

**FACTORS AFFECTING THE IMPLEMENTATION
OF THE PERFORMANCE APPRAISAL SYSTEM IN RWANDA:
A CASE OF NYAMASHEKE DISTRICT LOCAL GOVERNMENT**

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DECLARATION

This Research Project Report is my original work and has not been presented for a degree in any other University.

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DEDICATION

This Dissertation is dedicated to my friends and family for their encouragement, advice and prayers that enabled me to keep on pushing and concentrating on my studies despite several challenges and demands that almost made it difficult for me to complete this course.

Special dedications go to my beloved kids Ikirezi Daphne and Nuwagaba Declan Junior for their understanding and patience during the time I was unable to be with them being day or night attending to requirements of this course.

Thank you and May God bless you abundantly.

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ABSTRACT

The study set out to assess the factors affecting implementation of the performance appraisal system at Nyamasheke District Local Government (NDLG), Rwanda. The study was based on these objectives; To Examine how management processes affects the implementation of the performance appraisal in NDLG, Investigating how the level of trust between the appraiser and appraisee affects implementation of performance appraisal, to study how communication between the appraisee and appraiser affects the implementation of performance appraisal and lastly to examine how training levels of appraisees affect the implementation of performance appraisal in NDLG. The Study employed both Stratified and Purposive random sampling techniques to get reliable key informants. A total of 133 respondents was used, these included: 30 Health Officers, 10 Administrative assistants, 8 Executive Secretary-Akagari, 4 Executive Secretary-Umurenge (Sector), 50 Technical Planning Committee members and 45 Teachers at NDLG. Findings of the study indicate the following: management of the process of appraisal, level of trust, training of the appraisers and appraisees, and communication are the most important factors affecting the implementation of staff performance appraisals at NDLG. Effective management of these factors improves the staff appraisal system while failure to manage them properly, leads to ineffective staff appraisal. A significant and positive correlation was discovered to be prevailing among implementation of staff performance appraisal and those factors. The researcher therefore recommends the following; The management process of appraisal exercise must be taken with due consideration by both the appraisees and appraisers so as to enable them have ample preparations, adequate knowledge, confident and trust in appraisal system which result into effective appraisal. Implementation of staff performance appraisals should be done on the basis of trust ,is not only a duty of the appraisers but also of the appraisees to actively get involved in the exercise as it leads to the smooth running and provision of constructive feedback aimed at improvement of the performance. Communication to appraisers and appraisees before commencement of the appraisal exercise is a prerequisite to effective any staff performance appraisals, so the public servants and local government employees should be given prior communications so as to prepare them for effective exercise and enhancement of constructive improvements in employee performance.

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LIST OF ACRONYMS

DV	: Dependent variable
FY	: Financial Year
Ho	: Hypothesis
IV	: Independent Variable
MOPS	: Ministry of Public Service
N	: Number
NDLG	: Nyamasheke District Local Government
PSRP	: Public Service Review Programme
ROM	: Result Oriented Management
RWF	: Rwanda Francs
Sig	: Significant

CHAPTER 1

BACKGROUND

1.1 Introduction

The study examined the factors affecting the implementation of performance appraisal system in Nyamasheke District Local Government (NDLG). In this case performance appraisal independent variables are: management process, Level of trust, level of training and communication while implementation is the dependent variable. This chapter presents the introduction, background to the study, historical background, theoretical background, conceptual background, contextual background, statement of the problem, objective of the study, research questions, significance of the study, scope of the study research question, hypothesis, conceptual frame work, justification of the study and operational definitions used in the study.

1.2 Historical Background

Although the use of performance appraisal has increased over the last few decades, the practice of formally evaluating employees has existed for centuries. As early as the third century A.D., Sin Yu, an early Chinese philosopher, criticized a biased rater employed by the Wei dynasty on the grounds that “the Imperial Rater of Nine Grades seldom rates men according to their merits but always according to his likes and dislikes” (Patten, 1997).

Systematic employee appraisal techniques came into prominence just after the end of World War. During the war, Walter Dill Scott succeeded in persuading the United States Army to adopt ‘man-to-man’ rating system for evaluating military officers, although formal performance appraisal probably began in the United States in 1813 (Bellows and Estep, 1954) when army General Lewis Cass submitted to the War Department an evaluation of each of his men using such terms as ‘a good-natured man’ or ‘knave despised by all’ (Murphy and Cleveland, 1995).

Most of the merit rating plans from 1920 to the mid-1940s were of the rating scale type with factors, degrees and points. Indeed the analogy between a point plan of job evaluation and a rating scale plan of merit is very close. From the early 1950’s greater interest was devoted in the performance appraisal of technical, professional and managerial personnel. However it has to be pointed out that with the changing nature on the emphasis, the terminology has also been

changing over the years. Some of the other terms currently being used include personnel appraisal, personnel review, progress report, service rating, and performance evaluation.

In the years after independence in 1962, the public service of Uganda was regarded as one of the most effective in sub-Saharan Africa (Corkery, 2009). The population of the country was put at just over eight millions (1968 – The annual economic rate of growth was percent. Gross Domestic Product) GDP was reasonable at Ushs. 4,922m (Corkery, 2009). But, the 1970s and first half of the 1980s saw a dramatic deterioration in the economic health of the country. GDP declined by 6.6 percent year from 1978 to 1980. Inflation reached unsustainable levels – the poor working systems, declining standards of living and the increasing insecurity in the country led to an exodus of skilled manpower from the country. All services declined (Corkery, 2009).

When the government headed by President Paul Kagame came in 1994, it found an economy that was ineffective. Corruption and abuse of office as a way of survival was widespread. It was found that the Rwanda civil service had not been bloated but also suffered from inefficiency and poor performance. It identified inadequate pay and benefits, poor management skills, dysfunctional organization and inadequate personnel management and training as major issues. The government recognized the fact that if the economy were to recover, it was necessary to have an efficient and effective administration to guide and direct it. The 225 recommendations made by Public Service Review Programme (PSRP) was accepted by the government in 1991 and formed the basis of the PSRP. Its mission was to develop a public service which delivers timely, high quality and appropriate services. The main focus of the reform programme was the creation of a competent, accountable and affordable civil service. It brought changes in relation to responsibility for recruitment, remuneration, organization of work and range of responsibility (Karyeija, 2010). It is envisaged that personnel management including promotion criteria and basis for salary as an effective operation of performance appraisal was followed by all other organizations, including Nyamasheke District. The question is, is performance appraisal effectively implemented in NDLG ?

The literature on performance appraisal does not show the challenges to effective performance appraisal given its background in Rwanda, (Ministry of Public Service (2007)). This research therefore aims at looking at challenges to effective implementation of staff appraisals in NDLG.

1.2.1 Theoretical background

Workers motivation is crucial as motivated employees can lead individual goals that are the

success of the organization (Armstrong, 2006). This study is going to apply goal theory of Locke (1968) to understand factors that affect implementation of performance appraisal system in NDLG. Considering that the organization exists to achieve goals is important to determine organizational effectiveness.

According to goal theory, motivation and performance will improve if people are committed to their goals (Giffin, 1989). The employees expect a certain outcome after reaching goals. This theory of motivation can be applied to any situation (Anderson, 2002). People need to know how their leaders are going to appraise them, in a fair and equitable manner, in addition expect their work to be recognized by proper rewards such as salary increase, promotion, recognition, in doing so employees will comply with appraisal requirements (Decenzo & Robbins, 2003).

1.2.2 Conceptual background

This study is guided by the following concepts; performance appraisal as independent variables with management process, level of trust, training levels and communication plus implementation as the dependent variables.

Different scholars have defined performance appraisal differently, although majority seem to agree that this phenomenon is about relating people's attitudes and actions with the outputs and objectives of the organization, and this impacts on performance.

White (2006) asserts that performance appraisal is the process to ascertain the worth of employees output in a given organization, by way of acquiring, scrutinizing, recording and assessing information about them. He adds that it helps to establish resource inputs. The Oxford English Dictionary define appraisal as the action to estimate or judge the value, performance, nature or quality of a thing, a situation or of someone, against which an opinion can be made about them. Kane (1996) argues that performance is something that the person leaves behind, and that which exists apart from the purpose.

Yong (1996) defines performance appraisal as an evaluation and grading exercise undertaken by an organization on all its employees either periodically or annually, on the outcomes of performance based on the job content, job requirement and personal behavior in a given position. Bird (2003) suggests that performance appraisal is the assessment of what we produce and how Ministry of Public Service interprets performance appraisal (2007) as the assessment of individual in relation to the objective, output and targets of a given job over a specific period

of time. Therefore in this study, performance is aimed at evaluating one's ability to work with/out supervision within a specific period of time.

Management is the process of planning, organizing, leading and controlling the efforts of organization members and using other organizational resources to achieve stated organizational goals. Stoner (1982) The definition by Mary Parker Follett calls for attention to the fact that managers achieve organizational goals by arranging for others to perform whatever tasks may be necessary not by performing the tasks themselves. Management is a process of working with and through others to achieve organizational objectives in a changing environment. This basically looks at five components (1) working with and through others (2) achieving organizational objectives, (3) balancing effectiveness and efficiency, (4) making the most of limited resources and (5) coping with a changing environment.

Kreitner (2003) Management has been defined simply as the art of getting things done through other people. (Robbins, 2003) Management makes decisions to allocate resources and direct the activities of others to attain goals. In this study Management is aimed at ensuring that work targets are meant within specified period of time.

Communication is the process by which the management functions of planning, organizing, leading and controlling are accomplished. The process of communication makes it possible for managers to carry out their tasks and responsibilities (Stoner, 1982). Communication is the transference and understanding of meaning (Robbins, 2003) No matter how great; is useful until it is transmitted and understood by others. Communication fosters motivation by clarifying to employees what is done, how well they are doing and what can be done to improve performance if it's subpar (Robbins, 2003). A management scholar Keith Davis has defined communication as the transfer of information and understanding from one person to another person (Kreitner, 1995). In the study communication is an important aspect in ensuring the smooth appraisal process between the Appraiser and Appraisee

Training simply refers to the teaching of technical skills to non managerial personnel. Stoner (1982). The need to promote new employees or individuals who are being promoted is self-evident, new jobs usually require training in new skills. One of the procedures that can be used to determine the training needs is performance standards or objectives established for his/her work Stoner (1982). In this context levels of training will help identifying training gaps between the appraiser and appraisee hence improved in the performance level at NDLG.

1.2.3 Contextual background

According to the guidelines from the Ministry of Public Service (2007) Nyamasheke District Local Government staffs are appraised on annual basis those who are on permanent while those on probation are appraised on six months basis. As a result of appraisal, some staffs are promoted, others are re-deployed to different duty stations, and unfortunately others are retrenched, trained among other actions. This has a great impact on their performance. But there are questions to be asked after this appraisal process. Are the staff effectively appraised or not? What demotivates them if they are effectively appraised? What are the challenges faced during the appraisal process?

According to Robbins (1991), it's usually hard for employees to stay motivated and perform well on the job when there is high uncertainty as to whether they will have a job next month or next year. Employee motivation also declines when there are layoffs, reassignments of duties which require absorbing the tasks that were previously done by others relocating employees the stress resulting from the changes. Since the inception of NDLG in 2005, performance appraisal has always been done but not following the guidelines provided by the Ministry of Public Service. Appraisals are done when they are long overdue; the recommendations especially for promotions and training are not implemented. Supervisors do not record the performance of their subordinates throughout the year which would help them during the appraisal process Nyamasheke District State of Affairs Address (2014/2015 FY). The researcher is of the view that if the appraisal process is smooth, straight forward and fair, this would not happen which means there are some challenges that need to be addressed.

1.3 Statement of the problem

Nyamasheke District Local Government has been implementing performance appraisal as one of the requirements of all government ministries and agencies. It is done annually for permanent and pensionable staff and bi-annual to the probational staff (Ministry of Public Service July 2007).

In order to ensure performance appraisal is done smoothly, NDLG has had several training and performance appraisal process of all staff, communication channels here have been opened up, the management process restricted and trust is being built. Additionally, the Chief Administrative Officer and the office of Principle Personnel Officer have always written several reminders to heads of Departments to appraise their subordinates in time and ensure

transparency during the appraisal process.

Despite NDLG having stipulated guidelines for managers and staff in place, performance appraisal is not done appropriately as managers normally do the appraisal of staff when they are long overdue or when a staff needs to apply for a promotion, managers normally do not give enough time to the appraisal process which brings biasness in the results and complain of the busy work schedules. Some managers are not objective when appraising their subordinates and end up subjective. This denies the subordinates a chance to improve where they are weak; Nyamasheke District State of Affairs Address (2009/2010 FY).

Also, the subordinates who are qualified to be promoted are not able to do so because of the restricted structure of public service that will lead to high attrition rate of staff for private sector. Staffs are not motivated to be appraised because they see no use and only decide to be appraised at the end of the year or ignore and fill the appraisal forms once when they find it necessary. Some staffs do not even understand some of the language of appraisal forms if this persists; performance appraisal is likely to lose its meaning. This may necessitate Ministry of Public to revisit this appraisal system again. This study therefore seeks to establish the challenges faced by NDLG staff during the appraisal period and address them so as to improve on its performance.

1.4 Objectives of the study

To determine the factors that affect implementation of performance appraisal at Nyamasheke District Local Government, Rwanda.

1.4.1 Specific objectives

The specific objectives of this study were to:

- a) To examine how management processes affects the implementation of the performance appraisal in Nyamasheke District Local Government.
- b) To investigate how the level of trust between the appraiser and appraisee affects implementation of performance appraisal in Nyamasheke District Local Government.
- c) To study how communication between the appraisee and appraiser affects the implementation of performance appraisal in Nyamasheke District Local Government
- d) To examine how training levels of appraisee affect the implementation of performance appraisal in Nyamasheke District Local Government

1.4.2 Research questions

- a) To what extent does the management processes affect the implementation of the performance appraisal in Nyamasheke District Local Government?
- b) How does the level of trust between the appraiser and appraisee affect the implementation of performance appraisal in Nyamasheke District Local Government?
- c) To what extent does communication between the appraisee and appraiser affect the implementation of performance appraisal in Nyamasheke District Local Government?
- d) How does training levels of appraisee affect the implementation of performance appraisal in Nyamasheke District Local Government?

1.5 Hypotheses

- a) Management processes do not affect the implementation of performance appraisal in NDLG.
- b) The level of trust between the appraiser and the appraisee does not have significant effect on the implementation of performance appraisal in NDLG.
- c) The level of training does not affect the implementation of performance appraisal in NDLG.
- d) Communication between the appraiser and appraisee does not affect the implementation of performance appraisal in NDLG.

1.6 Scope of the study

1.6.1 Content scope

The study focused on factors affecting the implementation of performance appraisal system of Nyamasheke District Local Government which included management process, communication, training level and level of trust as independent variables. Implementation was the dependent variable. The study was restricted to NDLG.

1.6.2 Time scope

The information required for assessment of the above topic runs from 2005 to 2013 for a significant conclusion. The period under review gives a good interval to assess the performance appraisal of Nyamasheke District Local Government.

1.6.3 Geographical scope

Nyamasheke District is one of the seven districts that make up Western Province located

approximately 200 kilometers by road, northwest of Kigali the largest city and capital of Rwanda. Nyamasheke is a second order administration division with 15 sectors (Imirenge), bordering Karongi district in the North, Rusizi district in the South, Muhanga district in east and Democratic Republic of Congo in the west.

1.7 Justification of the study

The study was necessary in NDLG because the researcher intended to find out the solutions to the challenges being faced by both appraiser and appraisee during the appraisal process exercise.

In order to ensure that performance appraisal is done smoothly it includes the staff layoff in case of less performance, and rewarding according to ones performance such as pay raise and bonus.

1.8 Significance of the study

To Nyamasheke District Local Government the study was to help them identify the challenges in conducting the performance appraisal process and find suitable solutions.

To future researchers the knowledge excavation by the study findings will be of great benefit to them and gaps not addressed by this study will create grounds for future research.

To the Ministry of public service, the study will help them carry out continuous monitoring of the performance appraisal in all Local Governments and Ministries and where necessary modify it to suit the organizations.

1.8.1 Operational definitions

Appraisal: A process of assessing the performance of an employee in relation to assigned duties, roles and responsibilities.

Appraiser/Rater: The person who judges the performance of another person.

Appraisee/Ratee: An individual whose performance is being evaluated by his close superiors.

Performance: Quality and quantity of work by the performer/employee.

Performance appraisal: An integrated process that occurs regularly and frequently between supervisor and worker. The process should follow each task or project as it is accomplished.

Supervisor: A line manager in charge of a group of workers and responsible for ensuring that they do their work properly.

CHAPTER 2

LITERATURE REVIEW

2.1 Introduction

This chapter contains literature on goal setting theory, its relevancy and criticisms and factors affecting the implementation of Performance appraisal.

2.2 Theoretical Review

Given that performance appraisals are supposed to motivate workers to achieve desired goals, this study adopts Locke goal setting theory, based on the ideal that behavior is purposeful or goal oriented, goal setting theory suggests that specific and challenging goals can motivate behavior. Difficult goals boost performance by directing interest and action, mobilizing effort, rising determination and motivating the search for performance strategies (Imperial 2004). The idea behind goal setting theory is that, though setting goals, an employee knows what needs to be done and how much effort will need to be exerted. It is assumed that individuals compare their current performance to the required level of performance for the accomplishment of a goal. If they fall short in terms of performance, they will be motivated to fill gaps to achieve the goal by working harder.

Locke (1968) demonstrated that individuals who were assigned difficult goals performed better than those who were assigned moderately easy goals. Latham and Baldes (1975) applied Locke's finding to the logging industry and they found that goals setting may provide the employees with a sense of achievement, recognition and commitment by making clear what they are supposed to do. Moreover 87 studies on goal setting as a motivational technique empirically supported the ideal that challenging and specific goals motivate employees more than goals that are not difficult and stated in general terms (Tubbs 1986) thus it is better to do their best. According to Eden (1988) goal setting raises expectations and strengthens people's positive judgments to their capabilities. It encourages people to think they can make a difference. It enhances motivation because expectations are raised and productive self – fulfilling is strengthen Eden points out that goal that their efforts will lead to required performance increase, they will be more likely to exert more effort towards accomplishment of the goal.

Latham & Locke (1979) emphasized that goal setting may bring about the major instrument by which extrinsic and intrinsic incentives affect motivation. They give the example that according to an experience on job enrichment, unless employees are assigned more difficult and specific goals, there is no difference between enriched and un-enriched jobs in terms of productivity. Moreover, they argue that, in order for money to be an effective motivator it should be made contingent on accomplishing specific objectives. It is also important to bear in mind that in order for goal setting to be effective, goals have to be accepted by the employees, that is people have to be committed to attainment of goals. The goal setting is established in a participative process, goals may be accepted easily. Goals can be set jointly by the supervisor and subordinate and it may promote role clarity. Moreover, after setting goals, it is necessary that individuals are provided with feedback to allow them to track their progress and how well they have accomplished the goals. Through feedback, an employee can know their level of performance and adjust the level of effort accordingly.

In addition to these, Latham & Locke (1979) suggest that goal setting is more likely to be successful if the following steps are followed. First goals should be specific rather than unclear, for example instead of a statement like, try to decrease the costs, decrease the costs by 5 % in the next 3 months is more specific. Second, goals should be challenging but not unreachable. If goals are perceived as un-reachable, employees will not accept and they will not get the feeling of success from pursuing goals that cannot be achieved. This self confidence and abilities of employees should be considered in assigning the challenging goals. Third, it is essential to set proper standards along with challenging goals so that quantity is not achieved at the expense of quality. Fourth, if immediate results are emphasized without regard to how they are achieved, long run benefits may be sacrificed to attain short-term improvement. Goal setting theory was supported by considerable empirical support and it attracted attention because of its simplicity.

One criticism is that the theory has not been tested in complex task setting (Imperial, 2004). To sum goal setting is important because it clarifies what is expected from the employee provides an opportunity for communication, enhances positive feeling about one's own capacity, encourages commitment and allows employees to monitor their own performance. Moreover, it is essential for incentive programs to be successful. As explained so far, goal setting has quite important implications for the motivation of employees and it may be expected that goal setting can be an effective motivation tool for Nyamasheke District Local Government staff if they are assigned specific challenging goals that are appropriate to their abilities and

provided with feedback to monitor their performance after performance appraisal is done. Goal setting theory emphasize that difficult goals improve performance by directing interest and actions, mobilizing effort, rising determination and motivating the search for effective performance strategies.

The theory assumes that specific & difficult goal with goal/feedback lead to higher performance.

People will do better when they get feedback on how well they are progressing towards their goals because feedback help to identify discrepancies between what they have done and what they want to do ; that is feedback acts to guide behavior (Robbins ,2003).

The theory helps people to participate in goal setting; they are likely to accept even a difficult goal than are arbitrarily assigned it by their boss. The reason is that individuals are more committed to choices in which they have apart (Robbins, 2003).Consequently, goal setting may be expected to have a high motivating power for the Nyamasheke District Local Government staff.

2.3 Factors affecting the implementation of Performance appraisal

2.3.1 Management process and performance appraisal

Management is a process of working with and through others to achieve organizational objectives in a changing environment. This basically looks at five components (1) working with and through others (2) achieving organizational objectives, (3) balancing effectiveness and efficiency, (4) making the most of limited resources and (5) coping with a changing environment (Kreitner, 2003).Through the appraisal process, the appraisee tends to evaluate the appraiser to ascertain whether the intended organizational objectives are meant through an effective and efficient manner.

Planning

Planning is simply referred to as the process of formulation of future courses of action. Plans and objectives on which they are based give purpose and direction to the organization.

The appraiser has to plan for the performance appraisal meeting before it is conducted and communicate to the appraisee in time. This gives the appraisee time to prepare well for the appraisal process (Kreitner, 2003). According NDLG planning in the district is done at departmental levels between appraisee and appraiser to improve performance. According to Stoner (1982) plans are needed to give the organization its objectives and set up the best procedure for reaching them. They permit the organization to obtain and commit the resources

required to reach its objectives, members of the organization to carry on activities consistent with the chosen objectives to be monitored and measured so that corrective action can be taken if the rate of progress is unsatisfactory which is determined by the appraisal system.

Controlling

Controlling the appraiser during the performance process compares the desired results with the actual results and takes the necessary corrective action. He/she keeps things on track-through the control function. It's upon this that the appraiser bases on to judge the performance of the appraisee (Kreitner, 2003). Controlling at NDLG is done to ensure proper appraisal on one's ability to work in the specified period of time. Managers must ensure that the actions of the organizational members do move the organization towards the stated goals. This is the controlling function of management and it involves three elements; establishing standards of performance, measuring current performance and comparing it against the established standards, taking action to correct any performance that does not meet the organizational standards (Stoner 1982).

Decision-making

Decision making is the choice of a course of action from among the alternative courses of action that appear to be available to the decision maker (Modern, 2004). As appraisers carry out the performance appraisal process, they make decisions according to the performance like promotion, demotion (Kreitner, 2003). This decision must be based on genuine reasons if it's to benefit the appraisee and the organization at large. Under Decision making it's done between appraisee and appraiser to identify one's performance. According to NDLG decision making is arrived at, after the appraisee and appraiser have come to an agreement. It was discovered in this study that it is always the rater to plan for appraisal meetings, though the appraisees have a duty of preparing themselves before the appraisals are conducted. A strong correlation was discovered to be prevailing between the management of staff appraisal and its effectiveness in NDLG.

2.3.2 Level of trust and performance appraisal

Trust is a psychological state with both effective and motivational components. Leaders need to offer trust, since the only way to prove whether others are trustworthy or not is by experience. The levels of trust employees show to management is consistently and positively correlated with organizational commitment (Abu-Doleh & Weir, 2002).

David & Schoolman (1995) point out that to be perceived as trustworthy, leaders must exhibit ability and integrity. Leadership through its control of communication channels and work conditions plays a major role in building organizational culture and trust (Greenleaf 1997; Fairlorm (1994). According to Herzberg, motivation theory, relationship of people to their work is a basic one and that their attitude towards their work can vary, will determine their success or failure. In carrying out organizational task, trust in management is very important as it can be seen as developing from people's experiences overtime regarding how they are treated or have seen others treated by managers. For instance, employees can trust their leaders that the appraisal process will be conducted in a fair and equitable manner and expect their performance to be recognized by proper rewards (Decenzo & Robbins, 1996, p.365).

Nurse (2003) asserts that: "If employees know that assessment is valid, they will trust leaders and accept it hence successful appraisal. Therefore at NDLG the level of trust and performance appraisal is intended to enhance the Departmental performance by building faith among appraisee and appraiser such that they exhibit a positive perception towards appraisal system. Findings in this study reveal that the Rater keeps recording the Appraisees performance record over time, not all appraisees trust the appraisers; appraisers help the Appraisees to improve on their performance, also when the Ratee has trust in the Rater that he/she will be appraised objectively. The study stresses a positive relationship between level of trust and effective implementation of the staff performance appraisals in NDLG.

2.2.3 Training and performance appraisal

No matter how careful job applicants are screened, typically a gap remains between what employees do know and what they should know. Training about performance appraisal is needed to fill this knowledge gap that exists before appraisal is done (Kreitner, 1995)

Employees/appraisee will need guidance on how to prepare for and conduct a self-review discussion. As minimum instructional materials, perhaps in the form of a brief manual should be provided (Mainiero & Tromley, 2003).

Most training in organizations is directed towards upgrading and improving on employees technical skills. Technical training has become increasingly important today for two reasons; new technology and new structural designs. For example the public service changed from the old rating appraisal system of scarce appraisal to an open system of appraisal. 3

Training has become increasingly important because of the changes in organization design. As organizations flatten their structures, expand their use of teams and breakdown traditional

departmental barriers, employees need to learn a wider variety of tasks and need an increased knowledge of how their organizations operate (Robbins, 2003).

If self review is adopted as the medium for an annual review, it will not obviate the need for training. Training supervisors to handle this type of discussion could be valuable. It need not be any more extensive than the training given for conventional appraisal programs.

In addition, employees will need guidance on how to prepare for the conduct a self-review discussion. As minimum instructional materials, perhaps in the form of a brief manual should be provided (Mainiero & Tromley, 2003). Performance appraisal is an important management tool and managers need to show support of the process in their organizations. It is a duty of managers to ensure that performance appraisal policy is understood accessible and adhered to by all levels of staff. If supervisors play their role in performance appraisal process effectively, the employees will understand them (Murphy & Cleveland, 2007). According to Hugles (1965), supervisors should ensure that their employees are made aware of organizational goals and objectives for easy setting of their targets.

Likewise, Cooping (2001) pointed out that both supervisors and supervisee should get training in performance appraisal management so as to acquire some degree of understanding of the importance of performance appraisal (Birungi, 2003) concur with this by saying that there should be adequate training for employees in performance appraisal (Dessler, 2000) state that supervisors must be familiar with basic appraisal techniques, understand and avoid problems that can cripple the appraisal process. Kulvass (2007) observes that it is beneficial to train both supervisor and supervisee since both are partners in implementation of performance appraisal.

The low level of understanding of performance appraisal process can cause a lot of confusion among individual workers at all levels (Flecher, 2000). Failure to that may experience difficulties or fail to cope up with setting objectives. If this happens automatically, it will affect implementation of the performance appraisal. Performance appraisal involves a lot of activities from setting objectives to form filling and signing, therefore line managers as appraisers are supposed to have intimate knowledge of appraisal process.

Therefore, the level of education of both supervisors and supervisee is crucial for better results and acceptance of the process.

At NDLG, Training and Performance appraisal is an important management tool and employers need to show support of the process in their departments. It is a duty for appraiser to ensure that performance appraisal policy is understood accessible and adhered to by all levels

of staff. Results of this study reveal that 91.7 percent of the NDLG employees surveyed acknowledged this.

2.3.4 Communication and performance appraisal

A management scholar Keith Davis has defined communication as the transfer of information and understanding from one person to another person (Kreitner, 1995). Communication is inherently a social process whether one communicates face-to-face with a single person or with a group of people via television; it is still a social activity involving two or more people.

Communication can be categorized into verbal or non-verbal. Verbal includes oral, written and electronic forms of communication, non-verbal communications includes eye movements, gestures, facial expressions, tone of voice and the like (Champoux , 2006).

In the case of public service, performance appraisal takes the verbal communication which is oral interview between the appraisee and the appraiser both participating and the agreed upon targets are finally written down. Unlike the old system of rating that was non verbal and only depended on the supervisor's mercy to the supervisee.

Performance appraisal programmes are often used as the basis for compensation and promotion decisions (Mainiero & Tromley, 2003). Therefore, the appraised is able to follow-up the recommendations made by the supervisor to ensure that they are implemented by the relevant stakeholders.

At Nyamasheka District Local Government, Communication and performance appraisal is done in verbal communication that is oral interview between the appraisee and the appraiser both participate and agree upon targets which are written down at the end of the day.

2.4 Summary of Literature Review

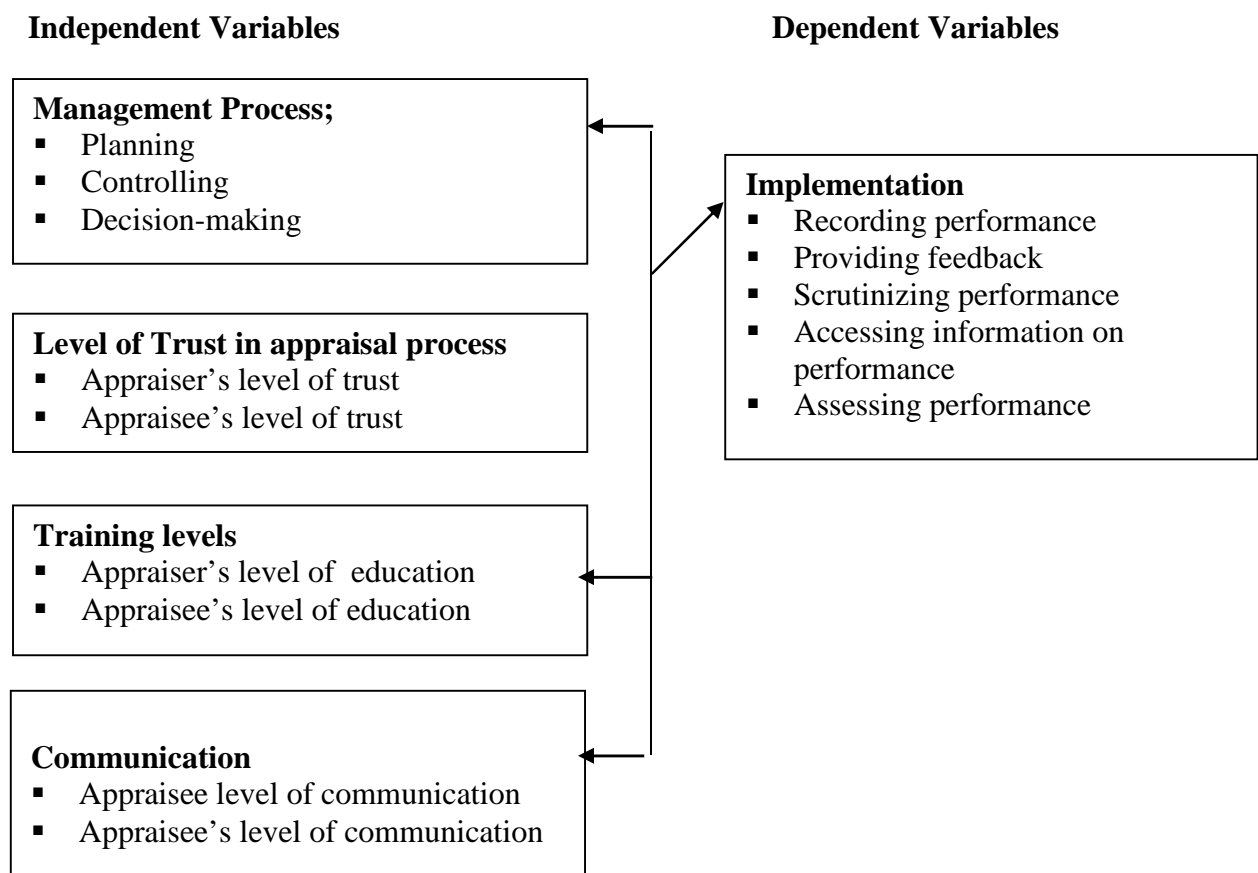
The available literature shows factors that affect the implementation of performance appraisal which include the management process like planning, decision making and controlling of the appraisal process that needs to be done by both the appraiser and the appraisee, level of trust that those carrying out the appraisal process have, training which is the knowledge of the appraisal system and communication of the appraisal process that has to be done before appraisal process takes place. This means that if Nyamasheke District local Government provides adequate support like training, giving feedback, recording performance, follow up on appraisals, regular appraisals that are not subjective among others implementation of

performance appraisal will be smooth which will lead to improved performance.

2.5 Conceptual framework

Below is the conceptual framework showing the relationship between the independent variable and dependent variable. The independent variables are management process, level of trust, training levels and communication. The dependent variable is implementation.

Figure 1. Conceptual framework



Source: Researcher's own impression

The above figure 1.0 shows a conceptual framework, it shows that factors affecting performance appraisal and are regarded as independent variables (IV) in this study, they include: management process, training levels and communication. On the other side, the effects and output arising from the above mentioned factors after appraisal has been done are referred to implementation as Dependent Variables (DV), these include: provision of feedback, record of performance, scrutinizing performance, and assessment of performance.

CHAPTER 3

RESEARCH METHODOLOGY

3.1 Introduction

This section provides the description of how the study was conducted. It brings out the research design, study population, sample design and size, data collection instruments, data analysis and interpretation tools. It also includes pre-testing, data analysis and measurement of variables.

3.2 Research design

The study used a cross sectional survey design where both qualitative and quantitative approaches were used. Under Qualitative approach, it included how appraisal has been done over a period of time. While quantitative approach employed the use of Questionnaires and direct interviews from the respondents. The rationale for selecting this design was to enable the study compare and relate the independent variable and dependent variable as indicated in the in the conceptual frame work (Mugenda & Mugenda, 1999)

3.3 Target population

The target population was intended to include; 30 Health Officers, 10 Secretaries, 8 Sector (Umurenge) workers, 4 Executive Secretary-Umurenge, 50 Technical Planning Committee members and 45 Teachers at Nyamasheke District Local Government. However the sample size reduced to a total of 133 because the researcher did not manage to get all NDLG workers as shown above.

3.3.1 Sample size and selection

Sampling refers to the process of choosing a sample of elements from a total population of elements (Amin, 2005). The "best" sample design depends on survey objectives and on survey resources. The researcher selected the most economical design that provides a desired level of precision.

The sample size was 133, these included: 4 Executive Secretary-Sector (Umurenge), 10 Administration Secretaries, 8 Executive Secretaries (Akagari), 44 Technical Planning Committee Members, 27 Health Officers and 40 Teachers were selected at using simple random. This is because the target population was not easily accessible; the sample was drawn from the sampled population. Therefore the sampled results were generalized to the sampled

population.

According to Well's formula $n = \frac{N}{1 + Ne^2}$

According to Well's formula sample size is equal to $n = \frac{N}{1 + Ne^2}$

Where N=Population size

e= Permissible error = 0.05 according to *ROTHAGI* ' statistical inference' pg77.

Table 1: Sample size and sampling techniques used in the study.

Category	Target population	Sample size $n = \frac{N}{1 + Ne^2}$
Health Officers	30	27
Administration Secretaries	10	10
Executive Secretary-Akagari	8	8
Executive Secretary-Umurenge (sector)	4	4
TPC members	50	44
Teachers	45	40
Total	147	133

Source: staff list; personnel Department

The targeted population included all the staff in above divisions of Nyamasheke district local Government. The researcher only managed to interview the above sampled population because at the time of conducting this research, some employees were away in the field, others on leave others away for different reasons. However, given the numbers of targeted employees and the number of interviewed employees, the outcomes give an efficient representation of the population.

3.4 Data Collection Methods

Triangulation was used to collect both qualitative and quantitative data as means towards establishing the factors affecting performance appraisal system. This is because it helps achieve a high degree of validity and reliability and reduces bias (Amin, 2005). Primary data was collected using questionnaires and interviews. Secondary data was obtained by documentary review method.

3.4.1 Questionnaire Survey

For this study, self-administered questionnaire that are structured were used to collect quantitative data from the respondents because this method assist to give independent opinions without fear since the respondents did not need to indicate their names.

The questionnaires were also used because they enabled the researcher to code the information easily for subsequent analysis hence reducing the error gap (Sekaran, 2003).

3.4.2 Interviews

Interview is the most commonly used method in collecting data. It entails conducting individual conversations between a researcher and the individual. In order to keep the researcher focused, it was imperative for the researcher to have guidelines of questions in order to extract the needed information from the respondent. The questions used in the research were structured, un-structured and semi structured so as to give the respondent to provide in- depth data.

3.4.3 Document Review

A document review usually entails doing a content analysis of official Government records, internal organization annual reports or external reports or articles about a case subject. It requires critical analytical skills but there is an advantage of doing a document analysis since it does not interfere with or distort the case setting in anyway (McNabb 2002:295-296).

3.5 Data Collection Instruments

The Researcher used two instruments to collect primary data from the field. These included questionnaires and interview guide.

3.5.1 Questionnaire

A questionnaire is a designed instrument for collection of data in accordance with research question and hypothesis. The justification of this instrument is that it is less expensive and does not require the researcher to be present for the respondents to fill the questionnaire.

3.5.2 Interview Guide

An interview guide was used to collect data from key informants who were members of District Technical Planning Committee. This data was used in clarifying collected data by structured questionnaires since it involves face to face interaction.

3.6 Validity and Reliability of Research Instruments

In order to ensure that quality and relevant data is collected, the research instruments were pre-tested for reliability and validity.

3.7 Data collection Procedure

Before proceeding to the field the researcher obtained an introductory letter from Jomo Kenyatta University of Agriculture and Technology (JKUAT) which was presented to staff of NDLG .The introductory letter was attached to the questionnaire to give a brief introduction to the subject matter. Research assistants were also selected trained and recruited to carry out the data collection activity.

3.8 Data Management and Analysis

Both qualitative and quantitative techniques of data analysis were used. This was done after data has been collected. The choice of the two methods is justified by the fact that different instruments of data collection were used.

3.8.1 Qualitative Data Analysis

This is non-numerical variables and the interpretation of the observations, for the purpose of discovering underlying means and patterns of the relationship (Babble, 2007). It involved obtaining the detailed information about the factor affecting the performance of NDLG. This was done through the interview and documentary reviews searching for patterns of relationship that exist among the data. It was done by extracting from the responses views through coding and arranging to the objectives of the study. The themes and sub themes were developed and written as narrative to supplement the information from the questionnaires. Data analysis was done using descriptive perspective views of the respondents to generate the substantial findings.

3.8.2 Quantitative Data Analysis

Under this scenario, it involves the numerical representation of variables. The analysis was generated and descriptive statistics include; frequencies, mean, and percentages, and furthermore correlation and regression analysis were developed to show how independent and dependent variables are significantly to the study.

3.9 Measurement of variables

The interval scale was used in measuring the education level, age, experience of the respondents. It also involved the nominal scale and the use of assigning numbers to the variables in the questionnaires includes, background characteristics (variables) that were

indicated in section one. The specific information on Management process and performance appraisal in section two, the level of trust and performance appraisal, training and performance appraisal and communication and performance in other sections respectively. The scale of 5-1 was used to help the researcher measure the extent to which the research objectives are achieved whereby, 5 represents Not sure, 4- strongly Disagree, 3- Strongly Agree, 2- Disagree, 1- Agree. The choice of this measurement is that each point on the scale carries a score and it's the most frequently used (Densombe, 2000).

CHAPTER 4

FINDINGS OF THE STUDY

4.1 Introduction

The results from the study have been presented in this chapter basing on the research objectives as answers to the research hypotheses; data has been analyzed using frequency tabulation and SPSS data Analysis package. The results have been presented systematically ranging from back ground information to the last research question whose answers have been presented as response from the informants of the study. The presentation, analysis and interpretation of results of the research study is shown below:

4.2 Background Information

Table 2. : Gender of respondents involved in the study:

Gender	Frequency(N)	Percent (%)
Male	66	49.9
Female	67	50.1
Total	133	100

Source: Primary Data

Table: 2 above indicates that majority of the respondents involved in the study were female since ,out of 133 employees at NDLG involved in the study (100%), 67 were female this gives 50.1%, the male respondents were 66 hence a composition of 49.9 %. This could imply that majority of NDLG Employees are female. According to the guidelines of appraisal in public service, all employees must be appraised openly and fairly regardless of their sex, Department or number. So the imbalance in the number of employees did not affect the results of the study and also doesn't affect the appraisal system at NDLG.

Table 3: Age composition for NDLG employees involved in the study:

Age Group	Frequency (N)	Percentage (%)
below 25 yrs	32	24,06
26-30 yrs	41	30,83
31-35 yrs	35	26,32
36-40 yrs	18	13,53
40 yrs and above	7	5,26
Total	133	100

Source: Primary Data

Table 3 above shows the age composition of NDLG employees involved in the study, out of 133 employees involved in the study (100%), 32 were below 25 years (24.06%), 35 belonged to the age bracket of 31 to 35 years (26.32%), 13 respondents were in the age group of 36 to 40 years, the least came from the age bracket of 40 years and above, these were 7 (5.26%) while the majority were from the age group of 26 to 30 years of age. This implies that majority of the NDLG employees are in their youthful age as very few were 40 years and above. At NDLG different age groups prevail but do not affect staff performance appraisal system.

Table 4: Education level for NDLG employees involved in the study:

Education Level	Frequency(N)	Percentage (%)
Secondary	13	9,77
Tertiary/ college	62	46,62
University/professional	58	43,61
Total	133	100

Source: Primary Data

Table 4 above indicates the education level of NDLG employees involved in the study, out of 133 employees (100%), only 4 had only secondary school education level (9.77%), the university graduates comprised of 43.61% while majority 62 (46.62%) possessed at least a diploma from a tertiary institution. These results indicate that the employees of NDLG have enough training which can enable them to prepare for staff performance appraisals; they are

able to grasp the communications, interact with appraisers and meet other requirements for the appraisals because of their education background.

Table 5: Working experience of NDLG employees involved in the study

Out of 133 NDLG employees involved in the study, only 130 responded to this question this reduced the sample size to 121 as shown below:

Working Experience	Frequency (N)	Percentage (%)
Below 1 year	16	12,31
1-5 yrs	70	53,85
6-10 yrs	34	26,15
above 11 yrs	10	7,69
Total	130	100

Source: Primary Data

Table 5 above shows the working experience of NDLG employees involved in the study, majority 70 (53.85%) have worked for a considerable period of 1 to 5 years, only 15 (12.31%), have a working experience of one year or less, 34 employees (26.15%) have served the NDLG for a period of 6 to 10 years, only 10 (7.69%) had served for a period of over 11 years. These give 8.3 percent of the total number of respondents involved. The table above shows that the vast majority of respondents had at least five years of working experience with NDLG hence credible enough to provide information in this research study. It should be noted that those employees indicated in the table above who have over five years of experience joined Local Government before Nyamasheke was turned into a District, they were former employees of other districts in Rwanda. Since the staff members of NDLG have adequate experience with the operations and policies of the District authority, it is evident that issues of staff performance appraisals at the District were not new to them, this facilitated flow of information regarding the study between them and the researcher.

Table 6: Terms of employment for NDLG employees involved in the study:

Only 118 informants involved in the study responded to this question, this affected the sample size for this particular question.

Terms of employment	Frequency (N)	Percentage (%)
Contract staff	35	27,34
Permanent staff	93	72,66
Total	128	100

Source: Primary Data

Results in table 6 indicate terms of employment for NDLG employees involved in the study, majority of respondents were Permanent staff since their total was 93 giving 72.66 percent, only 35 were working on contract terms, these resulted into 27.34 percent. Since majority was permanent staff members, their views and responses related to this study were respected and credibly accepted. Both contract and permanent staff had experience with the performance appraisal system of NDLG.

4.3 Performance Appraisal in NDLG:

Table 7: Findings of whether NDLG carry out performance Appraisal

Response	Frequency (N)	Percentage (%)
Yes	112	84,85
No	20	15,15
Total	132	100

Source: Primary Data

Table7: Shows the Results from Responses whether NDLG carry out performance Appraisal, the majority of respondents consented that performance Appraisal is conducted by NDLG as 112(84.85 %) revealed this, only 20 (15.15%) did not agree with this. This is a clear implication that performance appraisal is conducted by NDLG, therefore justifying the reason for conducting this research. Evidence of the results shows that majority of NDLG staff are aware that the staff performance appraisal system is prevalent in their District.

Table 8: Findings of how often does NDLG carry out performance Appraisal?

Response	Frequency (N)	Percentage (%)
After completion of a task/ Monthly	20	15,38
Quarterly	26	20,00
Six monthly	47	36,15
Annually	37	28,46
Total	130	100

Source: Primary Data

Table 8 above indicates the responses of NDLG employees involved in the study on often how does the District Local Government conducts performance appraisal, out of 133 respondents, only 130 responded to this question therefore automatically changing the total sample size on this question. Majority 47(36.15%) revealed that the performance appraisals are conducted every after six months, 37(28.46%) said that the appraisals are done annually while 26 (20.00%) reported quarterly (3months appraisals) and finally the least number of NDLG employees revealed monthly. According to these results, a number of performance appraisals are done by NDLG but the most eminent or common ones are the half year /six monthly and annual performance appraisals as they present the vast majority of response respectively. Since staff performance appraisal is conducted at different time intervals in NDLG, it was evident that the respondents had experience of this exercise hence credible enough to answer survey questions in the study.

Table 9: Finding out the appraising authority in NDLG

Category of appraiser	Frequency(N)	Percentage (%)
My self	8	6,11
Fellow employees	7	5,34
Immediate supervisors	84	64,12
Heads of department	24	18,32
Top management	8	6,11
Total	131	100

Source: Primary Data

Table 9 above shows the category of appraisers in NDLG, majority of employees in the District are appraised by their respective immediate bosses as 84 (64.12%) revealed this, Heads of Departments take the second rank in appraisal, self appraisal and top management appraisal had a uniform response of 8 that is 6.11 percent each while fellow employees appraisal had the least number of responses that is 7 (5.34%). This implies that fellow employees rarely appraise themselves and the commonly recognized appraising authorities are immediate supervisors and Heads of Departments respectively. The study results show that the different forms of staff performance appraisals prevail in the system of NDLG.

4.3.1 Examining Management Process and Its Effect on Performance Appraisal In NDLG:

Table 10: Management process vs. Performance Appraisal

Categories	Mean	Std. Deviation
Managing the performance appraisal process		
The Rater enjoys conducting the appraisal	2.74	1.678
The Ratee controls the whole process of appraisal	2.58	1.245
The Rater controls the whole process of appraisal	2.45	1.300
The Ratee enjoys conducting the appraisal	2.33	1.503
The Ratee plans for the appraisal meeting before it takes place	2.25	1.219
The Rater always conducts timely appraisals	2.15	1.366
The Ratee finds it their duty to conduct the appraisal	2.04	1.270
The final decision arrived at after the appraisal exercise is agreed upon between the Rater and the Ratee	2.04	1.208
The Rater plans for the appraisal meeting before it takes place	1.94	1.462
The Rater finds it their duty to conduct the appraisal	1.82	1.255
Average Mean	2.211	.61196

Source: Primary Data

From the table above, almost all respondents agreed that the rater enjoys conducting appraisal since the highest mean value of 2.74 was obtained however a standard deviation of 1.678 was obtained on this response as the maximum value; this implies that respondents had varied

responses on this view. A mean value of 2.58 was obtained on the response that the Ratee controls the whole process of appraisal, a standard deviation of 1.245 was obtained this implies that not all respondents accepted this fact majority refuted it. Responses about whether the Rater plans for the appraisal meeting before it takes place and finds it their duty to conduct the appraisal had the lowest mean of 1.94 and 1.82 respectively, these values are far below the average mean of 2.211 which implies that respondents don't believe in that. It is indicated that the Ratee doesn't find it their duty to conduct the appraisal as lower mean value of 2.04 was obtained with a standard deviation of 1.270. The same applies to the final decision which is not arrived at after agreement between the rater and Ratee as the same smaller mean value was obtained with a relatively bigger standard deviation of 1.208 Compared to the standard deviation of 0.61196. The average mean of 2.211 shows that majority of respondents were in agreement with the above effects of management process on performance appraisal. One of the technical planning committee members had this to comment on the effect of management process on the implementation of the staff appraisals:

'Failure to involve appraisers and appraisees in the process, poor planning, lack of prior meetings, not recording performance regularly before appraisal leads time wastage & confusion during the staff appraisal exercise'

This is a clear indication that management process is a pertinent factor on the effect of implementation of performance appraisals at NDLG.

4.3.2 Examining Level of Trust and its Effect on Performance Appraisal in NDLG:

Table 11: level of trust vs. Performance Appraisal

Level of trust in the appraisal process	Mean	Std. Deviation
The Rater keeps recording the Appraisees performance record over time	2.55	1.549
The Rater has trust in the appraisal process system	2.48	1.684
The Rater finds it easy to criticize the Rates performance in his/her presence	2.12	2.120
The Rater helps the Ratee to improve his/her performance	2.02	1.136
The Rater finds it his/her duty to regularly carry out the appraisal	2.01	1.168
The Ratee has trust in the Rater that he/she will be appraised objectively	1.93	1.373
The Ratee has an opportunity to appraise him/self before Rater does the appraisal	1.85	1.281
Average Mean	2.140	.67749

Source: Primary Data

In table 11, details on level of trust in the appraisal process and its effects on Performance Appraisal are given using the different key statements obtained from the respondents. The statements have been ranked in terms of their means and standard deviations so as to deduce meaning out of them .It was discovered that it is not true that the Ratee has trust in the Rater that he/she will be appraised objectively as a mean value of 1.93 was obtained which is below the average mean, also respondents don't believe that the Ratee has an opportunity to appraise him/self before Rater does the appraisal the mean value obtained of 1.85 was below average with a standard deviation of 1.281 which shows less variations in the statements of the respondents. It was discovered in the study that the rater doesn't find it easy to criticize the Appraisees performance as a mean value of 2.12 was obtained; this resulted into a bigger standard deviation of 2.120 as majority of respondents refuted the statement. The standard deviation of 0.67749 is a clear manifestation that variations in informants' responses prevailed but level of trust in the appraisal process affects the performance appraisal. In an interview, a key informant stressed this:

“Lack of trust between the rater and ratee or the appraisal system itself affects the result of the appraisal process/ exercise which reduces the effectiveness of the whole exercise of staff performance appraisal”.

This response affirms with that of the rest of respondents’ as all have revealed that level of trust affects the appraisal system either positively or negatively.

4.4: Examining Training Level and its Effect on Performance Appraisal in NDLG:

Table 12: Level of training vs. Performance Appraisal

Items	Mean	Std. Deviation
The objectives of carrying out performance appraisal are clear to all employees	2.91	1.717
The Rater and Ratee have adequate training about how to conduct the appraisal process.	2.83	1.607
The Rater and Ratee have adequate support when carrying out this responsibility.	2.59	1.487
The appraisal system is easy to use and understand by all staff	2.50	1.466
The Rater and Ratee feel that they have a good understanding of the appraisal and what it is aimed at.	2.26	1.377
The Rater always documents performance before the appraisal period	1.97	1.354
The Ratee always appraises him/her self before the appraisal process.	1.85	1.253
The Rater and Ratee feel comfortable with the appraisal system.	1.82	1.186
The Rater finds it his/her duty to carry out performance appraisal exercise	1.76	1.140
Average Mean	2.287	.67958

Source: Primary Data

Table 12 above indicates the responses on level of training and effects on performance appraisal, the objectives of the appraisal are always clear to both the Rater and Ratee as a mean value of 2.91 was obtained, though the standard deviation was 1.717 greater than average implying variations in responses from informants , it is clear by the mean value that majority of respondents agreed to this fact, results show that the Rater and Ratee have adequate training about how to conduct the appraisal process effectively as 2.83 was the mean value with a

standard deviation of 1.607. The respondents agreed on adequate support, the ease to understand the appraisal and a good understanding between the rater and Ratee because of education level effects with mean values of 2.59, 2.50 and 2.26 respectively.

However, majority of respondents disagreed on these responses: The Rater always documents performance before the appraisal period. The Ratee always appraises him/her self before the appraisal process ,the Rater and Ratee feel comfortable with the appraisal system .The Rater finds it his/her duty to carry out performance appraisal exercise. Their responses in mean values was ranked as follows: 1.97, 1.85, 1.82 and 1.76 respectively these mean values are below average hence confirming that those statements are not true with the appraisal system of NDLG the standard deviation values just confirm the reality of these responses since they are above average i.e. 1.354, 1.253, 1.186 and 1.140 respectively, the average standard deviation is 0.67958. This is a clear manifestation that level of training has an impact on the performance appraisal.

One of the technical planning committee members revealed that:“Some appraisers and appraisees are not comfortable with the appraisal system. They are meant to appraise their subordinate without being trained; this is evidenced by the fact that most staff fills in the appraisal forms when they need to be confirmed or promoted or something”. This confirms that the effect of level of training on the implementation of staff performance appraisals cannot be simply ignored since it is great.

4.5 Examining Communication and its Effect on Performance Appraisal in NDLG:

Table 13: Communication VS. Performance appraisal

Communication and performance appraisal	Mean	Std. Deviation
The Rater and Ratee prepares for the appraisal process a month before performance appraisal exercise conducted.	2.48	1.460
The Rater always communicates the date when the appraisal is to take place a month before.	2.42	1.435
The Organization regularly prepares staff for the performance appraisal exercise.	2.23	1.333
The Ratee always makes a follow up after getting the appraisal feedback.	2.08	1.321
The required period for employee evaluation is appropriate.	1.99	1.447
The Rater always provides regular feedback to the Ratee after carrying out the appraisal.	1.96	1.307
The Rater always ensures that appraisal targets are met by the Ratee.	1.83	1.389
The system of appraisal is open and interactive for both Rater and Ratee.	1.73	1.245
Average Mean	2.094	.70755
Over All Mean	2.138	.51114

Source: Primary Data

Results in Table 13 above show mean values and standard deviation on Communication and its effect on performance appraisal, the response that the Rater and Ratee prepares for the appraisal process a month before performance appraisal exercise conducted obtained a mean value of 2.48 and standard deviation of 1.460 which means that respondents agreed on this fact, it is also clear that the Rater always communicates the date when the appraisal is to take place a month before as a mean of 2.42 was obtained which is slightly higher than the average mean of 2.094 and overall mean of 2.138 , staff members are regularly informed and prepared for the performance appraisals as a mean of 2.23 and standard deviation of 1.333 were stained. This is also in concurrence with the verbal expression of one of the key informants on the side of appraisers who had this to say in an interview with the researcher:

Communication is a very crucial aspect of our appraisal system at NDLG, it is done at all stages of appraisal: before, during and after appraisal exercise. Notices are normally made to allow appraisees prepare for the exercise while appraisal forms are also filled. Feed back and constructive criticism is also done through sending copies of the appraisal forms to appraisees to read and sign and finally follow up is done so as to meet performance needs which include training of staff.’

Though some respondents disagreed on the fact that the Rater always provides regular feedback to the Ratee after carrying out the appraisal, it was revealed that sometimes feedback is provided to appraisees.

According to the study, the Rater always ensures that appraisal targets are met by the Ratee and the system of appraisal being open and interactive for both Rater and Ratee, this is also indicated in one of the informants’ comments on communication during appraisal during the interview with the researcher:

“Appraisals at NDLG are conducted objectively, we ensure this by being open, allowing interactions during the appraisal; provide guidelines, conducting prior meetings and also stipulating duties of the staff, their expected output and generally the performance targets”.

This is a clear indication that communication is a very pertinent factor when conducting staff performance appraisals at NDLG.

Conclusively, the overall mean of 2.138 was obtained for the whole study therefore confirming that management, education level, communication and level of trust do affect the performance appraisal in NDLG.

4.6 Correlation and Testing of Hypotheses

Table 14: Relationship between Implementation of performance appraisal and management

Variables correlated	r-value	Sig.	Interpretation	Decision on Ho
Implementation of performance appraisal Vs Managing the performance	.398	.000	Significant relationship	Accepted
Implementation of performance appraisal Vs Level of trust in the appraisal	.332	.000	Significant relationship	Accepted
Implementation of performance appraisal Vs Training and performance	.421	.000	Significant relationship	Accepted
Implementation of performance appraisal Vs Communication and performance	.354	.000	Significant relationship	Accepted
Implementation of performance appraisal Vs Over all appraiser and appraisee	.505	.000	Significant relationship	Accepted

Table 14 above shows the correlation between implementation of performance appraisal and management, the r-values obtained in the analysis on management performance, level of trust, training, communication and overall and appraisee are as follows 0.398, 0.333, 0.421, 0.354 and 0.505 respectively all values are significant at .000 this is an implication that a significant relationship prevails between performance appraisal and the analyzed variables.

CHAPTER 5

SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

5.1: Introduction

In this study, the researcher conducted an assessment of the factors affecting implementation of the performance appraisals at Nyamasheke District Local Governments. The factors examined include; Management process, level of trust, relationship and correlation between these factors and implementation of staff performance appraisal at NDLG has been established to be prevalent:

5.2: Summary

The study shows that at NDLG the following factors affect the implementation of performance appraisals;

5.2.1: Management process

The process of managing the staff appraisal exercise in NDLG is very important; it involves time management for the appraisal, obligations and duties given to both the appraisers and appraisees, plans for appraisal meetings before the exercise takes place and other preparations. The study reveals that when the management process is well conducted effective appraisal is realized and the reverse is true to poor management process. So factors such as obligations and duties of those involved in the performance appraisals, plans for appraisal meetings and others need serious considerations.

5.2.2: Level of trust between the Appraiser and Appraisee:

Findings of this study indicate level of trust between the Appraiser and Appraisee as an important factor affecting the appraisal system of NDLG. Level of trust in NDLG is determined by the following: recording of appraisees and rater's performance, criticism, objectivity in the appraisal, self appraisal and trust in the whole process of appraisal by those involved. According to study results, low levels of trust normally lead to ineffective staff performance appraisals but where the appraisers and appraisees exhibit high levels of trust, the appraisal exercise is participatory, objective and very effective. This in turn leads to feedback which brings about constructive improvement on performance and meeting performance targets.

5.2.3: Level of Training

Training the people involved in the staff performance appraisals according to this study brings positive results in the implementation of the appraisals; it makes the exercise very clear to all, appraisers and appraisees provide adequate support required in the exercise, creates a good relationship between both parties, participants feel comfortable and both parties get to know their duties and obligations in the exercise hence effective staff performance appraisals. However, lack of staff training in the appraisal system leads to confusion, loss of trust and poor management of the staff performance appraisals.

5.2.4: Communication:

Results of this study indicate that communication is very pertinent in the process of conducting staff performance appraisals in NDLG; it involves monthly notifications to staff about appraisals, regular preparations, feedback and interactions between appraisers and appraisees. In NDLG, those communication methods are considered and these have enabled the District authority to conduct effective and successful staff performance appraisals.

5.3: Discussion of the Research Findings

5.3.1: Effect of Management process on implementation of performance appraisal in NDLG

Results of this study reveal that management process affects the effectiveness of performance appraisals in NDLG. The study indicates that management of the performance appraisal is a two-way system, thus the ratee and rater should get involved in the process. This is being supported by the Ministry of Public Service (2007), its staff performance appraisal guidelines for managers and staff. It states that openness, fairness, transparency and objectivity must be exercised by both parties. So, the management of the process of performance appraisal must be open and interactive.

Also the study reveals that at NDLG, appraisal meetings are held before the actual exercise begins as an effective way of managing the implementation of appraisal.

This is very crucial as Robbins (2003) and Kreitner (1995) reveal that communication is an important aspect of ensuring the smooth appraisal process between the appraiser and appraisee, it fosters motivation by clarifying employees on what is done, how well they are doing and what can be done to improve performance.

The Ministry of Public Service (2007) also supports this by giving a provision to all public servants to develop an initial performance plan which is afterwards jointly discussed and agreed upon with the appraiser.

5.3.2: How level of trust between the Appraiser and Appraisee affect performance appraisal at NDLG

Level of trust between the rater and appraisees is a very important factor in conducting of Appraisals at NDLG according to the results of this study. It was established that all rates have trust in their appraisers and this affects the appraisal process negatively. This is true as the ministry of Public Service (2007) maintains that fairness, transparency and openness are the core and basic principles of any staff performance appraisal in the public service sector of which NDLG belongs. In the same respect, David and Schoolman (1995) asserts that leaders must exhibit ability and integrity, communication and work conditions play a major role in building trust. Also Herzberg in his motivation theory employs the aspect of attitude to determine the employees trust in the organizational leadership and policies which include staff performance appraisals.

Results indicate that when the rate has trust in the rater, the appraisal is done objectively. This is supported by scholars (Kreitner and Kinick (1992) and Moorhead & Curiffin (1992) who maintain that perceptions of the appraisal system or appraiser reduce the trust of the rate and the whole process ends up not being conducted objectively but the reverse is true.

The study indicates that the rater does not find it easy to criticize the appraisees' performance in his or her presence; this actually affects the level of trust between the rate and the rater. The study results are in contrary to the guidelines of staff appraisal as provided by Ministry of Public Service (2007), these guidelines stipulate that during appraisal meetings. The appraiser and appraisee shall discuss and review performance in light of outputs, indicators and targets agreed upon in the departments /Ministry office or organization.

The rater is obliged with the duty of assisting the rate to make improvements according to the findings of this study. According to the Ministry of public service (2007) provision of constructive feedback and improvement of staff performance are key objectives of staff performance appraisals in the public service and Local Government sector.

The results of the study continue to show that keeping records of the appraisees performance by the rater enables both sides to have trust in each other during the appraisal exercise.

This keeps the appraisees level of trust high hence enabling a successful appraisal .other scholars have also revealed that this is true since Nemeroff and Wexley (1979) reveal that the difference which exist between the rate and rater cause wrong perceptions, record of past performance by managers make appraisal system more subjective.

Perceptions of the rates generally affect their level of trust in the appraisal system.This study shows that among the appraisees, those who are given chance to appraise themselves before the rater does his/her job are able to realize their mistakes and causes for their performance. This reduces negative perceptions about the appraisal system as they actively participate in the appraisal system as they actively participate in the appraisal; a higher level of trust in the exercise is built. This is also supported by Tharenou (1995) who maintains that appraisers and appraisees, managers and subordinates exercise fundamentally different views of the appraisal experiences, positive and trust is only shown where employees are able to participate, state their case, and when the appraisals are relate to their jobs. In this case self-appraisal and giving appraisees a chance to actively engage in their appraisal in their different Departments is crucial.

Also the Ministry of Public Service (2007) in its guidelines for managers and staff appraisals puts much emphasis on the principal of openness and participation as a key to fair appraisals. It stipulates that the process must be open and interactive to allow full involvement of the person being appraised and also to increase the level of trust between the rate and rater. Never the less, results indicate that at NDLG, the level of trust between the appraisees and the appraisers and the appraisal system itself is pertinent and crucial for the effectiveness of the exercise.

5.3.3: How Communication between the Appraiser and Appraisee affects implementation of performance appraisals at NDLG:

NDLG conducts staff performance appraisals after making prior communications to the appraisees since results show that the rater communicates the date when the appraisal is to take place a month before.

The results continue to show that this communication enables the appraisees to get prepared before the appraisals are conducted hence having an effective exercise.

According to Greenleaf (1997) communication is very important in building organizational culture; among the organizational cultures for NDLG is the staff performance appraisal. This shows that communication affects the effectiveness of staff appraisals.

In the same view, Ministry of Public Service (2007) emphasizes communication as an important tool in staff appraisals, it gives a reference of different documents that must be used in the performance appraisal process as a means of communication to both appraisers, and appraisees, these include; policy statement, strategic plan, performance plan for the Ministry, Department of Local Government, performance appraisal forms, result oriented management (ROM) handbook and others.

Making follow ups after appraisals have been conducted is another way of communication to NDLG staff according to this study. This enables the appraisees to make improvements where the performance has been low or insufficient. This is also supported by the Ministry of Public Service (2007), among the guidelines for staff appraisal is provision of constructive feedback on performance and improvement of staff performance. In support of this, Fletcher (2000) maintains that communication is important, it involves understanding of the performance appraisal process, failure to have it, or low level of understanding of the process may cause a lot of confusion. So communication at NDLG which is done both verbally and formally affects the whole process of staff performance appraisal. The results continue to indicate that due to effective communication at NDLG; usually the set appraisal targets are met.

5.3.4: How the Training level affects staff performance Appraisal at NDLG

Level of training of both the appraiser and appraisee is pertinent in the process of conducting performance appraisals at NDLG according to the study findings, to majority of staff at NDLG, objectives of carrying out the performance appraisal are clear, thus enables the District authority to conduct effective staff performance appraisal. Various scholars support training before conduction of any appraisal, Kreitner (1995) maintains that no matter how careful job applicants are screened, typically a gap remains between what employees know and what they should know. Training about performance appraisal is needed to fill this gap before appraisal is done.

Similarly, the Ministry of Public Service (2007) in its guidelines to all Local Government authorities and public servants emphasizes that before employees are appraised, they should undergo departmental training so as to meet the desired performance targets and output. Employees need to learn a wider variety of tasks and need an increased knowledge of how their organizations operate (Robbins, 2003).

The results indicate in this study that appraisers and are usually having a good knowledge of the appraisal system, get adequate clarity of the system, feel comfortable and find it their obligation to get involved in appraisals because of the training they get. Cooping (2001), Dessler (2000) and Kulvass (2007), all support training of supervisors and supervisees in performance appraisal management.

So as to acquire some degree of understanding of the importance of the appraisal, familiarity with basic appraisal techniques and avoidance of the problems that might cripple the appraisal process.

Study findings reveal that at NDLG, the ratee and rater normally feel comfortable with the appraisal system because of the training acquired before the exercise. This is supported by scholars who have conducted research in the performance appraisal and training, these include; Murphy & Cleveland (200), Hugles (1965) and Dessler (2000) who contend that supervisors and supervisees must be familiar with the appraisal system to enable them have comfort during its implementation.

Training has been discovered to be a crucial aspect in the implementation of staff performance appraisals at NDLG, the effectiveness of the appraisals conducted has always been dependent on its level on rates and appraisers.

5.4: Conclusions

5.4.1: Management process and Performance appraisal

After analysis of the study findings, and objectives of this research, the following conclusions have been made;-

Management process is very pertinent in the process of conducting staff performance appraisals. The appraisers and rates must plan and conduct appraisal meetings before the actual appraisal takes place. At NDLG appraisees and appraisers are obliged with the responsibility of knowing their duties in the appraisal process this enables them to conduct this exercise successfully.

5.4.2: Level of trust and performance appraisal

The level of trust affects the implementation of the staff performance appraisals greatly. Not all staff of NDLG trusts the appraisal system and their appraisers. A high level of trust in the system has always enabled the appraisers to carry out their duty successfully.

5.4.3: Communication and performance appraisal

Communication between appraisers and rate is instrumental in effective management of the staff appraisal system; it enables both the appraisers and appraisers to prepare for the appraisals, reduces confusion and enables provision of feel back for constructive improvement.

5.4.4: Training and performance appraisal

Training of rates and appraisers before conducting the staff performance appraisals is very important as it enables both parties to be confident during the exercise; it facilitates clarity of the system, and having good knowledge of the appraisal system.

5.5: Recommendations

Basing on the above conclusions, the following recommendations were made.

5.5.1: Management process and Performance appraisal

Staff performance appraisal is an important aspect of performance management so the Government should endeavor to ensure that it is conducted effectively at all levels including Public Service and Local Government.

The management process of appraisal exercise must be taken with due consideration by both the appraisees and appraisers so as to enable them have ample preparations, adequate knowledge, confident and trust in appraisal system which result into effective appraisal.

5.5.1: Level of trust and performance appraisal

Implementation of staff performance appraisals should be done on the basis of trust ,is not only a duty of the appraisers but also of the appraisees to actively get involved in the exercise as it leads to the smooth running and provision of constructive feedback aimed at improvement of the performance.

The supervisors/ Appraisers should actively involve the Appraisees and make them fill free during the appraisal process

5.5.1 Communication and performance appraisal

Communication to appraisers and appraisees before commencement of the appraisal exercise is a prerequisite. Public servants and Local Government employees should be given prior communications so as to prepare them for effective exercise and enhancement of constructive improvements in employee performance.

The progress on implementation of the recommendations made during the appraisal exercise should always be communicated so that follow up by the appraisee is made easy.

5.6 Areas for Further Research:

- The role of feedback of staff performance appraisals on the performance of Public servants and Local Government officers.
- Effects of not conducting performance appraisal regularly in Government institutions.
- Whether performance appraisal has had an impact in Public and Government agencies.

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APPENDICES

Appendix 1: Work Plan

Activities	December, 2014	January 2015	February, 2015	March, 2015	April, 2015
Research proposal					
Data collection & Editing					
Reporting writing and Submission					

Appendix 2: Budget

ACTIVITY	COST (RWF)
Stationary	200000
Internet	100000
Typing	200000
Binding	30000
Research assistants	350000
Transport	200000
Lunch & maintenance	100000
Air time	50000
Others(miscellaneous)	200000
TOTAL	1,330,000

Appendix 3: Questionnaire for Nyamasheke District

Dear respondent,

The questionnaire presented before you is to help me in the research, and thus it is absolutely for academic purposes. The information you will provide in this questionnaire will be treated with “ **STRICT CONFIDENTIALITY**”.

I will be very grateful for your valuable time in filing this enclosed questionnaire.

Thank you very much.

NUWAGABA FREDIE

Topic: Factors that affect the implementation of performance appraisal system in Nyamasheke District Local Government.

Purpose of the study: The study is a partial requirement for the award of a Master’s Degree in Business Administration, (Strategic Management) at Jomo Kenyatta University of Agriculture and Technology.

Instructions:

While responding to all questions, and statements, please tick as appropriate.

SECTION A: BACKGROUND INFORMATION

1. Designation of the Respondent.....

Please indicate your response to the following questions or statements by ticking the appropriate number.

2. Gender of the respondent

- Male
- Female

3. Age of the respondent

- Below 25yrs
- 26-30yrs
- 31-35yrs
- 36-40yrs
- Above 40yrs

4. Level of education of the respondent

- Secondary
- Tertiary/ College
- University/professional
- Other (specify).....

5. How long have you worked with NDLG?

- Below 1 yr
- 1-5yrs
- 6-10yrs
- Above 11yrs

6. Terms of employment?

- Contract staff
- Permanent staff
- Others (specify).....

SECTION B: SPECIFIC NDLG INFORMATION

Indicate your response to the following questions or statements by ticking the appropriate number.

1. Does the NDLG carry out performance Appraisal?
 - Yes
 - No
2. If yes (1 above), how often?
 - After completion of a task
 - Monthly
 - Quarterly
 - Six Monthly
 - Annually
 - Annually
 - Other (specify).....
3. Who usually appraises you?
 - My self
 - Fellow Employees
 - Immediate Supervisors
 - Heads of department
 - Top Management
 - Other (specify).....

While you fill up this section of the questionnaire, please ensure that you are consulting the under mentioned point scale (1, 2, 3, 4, 5) to respond to every question. This will help you to select the most realistic option.

1	2	3	4	5
Agree	Disagree	Strongly Agree	Strongly Disagree	Not sure

C	Section 1: Managing the performance appraisal process	1	2	3	4	5
1.	The Rater plans for the appraisal meeting before it takes place					
2.	The Ratee plans for the appraisal meeting before it takes place					
3.	The Rater controls the whole process of appraisal					
4.	The Ratee controls the whole process of appraisal					
6.	The Rater finds it their duty to conduct the appraisal					
7.	The Ratee finds it their duty to conduct the appraisal					
8.	The Rater enjoys conducting the appraisal					
9.	The Ratee enjoys conducting the appraisal					
10.	The Rater always conducts timely appraisals					
11.	The final decision arrived at after the appraisal exercise is agreed upon between the Rater and the Ratee					
D	Section 2: Level of trust in the appraisal process	1	2	3	4	5
1.	The Rater has trust in the appraisal process system					

2.	The Ratee has trust in the Rater that he/she will be appraised objectively					
3.	The Ratee has an opportunity to appraise him/self before Rater does the appraisal					
4.	The Rater finds it easy to criticize the Rates performance in his/her presence					
5.	The Rater keeps recording the Appraisees performance record over time					
6.	The Rater helps the Ratee to improve his/her performance					
5.	The Rater finds it his/her duty to regularly carry out the appraisal					
E	Section 3: Training and Performance Appraisal					
1.	The objectives of carrying out performance appraisal are clear to all employees					
2.	The Rater and Ratee feel that they have a good understanding of the appraisal and what it is aimed at.					
3.	The Rater and Ratee have adequate training about how to conduct the appraisal process.					
4.	The Rater and Ratee have adequate support when carrying out this responsibility.					
5.	The appraisal system is easy to use and understand by all staff					
6.	The Rater finds it his/her duty to carry out performance appraisal exercise					
7.	The Rater and Ratee feels comfortable with the appraisal system.					
8.	The Rater always documents performance before the appraisal period					
9.	The Ratee always appraises him/her self before the appraisal process.					
F.	Section 4 Communication and Performance Appraisal	1	2	3	4	5
1.	The Rater always communicates the date when the appraisal is to take place a month before.					
2.	The Organization regularly prepares staff for the performance appraisal exercise.					
3.	The Rater and Ratee prepares for the appraisal process a month before performance appraisal exercise conducted.					
4.	The Rater always provides regular feedback to the Ratee after carrying out the appraisal.					
5.	The Ratee always makes a follow up after getting the appraisal feedback.					
6.	The Rater always ensures that appraisal targets are met by the Ratee.					
7.	The system of appraisal is open and interactive for both Rater and Ratee.					
8.	The required period for employee evaluation is appropriate.					
G.	Section 5. Implementation of Performance Appraisal					

1.	The information generated through performance appraisal is used for decision making e.g. promotion, confirmation, termination, training among others.					
2.	Performance appraisal process supports objective measurement and assessing of employee performance.					
3.	Performance appraisal helps employees to identify their strength and weaknesses					
4.	The recommendations of the performance appraisal exercise are always implemented.					
5.	All employees are provided with performance appraisal feedback after the exercise					
6.	Performance appraisal exercise is always conducted timely as required by law.					
7.	Performance appraisal exercise continuously keeps track of employee performance record over time					
8.	Recording of the Appraisees performance before appraisal process helps the Rater during the appraisal process					

In your opinion, what have been the challenges in implementing performance appraisal in Nyamasheke District Local Government?

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What can be done to improve performance appraisal system in Nyamasheke District Local Government?

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.....

In your opinion, do you think getting performance appraisal feedbacks can help improve performance in NDLG? How?

.....

.....

.....

**Thank you for taking time to complete this questionnaire.
May the Almighty God reward you abundantly**

Appendix 4: Interview Guide for Key informants

1. Do you think you have good understanding on how to conduct effective Performance appraisal interviews?

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.....
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.....

2. Do you receive adequate training before carrying out the performance appraisal exercise? If yes, explain how this has helped you carry out the exercise

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.....
.....

3. I receive adequate training on how to carry out the performance appraisal exercise if so explain how you have benefited from this training

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

4. Does Nyamasheke District Local Government implement the recommendations from the performance exercise? if yes, explain how this has affected your perception regarding the appraisal

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

5. Does Nyamasheke District Local Government prepare its staff before the appraisal exercise is carried out? if yes, how often?

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

6. Do you feel comfortable in proving constructive criticism when face to face with ratee? If not explain why?

.....
.....

7. Do you always provide feedback to employees after the appraisal exercise? If yes, explain why

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

8. As a rater how do you manage the performance appraisal process and why?

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

9. As a rater how do you ensure that the ratee believes that the appraisal exercise is objective and subjective?.

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.....
.....

10. As a rater/Appraiser do you always communicate the appraisal meeting a monthly before the appraisal process? If yes, why?..

.....
.....

11. As a Rater/ Appraiser what do you do to ensure that those you're appraising have trust in the appraisal process.....

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

**Thank you for taking time to complete this questionnaire.
May the Almighty God reward you abundantly.**