give each item a rating that applies to you by using a scale that is given for each question. Please remember to respond to all items. There are indeed no right or wrong answers. Your answers will be kept by me in the envelope that I have given you in the strictest confidence for only six months after which time I shall have examined all the responses. There after I shall destroy them. There will be no identification mark that relates to you on the questionnaire. I am sure that you will be open in responding to these statements.

Age.....

Gender: Male..... Female

Years you have been in your present position

Total number of appraisals done by the Minister since 2016

Total number of appraisals done by the Secretary to the Cabinet since 2016.....

Total number of appraisals

Adequacy of performance appraisals

- a) **Adequate to make a meaningful decision**
- b) **Somewhat Adequate to make a meaningful decision**
- c) **Not Adequate to make a meaningful decision**

Setting goals that will benefit the individual and the unit/Ministry or department

| | | | | |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|
| Strongly agree | Agree | Somewhat agree | Disagree | Strongly disagree |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|

The Minister and I discuss performance-related issues

| | | | | |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|
| Strongly agree | Agree | Somewhat agree | Disagree | Strongly disagree |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|

The Secretary to the Cabinet and I discuss performance-related issues

| | | | | |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|
| Strongly agree | Agree | Somewhat agree | Disagree | Strongly disagree |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|

I score my performance and so does the Minister on performance-related issues.

| | | | | |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|
| Strongly agree | Agree | Somewhat agree | Disagree | Strongly disagree |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|

I score my performance and so does Secretary to the Cabinet on performance-related issues.

| | | | | |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|
| Strongly agree | Agree | Somewhat agree | Disagree | Strongly disagree |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|

The Minister and I agree on work plans for the subsequent year.

| | | | | |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|
| Strongly agree | Agree | Somewhat agree | Disagree | Strongly disagree |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|

The Secretary to the Cabinet and I agree on work plans for the subsequent year.

| | | | | |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|
| Strongly agree | Agree | Somewhat agree | Disagree | Strongly disagree |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|

The Secretary to the Cabinet and I agree on work plans for the subsequent year.

| | | | | |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|
| Strongly agree | Agree | Somewhat agree | Disagree | Strongly disagree |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|

The Minister and I agree on work plans for the subsequent year

| | | | | |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|
| Strongly agree | Agree | Somewhat agree | Disagree | Strongly disagree |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|

Each appraisal has identified the performance gap,

| | | | | |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|
| Strongly agree | Agree | Somewhat agree | Disagree | Strongly disagree |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|

Each appraisal has identified the performance constraints

| | | | | |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|
| Strongly agree | Agree | Somewhat agree | Disagree | Strongly disagree |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|

Each appraisal has identified my job related staff development needs

| | | | | |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|
| Strongly agree | Agree | Somewhat agree | Disagree | Strongly disagree |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|

Each appraisal has contributed to the determination of my remuneration

| | | | | |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|
| Strongly agree | Agree | Somewhat agree | Disagree | Strongly disagree |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|

Each appraisal has made me be accountable for my job.

| | | | | |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|
| Strongly agree | Agree | Somewhat agree | Disagree | Strongly disagree |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|

Each appraisal has made clear my expectations.

| | | | | |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|
| Strongly agree | Agree | Somewhat agree | Disagree | Strongly disagree |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|

There are clear performance criteria/effective rating instruments.

| | | | | |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|
| Strongly agree | Agree | Somewhat agree | Disagree | Strongly disagree |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|

I have been experiencing a missing link with the Minister when it comes to appraising.

| | | | | |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|
| Strongly agree | Agree | Somewhat agree | Disagree | Strongly disagree |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|

I have been experiencing a link with the Secretary to the Cabinet when it comes to appraising.

| | | | | |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|
| Strongly agree | Agree | Somewhat agree | Disagree | Strongly disagree |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|

The review process lacks structure/consistency

| | | | | |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|
| Strongly agree | Agree | Somewhat agree | Disagree | Strongly disagree |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|

There is sufficient training provided on PMS to appraisees

| | | | | |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|
| Strongly agree | Agree | Somewhat agree | Disagree | Strongly disagree |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|

I get strong support from appraisers

| | | | | |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|
| Strongly agree | Agree | Somewhat agree | Disagree | Strongly disagree |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|

Appraisers conduct appraisals as scheduled

| | | | | |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|
| Strongly agree | Agree | Somewhat agree | Disagree | Strongly disagree |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|

The Minister has less information on how to do the actual appraisal

| | | | | |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|
| Strongly agree | Agree | Somewhat agree | Disagree | Strongly disagree |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|

The Secretary to the Cabinet has less information on how to do the actual appraisal

| | | | | |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|
| Strongly agree | Agree | Somewhat agree | Disagree | Strongly disagree |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|

I have experienced a lack of ongoing performance feedback from the Minister

| | | | | |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|
| Strongly agree | Agree | Somewhat agree | Disagree | Strongly disagree |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|

I have experienced a lack of ongoing performance feedback from the Secretary to the Cabinet

| | | | | |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|
| Strongly agree | Agree | Somewhat agree | Disagree | Strongly disagree |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|

The Minister lacks skill on conducting the performance appraisals

| | | | | |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|
| Strongly agree | Agree | Somewhat agree | Disagree | Strongly disagree |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|

The SC lacks skill on conducting the performance appraisals

| | | | | |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|
| Strongly agree | Agree | Somewhat agree | Disagree | Strongly disagree |
|-----------------------|--------------|-----------------------|-----------------|--------------------------|

The end...

Thank you for your participation.

Appendix III: Questionnaire for Non-Minister and Permanent Secretaries
A PERSONAL BACKGROUND INFORMATION

1. SEX

- a. Male
- b. Female

2. AGE (At last birthday)

- a. Below 26
- b. Between 26 and 30
- c. Between 31 and 35
- d. Between 36 and 40
- e. Between 41 and 50
- f. Above 50

3. How long you served at top management level

- a. Below 4
- b. Between 5 and 10
- c. Between 11 and 15
- d. Between 16 and 20
- e. Above 20

B. INVOLVEMENT OF TOP MANAGEMENT

4. Are you aware of Performance-based Contract for Permanent Secretaries?

- a. Yes
- b. No

5. Have you been involved in the process of appraising your Permanent Secretaries?

- a. Yes
- b. No
- c. Not Sure

6. How effectiveness is the Appraisal Process for Permanent Secretaries?

- a. Very effective
- b. Effective
- c. Average
- d. Not Effective
- e. Not very Effective

C. CAPACITY OF APPRAISERS

7. Do the Appraisers have technical capacity required to appraise?

- a. Yes
- b. No

8. Are you satisfied with the for Permanent Secretaries appraisal process outcomes?

- a. Satisfied
- b. Very Satisfied
- c. Undecided
- d. Dissatisfied
- e. very dissatisfied

9. Has service delivery improved by Ministries and Provinces with the introduction of performance-based Contract for Permanent Secretaries?

- a. Yes
- b. No
- c. Not Sure

D. CHALLENGES FACING THE IMPLEMENTATION

10. Are there challenges facing the implementation of performance-based Contract for Permanent Secretaries system?

- a. Yes
- b. No

11. If Yes in question 9, outline some of the challenges.

.....
.....
.....
.....

12. In your own words, what should be done to enhance the implementation of performance-based Contract for Permanent Secretaries system??

.....
.....
.....
.....

13. Any final words?

.....
.....
.....
.....

Thank You

Appendix IV: Schema of In-Depth Interview Questions

As I may have intimated to you in my information sheet, I really would like to have a discussion on the performance appraisal system for Permanent Secretaries . I have a few questions on four areas we may discuss.

- (a) **Theme I:** I would like to know about you. Please tell me about yourself.
Comment as follows this...I am pleased to learn about you. You are such an amazing person.
- (b) **Theme II:** The state of implementation of the performance-based contract system for Permanent Secretaries ? Please comment on the state of implementation of the performance-based contract system for Permanent Secretaries . Probe for the following if not mentioned spontaneously:
 - (i) Number of times appraised since the commencement of the current running contract and who did the appraisal.
 - (ii) Identification of job-related staff development needs.
 - (iii) Determination of the Permanent Secretaries remuneration.
 - (iv) Determination of the Permanent Secretaries next contract.
 - (v) Responding on areas of accountabilities.
 - (vi) Receiving information about annual or periodic performance.
 - (vii) Clarification about expectations of the job and new contract.
 - (viii) Identification of personal development needs.
 - (ix) Any unclear performance criteria/ineffective rating instrument.
 - (x) Existence of linkages with the Minister as immediate boss when it comes to appraising.
 - (xi) Existence of linkages with Secretary to the Cabinet as immediate boss when it comes to appraising.
 - (xii) Immediate bosses doing the actual performance as scheduled.
 - (xiii) Link between appraisal with the current reward system
 - (xiv) Consistency of review process and structure
 - (xv) Receiving feedback from immediate supervisors.