

**ADDIS ABABA UNIVERSITY**  
**SCHOOL OF GRADUATE STUDIES**

**AN ASSESSMENT OF RESULT ORIENTED PERFORMANCE  
APPRAISAL OF TEACHERS IN TIGRAI REGIONAL STATE**

**BY**

**ALEM BEYENE BERHE**



**MARCH 2007**

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## ABRIVATIONS/ACRONYMS

ANOVA.....	Analysis of Variance
BARS.....	Behaviorally Anchored Rating system
FCSA.....	Federal Civil Service Agency
KRA.....	Key Result Area
MBO.....	Management by objectives
MCB.....	Ministry of Capacity Building
OPM.....	United States Office of Personnel Management
RCBB.....	Regional Capacity Building Bureau
ROPA.....	Result Oriented Performance Appraisal
TREB.....	Tigrai Region Education Bureau
TRTA.....	Tigrai Region Teachers' Association
WEO.....	Wereda Education Office

## **Abstract**

*The main purpose of this study was to undertake a systematic assessment of the current performance appraisal system of teachers, ROPA, in Tigray Regional State thereby to single out strengths and weaknesses of the ROPA system and eventually to provide alternative recommendations against the identified problems. The research methodology employed in this study was descriptive survey. Accordingly, a questionnaire for teachers and principals was prepared, pilot-tested, translated to Tigrigna language and administered to a sample size of 322 teachers and 62 principals. An aggregate of 87.67% of the questionnaires were properly filled and returned. Structured and unstructured interview were conducted to 8 WEO heads. In addition to this, relevant documents from RCBB, TREB and MCB were reviewed to get sufficient information leading to analysis.*

*Qualitative and quantitative data were collected and analyzed. The findings of the study showed strengths in preparing annual school plans, decreasing rate of drop-outs and repeaters, frequency of continuous assessment of students and emphasis given to co-curricular activities. However, ROPA was characterized by multiple problems. The major weaknesses were: lack of clearly stated school goals and annual work flow charts, lack of discussions conducted with ratees in setting performance measures, standards, objectives, critical elements, performance criteria and post-appraisal meetings; limited knowledge on ROPA and rater biases. Performance standards were subject to irrelevancy, poor reliability, little practicality, and could not discriminate performances. The final results of ROPA do not really describe appraisees; low frequency of performance monitoring, no re-appraisal and appeal mechanisms, there was no accountability in ROPA, less contribution to educational goals such as low results of National Examinations, low students' and teachers' motivation, and lack of sufficient trainings on ROPA. Promotion and salary increment of teachers according to career structure of teachers was banned for the last three years due to the introduction of ROPA which led to grievances of teachers.*

*Based on the research findings and conclusions, recommendations were also forwarded in the interest of addressing these issues of ROPA. Included were: appraiser and appraisee should participate in discussions on setting objectives, standards, critical elements, and performance criteria; performance measures should be output-related, job-related and person-related and they should be relevant, reliable, and practical and should discriminate performances; to minimize rating errors standard score method should be introduced, department heads should rate teachers, and effective and timely feedback should be given to appraisees; appeal mechanisms for re-appraisal should be conducted according to civil service regulations endorsed by the Regional Government Council; continuous training programs and researches should be conducted, motivational and hygiene factors should be addressed timely, and ROPA should give an opportunity to score very high grades by being finalized only at school level.*

In the traditional management evaluation programs, the rater makes judgments about the performance of activities. Many managers believe that a result-based program is more informative. One popular results-based program is called Management by Objectives (MBO). This program typically involves the establishments of objectives by the supervisor alone or jointly by the supervisor and subordinate. MBO is far more than just an evaluation approach. It usually is a part of an overall motivational program, planning technique, or organizational change and development program. An MBO performance evaluation program focuses on the employee's achievements. The key features of a typical MBO program include the following:

- I. The superior and the subordinate meet to discuss and set objectives for the subordinate for a specified period of time (e.g., six months or one year).
- II. Both the superior and the subordinate attempt to establish objectives that is realistic, challenging, clear, and comprehensive. The objectives should be related to the needs of both the organization and the subordinate.
- III. The standards for measuring and evaluating the objectives are agreed upon.
- IV. The superior and the subordinate establish some intermediate review dates when the objectives will be reexamined.
- V. The superior plays more of a coaching, counseling, and supportive role and less of a judgmental role.
- VI. The entire process focuses on results and on the counseling of the subordinate, and not on activities, mistakes, and organizational requirements.

However, problems linked to MBO programs include improper implementation, lack of top-management involvement, too much emphasis on paper work, failing to use an MBO system that best fits the needs of the organization and the employees, and inadequate training preparation for employees who are asked to establish goals (Ivancevich et al 1986: 436-37).

Concerning performance management in schools Franzen (1995:1 cited in Steyn 1996:59) states that order is maintained at schools through methods, which include

supervision and control, of which evaluation is an important component. Personnel appraisal is widely used as a management aid at schools. Appraising the quality of teaching is an attempt, broadly speaking, to ensure the realization of educational objectives. No wonder Duke (1990:108 cited in Steyn 1996: 59) says, "If instruction is the heart of teaching, evaluation is the conscience. "

Staff appraisal is a very important managerial task of the principal. At many schools however formal appraisal is neglected and very limited, where as it is non-existent in others. It is frequently limited to the occasional classroom visit or a principal might complete an evaluation form of a teacher's performance without necessarily having shown it to the teacher. This approach to staff appraisal is unprofessional and leads to negative attitudes towards staff appraisal (Squelch & Lemmer 1994:113).

Chernow and Chernow (1992:240) agree that evaluating teachers is a stressful activity for both the principal and the teacher. However, Squelch & Lemmer (1994:114) state that an appraisal system that makes use of a variety of appraisal methods should provide an opportunity for the principal to meet individual members of the staff to discuss work, performance, progress and achievements. It should enable teachers to become more effective and to improve the quality of their teaching in general.

Concerning the benefits of staff appraisal, Steyn (1996: 61) points out that staff must feel that they are deriving some benefit from the process rather than see it a superficial exercise or an exercise on paper. Although the central concern must be the personal and professional development of teachers, appraisal has a vital role to play in the overall development of the institution. School can derive the following benefits from appraisal.

- More accurate information about teachers performance
- A more purposeful organization
- Clean lines of responsibility and communication
- An improved management
- A better informed school

- Increased staff morale
- Enrichment of pupils

Squelch and Lemmer (1994:115) observed that staff appraisal is often unpopular with teachers because they perceive it as threatening and negative. If staff appraisal is implemented in an autocratic way and without the cooperation of staff, it is hardly neglected that teachers view it in such a negative way.

According to research the major areas of dissatisfaction associated with evaluation centre around the following

- Over emphasis on the idea of confidentiality.
- The objective of evaluation is not primarily to ensure educational excellence by means of personnel development.
- Very little provision is made for staff development after evaluation has taken place.
- The evaluation criteria in the actual evaluation model are largely based on a naturalistic foundation.
- The assessment of teachers' competencies is based on areas of their task which are easiest to measure in relatively concrete terms.
- The evaluation process is characterized by a lack of communication between the educational leader and the teacher.
- Provision is seldom made for pre-evaluation planning and support and mutual agreement on relevant objectives (Franzen 1995: 3-4 cited in Steyn 1996:63).

According to Root and Overly (1992:35 cited in Steyn 1996: 64) teachers must be actively involved in the development, operation and revision of appraisal procedures.

In Tigray Regional State result-oriented performance appraisal was introduced in 2003. According to RCBB (2006: 7), the Region conducted training programs at all levels to introduce the new appraisal method in 2004 based on the evaluations conducted in the

previous year. That is, since failures were observed. The evaluations clearly showed that there were major drawbacks such as:

- The naming of the method.
- It was based on job description.
- KRAs were not identified
- The standards were not based on quality, quantity, time, and cost.
- Personalities were appraised instead of the work.
- It was not concerned about the outcomes and impacts of the results.
- It was lacking accountability, transparency, and participation of employees.

Consequently, RCBB (2006: 8) further states that trainings at all levels were given to curb these shortcomings. Even though cultural barriers may hinder the achievement to be seen shortly, the desired methods will be introduced step by step which then leads to achieve the desired results. However, employees expressed their resistance and dissatisfaction as follows:

- Result-oriented performance appraisal (ROPA) has been tried last year and failed. So, why are you trying to introduce it now again?
- ROPA can only work in business organizations not in government organizations.
- In a condition where budget and material constraints are high, ROPA can never succeed.

The trainings were conducted in 2004 and up-to-date no announcement had been made whether ROPA has succeeded or not, and grievances from teachers are being expressed whether they are achieving results or not since their promotion based on career- structure has not been addressed since the introduction of ROPA.

Indeed, it is from the above backgrounds that the researcher was prompted to launch this proposed study, that is, to assess the perception of teachers and pertinent bodies and to find out why ROPA failed to bring the intended results.

## **1.2 Statement of the Problem and Objective of the study**

Performance appraisal methods are conducted using ROPA as of 2003 in Tigray Regional State public schools. Standards were set and results were given as very high, high, medium or low. But no pay increase or promotion was observed since then. Grievances from teachers have reached at an optimal point. They are not only dissatisfied but motivation is also at stake. So, through this study attempt will be made to assess the perception of teachers and the constraints hampering the system of ROPA will be identified. In line with this, this research has the following objectives:

- To assess whether the proper procedures of performance appraisal are followed in Tigray region schools.
- To assess that ROPA system is well understood by teachers, principals, and WEO heads.
- To identify factors which are hampering ROPA of teachers.
- To assess the perception of teachers towards ROPA.
- To forward applicable recommendations that alleviates or minimizes the constraints that hinder the proper utilization of ROPA of teachers.

To do this research, the following basic research questions are designed.

- I. To what extent does ROPA focus on the overall picture of the school in creating awareness and acceptance by teachers and school principals?
- II. To what extent do appraisees and appraisers participate in setting Objectives, standards and measurement criteria for the ROPA system?
- III. To what extent are the requirements of performance standards used in ROPA?
- IV. How far do rater biases, misconceptions and discriminations affect ROPA?
- V. To what extent is performance monitoring conducted to enable teachers to accept their evaluations?

VI. To what extent are formal appeal mechanisms considered in the final results of ROPA for re-appraisal?

VII. To what extent does ROPA contribute to effective educational goals?

### **1.3. Significance of the study**

Since the launching of ROPA system to appraise teachers' performance, no study was made to assess its implementation and outcome in the region. It is hoped that the findings of this study will generate information on the shortcomings in the implementation of ROPA of teachers. The concerned bodies may, then, take the necessary action to redress these problems. The recommendation that will be forwarded will be helpful to teachers, principals, TREB, WEOs and in general the Regional State Government to help them seek solutions to address these problems of ROPA implementations. Moreover, the review of related literature and the findings of this study may also initiate other researchers to conduct research on other dimensions of the area. TRTA sponsored this study to present it to the Regional Government to create pressure and achieve the desired changes in ROPA implementation. Thus, forwarding recommendations will also help TRTA, in its activities.

### **1.4. Delimitation of the study**

This proposed research was delimited to investigate the perception of public school teachers and assess the factors affecting the implementation of ROPA in Tigray Regional State. Here, private school teachers are not included for the fact that ROPA is not enforced in these schools. Due to administrative and financial reasons the study was delimited to teachers and principals who work in the zonal urban areas.

### **1.5. Limitation of the Study**

The study was limited with lack of necessary resources. The study fund earned from AAU was not adequate enough to conduct research in a region and zones very far from AA. The study was also limited by lack of transportation to the remote areas of the Region.

## **1.6. Research Methodology and Procedures of the Study**

### **1.6.1 Methodology**

A descriptive survey method was used in this study. The study used a sample survey research strategy which collects information directly from teachers, principals and WEO heads in a standardized and unstandardized manner. This method would help to obtain an accurate description of current status of ROPA of teachers in Tigray Regional State.

### **1.6.2 Sources of Data**

Data sources in this study were of both primary and secondary ones. Primary data were collected from teachers, principals, unit leaders, department heads and WEO heads. Secondary data were collected from relevant documents of TREB, RCBB, MCB and FCSA, relevant technical documents, yearly reports and relevant books.

### **1.6.3 Sample and Sampling Techniques**

According to TREB (2005:58), there were 16,298 teachers out of which 9812 were males and 6486 were females. Since all these teachers were appraised by ROPA all of them were included in the sample frame. There were 780 complete primary schools and 48 secondary schools distributed in 46 weredas (TREB 2006: 3). 46 WEO heads and principals were also in the sample population.

A Simple random sampling technique was used in the selection of teachers, principals, and WEO heads from the schools and Weredas of the five Zones of the Region; since the members of population were generally homogeneous mass of individual units.

### **1.6.4 Sample Size**

According to Udinsky et. al., (1981: 72-73), to determine a sample size for population a formula was set assuming significance at 0.05 level of confidence. Using this formula the sample size of 16,298 teachers is 377 teachers. Hence, the sample size used as 384 is sufficient enough to conduct the research.

**Table 1.1. Sample members involved in the survey**

<b>Sample members</b>	<b>Total</b>
Principals	52
Assistant Principals	10
Unit Leaders	18
Department Heads	74
Teachers	230
<b>Grand Total</b>	<b>384</b>

### **1.6.5 Data Gathering Tools**

Leedy (1980: 99), states that a commonplace instrument for observing data beyond the physical reach of the observer is the questionnaire. The questionnaire is a totally impersonal probe. Therefore, data from teachers and principals were collected by means of questionnaires. The draft questionnaire which was prepared in English was pilot-tested by respondents that were not included in the sample. This helped to detect whether it was feasible for the intended purpose or needed modifications. Based on this some questions were corrected and an amendment to the questionnaire was done. Consequently, it was translated to Tigrigna language, so that it will be addressed well by the respondents.

Structured and unstructured interviews in English were used as a data gathering tool to obtain data from WEO Heads. The interviews were set and the agenda of questions were sent to the interviewee in advance.

### **1.6.6 Data Analysis**

The raw data were coded and fed into computer and structured so as to make data manageable. After the collection and organization of data, analysis of data followed. Descriptive statistics, measures of central tendency and measures of spread, were used wherever necessary and relevant. Tables, figures and percentages were also used to analyze the data. Significance tests, ANOVA and chi-square were also used to measure variations and significance of differences. Some charts and graphs were also used to present data in a more understandable manner.

Packages such as MS-EXCEL, SPSS 12.0 for windows and STATA 7.0 were used to facilitate analysis. Finally, the implications of the results were discussed by comparing to the relevant literature.

### 1.6.7 Procedure of the Study

The questionnaire was initially developed in view of the basic research questions of the study. Before administering the questionnaire to respondents a pilot test was conducted to ensure the appropriateness of the items contained in the questionnaire. Experts in the field were consulted to make the appropriate changes. From the pilot-testing it was decided to prepare it in Tigrigna language and pilot-tested; because the terminologies of ROPA were best known to respondents in Tigrigna language. Then the questionnaire was administered to respondents. Objectives of the study were explained to respondents to maximize the return of the questionnaires. The structured interviews were sent to interviewee in advance and suitable time was set by consultation. With the assumption of collecting 377 questionnaire, 438 questionnaire were administered out of which 402 were returned and in further refinements 384 were properly completed. These 384 responses were used for analysis purpose.

## 1.7. Operational Definition of Concepts

**Performance appraisal:** A systematic review of an individual employee's performance on the job which is used to evaluate the effectiveness of his or her work (Muchinsky 1990: 227).

**Result-oriented performance appraisal (ROPA):** A modern method of performance appraisal which evaluates results based on work plans by identifying KRAs and establishing their standards. The evaluations are based on the quality, quantity, time, and cost of the results obtained (FCSC: 2002: 2).

**Career-structure:** Change in structure of work unit that provides opportunities for teachers to advance and progress in their career and salary (Gorton and others; 1997: 116),

## **1.8 Organization of the Study**

This thesis is organized into four chapters. The first chapter deals with the background of the study, brief introduction on the nature of the problem and the approach followed to collect, analyze, and interpret the results. The second chapter addresses the review of related literature, which is an overview of performance appraisal and ROPA.

Chapter three focuses on the overall presentation, analysis and interpretation of the data. Finally, chapter four finalizes the study by summarizing the major findings; and based on this conclusions were drawn. Feasible recommendations were then forwarded that could help in improving the existing conditions of ROPA implementation in the Region. As end material, the data collecting instrument and the sources cited were also included.

## CHAPTER TWO

### REVIEW OF RELATED LITERATURE

#### 2.1 Result-Oriented Performance Appraisal (ROPA): An overview

Remember the story about the naïve student in his first English literature course who was worried because he didn't know what prose was? When he found out that prose was ordinary speech, he exclaimed, "Wow! I've been speaking prose all my life! " Managing performance well is like speaking prose. Many managers have been "speaking" and practicing effective performance management naturally all their supervisory lives, but don't know it! Some people mistakenly assume that performance management is concerned only with following regulatory requirements to appraise and rate performance. Actually, assigning ratings of record is only one part of the overall process (and perhaps the least important part). Performance management is the systematic process of:

- **planning** work and setting expectations,
- continually **Monitoring** performance,
- **developing** the capacity to perform,
- periodically **rating** performance in a summary fashion, and
- **rewarding** good performance (OPM 2001: 3).

Performance appraisal in a service organization involves some of the most important aspects of people's sense of individuality and accomplishment since it deals with their competence and effectiveness. In addition, it is the point where the sometimes conflicting goals of organizations and individuals are addressed. It is also an activity that has important legal considerations and can lead to the courtroom. Most of all, perhaps, it is an interaction between two human beings, who often are nervous, tense, somewhat defensive, poorly prepared to discuss important issues, and full of their own misperception, biases, hopes, and values. To use the words of Latham and Wexley, (1981:2) "... performance appraisal systems are a lot like seat belts. Most people believe they are necessary, but they don't like to use them (Matheson et al 1995: 4).

Matheson et.al (1995: 5) further discuss that there are also legal necessities for having a valid and reliable performance appraisal system in place. The courts have become increasingly concerned with the impact of an evaluation system on an employee's status within an organization. For example, both Canada's Bill of Rights and Title VII of the 1964 Civil Rights Act in the United States affirm that it is against the law to affect an individual's status as an employee on the basis of race, color, religion, sex, or national origin.

### 2.1.1 Employee Performance Plans

Traditionally in some organizations, performance plans have been developed by copying the activities described in an employee's job description onto the appraisal form. Even though a performance plan must reflect the type of work described in the employee's position description, the performance plan does not have to mirror it...otherwise the developed performance plan will only measure **activities**, not **accomplishments**. Also, by developing a performance plan without using a process that links accomplishments to organizational goals, the organization has lost the opportunity to use the appraisal process to communicate its goals to its employees and to align employee efforts with its goals ( OPM 2001: 19).

Employees must know what they need to do to perform their jobs successfully. Expectations for employee performance are established in employee performance plans. Employee performance plans are all of the written or otherwise recorded, performance elements that set forth expected performance. A plan must include all critical and non-critical elements and their performance standards.

Performance elements tell employees **what** they have to do and standards tell them **how well** they have to do it. Developing elements and standards that are understandable, measurable, attainable, fair, and challenging is vital to the effectiveness of the performance appraisal process. Federal regulations define three types of elements: critical elements, non-critical elements, and additional performance elements (OPM 2001: 6).

### 2.1.2 Critical Elements

A critical element is an assignment or responsibility of such importance that unacceptable performance in that element would result in a determination that the employee's overall performance is unacceptable. Regulations require that each employee have at least one critical element in his or her performance plan. Even though no maximum number is placed on the number of critical element possible, most experts in the field of performance management agree that between three and seven critical elements are appropriate for most work situations. Critical elements are the cornerstone of individual accountability in employee performance management. Unacceptable performance is defined in section 4301(3) of title 5, United States code, as failure on one or more critical elements, which can result in the employee's reassignment, removal, or reduction in grade. Consequently, critical elements must describe work assignments and responsibilities that are within the employee's control. For most employees, this means that critical elements cannot describe a group's performance. However, a supervisor or manager can and should be held accountable for seeing that results measured at the group or team level are achieved (OPM 2001: 6).

### 2.1.3 Non-critical Elements

A non-critical element is a dimension or aspect of individual, team, or organizational performance, exclusive of a critical element, that is used in assigning a summary level. Important aspects of non-critical elements include:

**No Performance-Based Actions:** Failure on a noncritical element **cannot** be used as the basis for a performance based adverse action, such as a demotion or removal. Only critical elements may be used that way. Moreover, if an employee fails on a non-critical element, the employee's performance cannot be summarized as *unacceptable* overall based on that failure.

**When they can't be used:** Non-critical elements cannot be used in appraisal programs that use only two levels to summarize performance in the rating of record. This is because they would have no effect on the summary rating level and, by definition, they must affect the summary level. (That is, in a two-level program, failure on non-critical

elements cannot bring the summary level down to *unacceptable*, and assessments of non-critical elements cannot raise the summary level to fully successful if a critical element is failed.)

**Can Greatly Affect the summary Level.** Sometimes the word “non-critical” is interpreted to mean “not as important.” Prior to 1995, this interpretation was prescribed by regulation. Now, however, depending on how an appraisal program is designed, this need not be the case. Even though consideration of non-critical elements cannot result in assigning an *unacceptable* summary level, appraisal programs can be designed so that non-critical elements have as much weight or more weight than critical elements in determining summary levels above *Unacceptable* (OPM 2001: 6-7).

#### **2.1.4 Processes of ROPA**

Having reviewed how to develop a performance plan that focuses only on activities, we will now develop a performance plan that establishes elements and standards addressing accomplishments that lead to organizational goal achievement. To get good results an eight-step process should be followed. Each step in the eight-step process presented below builds upon the previous step; you cannot skip a step and end up with good results. The steps are:-

Step 1: Look at the overall picture

Step 2: Determine the accomplishment method

Method A: Goal cascading method

Method B: Customer-focused method

Method C: Work flow method

Step 3: Determine Individual Accomplishments

Step 4: Convert Accomplishment into Performance evaluation

Step 5: Determine measure

Step 6: Develop standards

Step 7: Determine How to monitor performance

Step 8: Check the performance plan (OPM 2001:19).

Since this eight-step process is operational in the ROPA of teachers in Tigray Region, let us see an elaboration of the eight-step process which is vital for our purpose of the study.

**Step 1.** Look at the overall picture. Review organizational goals and objectives and performance measures already available. Determine which goals and measures the employee's work unit can affect.

**Step 2.** Determine the accomplishments at the work unit level using any or all of the following methods:

- **Method A.** Cascade the agency's goals to the work unit level. Determine the work unit's accomplishment(s) that directly affect the organization's goals.
- **Method B.** Determine the product(s) or service(s) that the work unit provides to its customers.
- **Method C.** Develop a work flow chart for the work unit, establishing key steps in the work process.

**Step 3.** Determine individual accomplishments that support work unit goals. Elements that address individual performance can be identified using a role-results matrix. List the work unit accomplishments across the top of the matrix. List each member of the work unit or each job position down the left side of the matrix. In each cell, list the accomplishments (i.e., performance element) that the member must produce or perform to support the work unit accomplishments. All performance elements should be either quantifiable or verifiable.

**Step 4.** Convert expected accomplishments into performance elements, indicating type and priority. All employees must have at least one critical element. Critical elements must address individual performance only. Work unit performance can be addressed through non-critical elements.

**Step 5.** Determine work unit and individual measures. For each element, determine which general measure(s) (i.e., quantity, quality, timeliness, or cost-effectiveness) are

important. Determine how to measure the quantity, quality, timeliness and/or cost-effectiveness for the element. If an accomplishment can be measured with numbers, determine the unit of measurement to be used. If performance can only be described (i.e., observed and verified), clarify who would appraise the work and what factors they would look for.

**Step 6.** Develop work unit and individual standards. A *Fully Successful* or equivalent standard must be established for each critical element. If the measure for the element is numeric, determine the range of numbers that would represent *Fully Successful* performance. For critical elements appraised at two levels, the *Fully Successful* standard identifies the level of performance below which performance is *Unacceptable*. For critical elements appraised at more than two levels, establish a range of performance above which special recognition may be warranted and below which a performance problem exists.

If the measure for the element is descriptive, determine what the appraiser would see or report that would verify that performance is fully successful. For critical elements appraised at two-levels, describe performance for that element below which is Unacceptable performance. For elements appraised at more than two levels, and for elements for which stretch goals are desired, determine what exceeding expectations would look like. Describe what that appraiser would see happening when expectations are exceeded.

**Step 7.** Determine how to monitor performance. Determine what data to collect for each performance element, which source the data should come from, and whether to collect all the data or just a sample. Determine when to collect the data, who should collect it, and who should receive it. Review existing reports for possible use as feedback reports. Create feedback tables or graphs where appropriate or necessary. Try to design feedback processes that give employees feedback automatically.

**Step 8.** Check performance plans using the following guidelines:

- I. Are the critical elements truly critical? Does failure on the critical element mean that the employee's overall performance is unacceptable?
- II. Is the range of acceptable performance clear? Are the performance expectations observable and/or verifiable?
- III. Are the standards attainable? Is this a reasonable expectation?
- IV. Are the standards challenging? Does the work unit or employee need to exert a reasonable amount of effort to reach a fully successful performance level?
- V. Are the standards fair? Are they comparable to expectations for other employees in similar positions? Do they allow for some margin error?
- VI. Are the standards applicable? Can the appraiser(s) use the standards to appraise performance? Can the appraiser(s) manage the data collected through the measurement process?
- VII. Will work units and employees understand what is required?
- VIII. Are the elements and standards flexible? Can they adapt readily to changes in resources or objectives?
- IX. If your program permits appraising element performance at more than two levels, is the "Fully Successful" or equivalent standard surpassable? Is it possible for a work unit's or an employee's performance to exceed it? (OPM 2001: 70-71).

## **2.2 Purposes of Performance Appraisal**

Performance appraisal systems are normally designed to meet three basic purposes:

- I. They provide systematic judgments to support salary increases, promotions, transfers, and sometimes demotions or terminations
- II. They are a means of telling a subordinate how he is doing, and suggesting needed changes in his behavior, attitudes skills, or job knowledge; they let him know "where he stands" with the boss.
- III. They also are being increasingly used as a basis for the coaching and counseling of the individual by the superior.

Ideally, performance appraisal should be directly related to the performance criteria of the job. Under this ideal situation, performance appraisal would be relatively simple, requiring only that actual performance be compared to the criteria or standard. However, setting relevant and objectively measurable criteria is very difficult for many jobs. In such situations performance appraisals are often based on personal characteristics and other subjective criteria. The difficulties of a performance appraisal system based on personal characteristics are numerous. Managers resist the process. The underlying reason seems to be that it places the manager in the position of being the judge and the employee in the position of being the defendant. Another problem is the temptation of the appraiser to favor friends and close associates. Because it is natural for one to perceive favorable characteristics in friends, the appraiser may never realize favoritism is interfering. Despite all the problems, the fact remains that performance appraisal systems based on personal characteristics and subjective evaluations are still in widespread use (Rue and Byars 1977: 370).

According to Barrett (1966, cited in Muchinsky, 1990: 227) the purposes of appraisal programs fall into three categories:

- I. Administrative:-Involving personnel actions, such as raises, promotion, transfer, or discharge
- II. Performance Improvement:- using appraisal information to identify weaknesses in performance, this help guide the employee in setting goals for improvement,
- III. Research: - performance appraisal information is often used as a criterion to assess the validity of personnel selection and training procedures.

According to Ivancevich et.al (1986:424-5) performance evaluation processes and procedures accomplish two broad, and several specific purposes. The two broad purposes are termed as (1) Judgmental and (2) Developmental.

### **2.2.1 Judgmental Purposes**

When performance evaluation results are the bases for salary, promotion, and transfer decisions, Judgmental purposes are being served. The immediate objective is to improve performance by rewarding high performances. Managers who use

performance by evaluation for judgmental purposes must evaluate performance accurately and precisely and distribute rewards on the basis of performance. Failure to do so undermines the judgmental purposes and causes employees to be cynical about the process...Managers and subordinates alike are uncomfortable about the process, particularly when the performance standards are invalid.

### **2.2.2 Developmental purposes**

The second broad purpose of performance evaluation is to improve performance through self-learning and personal growth. The developmental purpose is accomplished when employees are made aware of their strengths and weaknesses and of ways to improve their skills and abilities. The focus of attention is less on the appraisal of past performance and more on the improvement of future performance. The managers' roles in the process are to counsel, guide, and generally be helpful as subordinates seek, through active involvement, a better understanding of their potential for improved performance. Managers should avoid judgmental terms such as good-bad, positive-negative, and right-wrong. Instead, they should help employees identify areas in need of improvement. The two general purposes of performance evaluation are not mutually exclusive.

## **2.3 Methods of Performance Appraisal**

There are a number of performance appraisal methods available and care must be taken to choose a method which is most suitable and objective for a given candidate for appraisal. Some of these methods are more suitable for blue collar workers, others for white collar workers and still others for executives. The rating methods can be classified into two distinct categories. One is the category of traditional methods while the other is the category of modern methods (Yalokwu 1999: 174).

### **2.3.1 Traditional Performance Appraisal Methods**

Rue and Byars (1977: 371) and Yalokwu (1999: 175-7) summarized many of the more commonly used methods of performance appraisal. The traditional methods of performance appraisal are:

- I. **Critical incident method:** Reviewer keeps records of actual incidents of positive and negative behaviors. These records are then reviewed with the employee during the performance review. It is based on the principle that “there are certain acts or incidents as a result of employee’s behavior or performance which make the difference between the success and the failure.” These critical incidents both good and bad are recorded so that the supervisor has some factual basis for discussion during evaluation. Critical incidents usually have a subjective evaluation and are difficult to quantify, hence they do not lend themselves to comparison or statistical analysis.
  
- II. **Essay appraisal:** In this method, the rater simply writes a page or so about the strengths and weaknesses of the candidate and the rater’s personal recommendations. This is similar to recommendation from a previous employer of a candidate seeking a new job, or a recommendation from a previous professor for a student who has applied for admission to graduate program and these recommendations carry a significant weight.
  
- III. **Ranking methods:** The ranking methods are of two types, the straight ranking method and the paired comparison ranking method. The straight ranking method simply ranks the person from the “most valuable” to the “least valuable”. This is the simplest method of separating the most efficient from the least efficient work. However, this is a highly subjective method and can be highly prejudiced. In the paired comparison ranking technique each employee is compared with all other persons in a group, one at a time. The results of these comparisons are tabulated and a rank is assigned to each individual.
  
- IV. **The factor comparison method:** In this method certain key factors are selected, (such as leadership, hard work, dependability etc.) and each factor is ranked on a scale according to its importance to the job. Based on the rankings of these individual characteristics a “key man” is created. Then each worker to be rated is compared with the key man, factor by factor and a ranking of the worker is established relative to the “key man”.

- V. **Graphic rating scale:** This method assesses a person on the quality and quantity of his work divided into a number of factors. These factors can be categorized as employee characteristics and employee contributions. The employee characteristics include qualities such as initiative, leadership, dependability, cooperativeness, enthusiasm, loyalty, decisiveness, emotional stability, maturity, analytical ability, coordination and cooperation. These traits are then evaluated on a “continuous” scale from unsatisfactory to outstanding, where in the rater puts his mark some-where along this scale based on his judgment of that particular trait. Though, this method gives the maximum control to the rater and rating may be subjective, they are still more objective than essay appraisal and are generally standardized forcing the rater to consider several dimensions or the performance as objectivity as possible.
- VI. **Group appraisal method:** This is simply the appraisal of a worker by a group of people (generally three), rather than single rater and a general consensus or a majority decision is accepted. Even though this technique is highly time consuming, it is more comprehensive and is considered as free of bias since it involves multiple judges.
- VII. **Forced choice method:** This is another method designed to reduce bias and establish objective standards of comparison between individuals. In this method, the rating elements are several descriptive statements including those that best fit the individual being tested and those that fit the least. The rater is forced to choose among these statements leaving no grounds to make his own. These statements are then weighted, or scored by judge other than the rater and the workers are ranked according to these scores.

Mondy and Roe (1990: 406) discussed about the methods of performance appraisal that they lack objectivity. Some subjectivity will always exist in appraisal methods. However, the use of job-related factors does increase objectivity.

Rue and Byars (1977: 377) suggest guidelines for improving performance appraisals as follows:

- I. Performance tends to improve when specific objectives are established for the job.
- II. The participation of a subordinate in setting his own performance objectives yields favorable results.
- III. Mutual goal setting by the superior and the subordinate produces positive results.
- IV. Criticism tends to have a negative impact on the attainment of objectives. As a consequence, defensiveness can result in inferior performance.
- V. Praise has little, if any, effect on the achievement of goals.
- VI. Coaching is best done on a day-to-day basis when related to specific behavior and results, not once a year.
- VII. Interviews intended primarily to improve performance should not at the same time deal with salary and promotion.
- VIII. Separate performance evaluations are generally required for different purposes.

### **2.3.2 Non-traditional or Modern Performance Appraisal Methods**

#### **A. Behaviorally Anchored Rating Scales (BARS)**

In an effort to improve traditional performance evaluations, some organizations have used various behaviorally based and goal-setting programs. The behaviorally based programs attempt to examine what the employee does in performing the job. The objectives, or goal-setting, programs typically examine the results of the accomplishments of the employee. BARS are constructed through the use of "critical incidents, critical incidents are examples of job behaviors that determine various levels of performance. A number of advantages are associated with the use of BARS. Since job-knowledgeable employees participate in the actual development steps, the final evaluation form should be acceptable as measure of actual performance. The use of BARS also provides valuable insight into developing training programs. The skills to be developed are specified in terms of actual behavioral incidents rather than abstract or

general skills. Trainees in BARS –based program could learn expected behaviors and how job performance is evaluated. A behaviorally anchored evaluation system may minimize rating errors. However, some critics of BARS have presented result indicating that the approach is not always the most relevant, stable, and practical. These critics also suggest that more research comparing BARS with the traditional evaluation methods is needed. Despite the time, the cost, and the procedural problems of developing and implementing BARS, this system seems to have some advantages. Specifically, a BARS program could minimize subordinates' defensive attitudes toward evaluation. By being involved in the development of BARS, subordinates can make their inputs known. Another advantage of using BARS is that the evaluation program concentrates on job–specific and job-relevant behaviors. Many performance evaluation programs are abstract and meaningless to either the ratees or the raters ( Ivancevich et.al 1986: 434-5)

#### **B. Management By Objectives (MBO).**

A result-based program in performance appraisal is more informative. One popular result-based program is called Management by Objectives (MBO). This program typically involves the establishment of objectives by the supervisor alone or jointly by the supervisor and the subordinate. MBO is far more than an evaluation approach. It usually is a part of an overall motivational program, planning technique, or organization change and development program (Invanceich et al., 1986:436).

Chatterjee (2003:97-98) discusses on MBO that it originally was suggested by Peter Drucker and subsequently by George Odiorne, MBO had become a new philosophy of managing. MBO calls for minimizing external controls and maximizing internal motivation through jointly goal-setting by the superior and his subordinates and through exercising self-control on the part of all managers. Briefly, MBO is made up of four steps- (a) joint goal-setting, (b) action-oriented planning, (c) periodic appraisal of progress, and (d) self-control by all managers. MBO, Chatterjee continues, is closely associated with the philosophy of decentralization, because decentralized management cannot work well without the support of MBO.

Harold and Weihrich (2004:75) say that, besides being used for performance appraisal, instrument for motivating individuals, and in strategic planning, there are still other managerial subsystems that can be integrated into the MBO process.

Yalokwu (1999: 109-110) explains that, according to Odiorne (1965) MBO is a process whereby the organization jointly identify its common goals, define each individual's major areas of responsibility in terms of the results expected of him and use those measures as guides for operation the unit and assessing the contribution of each of its members. Yalokwu further continues that MBO is a management technique whereby objectives or goals may be established for the organization, department, each manager, and each employee. The system was used to assess managerial performance but it is in the area of planning that it made its greatest impact. The system rests on the setting of: 1. Quantifiable objectives (How much?) 2. Qualitative objectives (How well?) 3. Verifiable objectives (With what result?).

Ivancevich et al (1986:437) state the disadvantages of MBO that the fact that MBO stresses results is a benefit that can also be a problem. Focusing only on result may take attention away from the process of accomplishing the objective. A subordinate receiving feed back about what has been achieved still may not be certain about how to make performance connections. A manager may tell subordinate that the quality control goal was missed by 3.5 percent, but this type of feedback is incomplete. The subordinate who has failed to meet the quality control goal needs guidance and advice on how to accomplish it in the future. Other problems linked to MBO programs include improper implementation, lack of top-management involvement, and too much emphasis on paperwork, failing to use an MBO system that best fits the needs of the organization and the employment, and inadequate training preparation for employees who are asked to establish goals.

Concerning disadvantages of MBO, Yalokwu (1999: 111) puts that the failure by senior management in many organizations to spend sufficient time teaching the philosophy of the system and selling it properly. Setting too optimistic objectives that in practice were difficult to meet was another shortcoming. There is considerable paper work involved

and the system sometimes proved to be unable to accommodate rapid environmental changes. Finally, too many meetings, too many reports add to the managers' responsibility. Some managers may resist the program because of increased paper work.

Werther and Keith (1993: 359) commented the result management with regard to its objectives. MBO are sometimes either too ambitious or too narrow. The result frustrates employees or overlooked areas of performance.

Harold and Wehrich (2004: 79-80) state that, the failure to teach the philosophy of MBO is one of the weaknesses of certain programs. Failure to give guidelines to goal setters is often another problem. There is also the difficulty of setting verifiable goals with the right degree of stretch or pull. The danger of inflexibility can make managers to hesitate to change objectives even if a changed environment would require such adjustments. Other dangers include the overuse quantitative goals and attempt to use members in areas where they are not applicable.

Yalokwu (1999: 110) states that MBO was developed in the growth era of the 1960s and was adopted by many organizations. However, in the recession-riddled 1970s, the system fell into disrepute. Many organizations questioned whether the time and money involved in setting up the system really paid off when the pace of change quickened and the future so uncertain.

A performance evaluation system may be more useful in some organizations than in the other because of the types of individuals doing the rating or because of the criteria being used. So recognizing the strengths, weaknesses, and best uses for a particular program is an important job for managers (Ivancevich et.al 1986: 437-8).

**Table 2.1: Managerial interest when selecting a performance evaluation program**

POINTS OF INTEREST	GRAPHIC RATING SCALE	RANKING	CHECK LISTS	ESSAY	BARS	MBO
Acceptability to subordinates	Fair	Fair/Poor	Fair	Poor	Good	Generally Good
Acceptability to management	Fair	Fair/Poor	Fair	Fair	Good	Good
Useful in reward allocations	Poor	Poor	Fair	Fair	Good	Good
Useful in counseling & developing subordinates	Poor	Poor	Poor	Rarely	Good	Good
Meaningful dimensions	Rarely	Rarely	Some times	No	often	often
Ease of developing actual program	Yes	Yes	Yes	Moderate	No	No
Development cost	Low	Low	Low	High	High	High

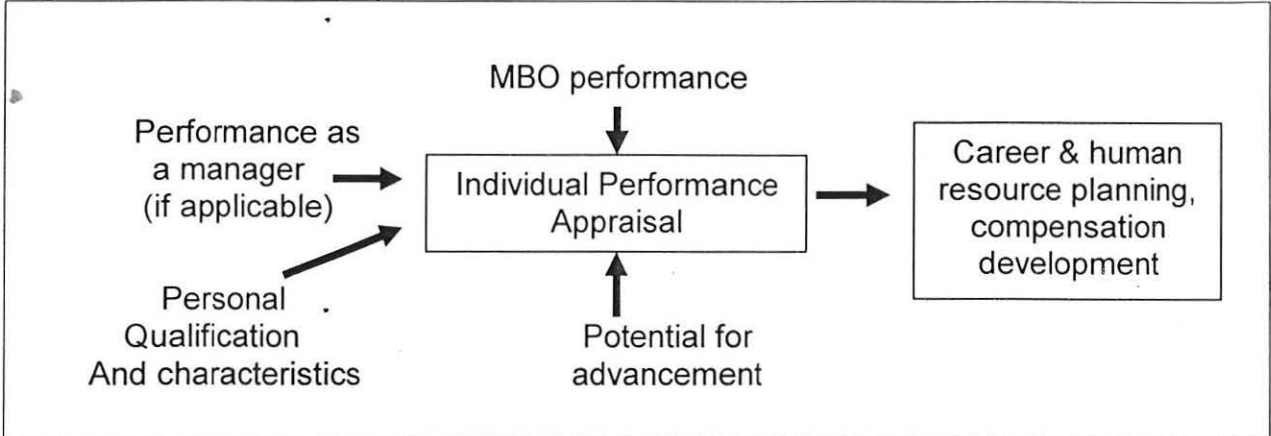
*(Source: Ivancevich et al 1986:438)*

Rue and Byars (1977: 31) state that one approach to resolving the problems of performance appraisal based on subjective data is the concept of MBO. Peter Drucker was one of the first to popularize management by objectives. Drucker proposed that organizations should set objectives and measure the result of its performance in the following areas: market standing, innovation, productivity, physical and financial resources, profitability, manager performance and development, worker performance and attitude, and public responsibility. Establishing objectives from the top to bottom creates an integrated hierarchy of objectives throughout the entire organization. It ensures that the various levels within the organization have a common direction.

In MBO, the objective-setting process requires a high degree of participation and collaboration among the various levels of the organization. This results in several benefits. First, the individuals at each level in the organization become more aware of overall goals and objectives. The better one understands the overall goal and objectives; the better will be one's understanding of his or her role in the total organization. MBO also requires that the goal for an individual be jointly set by the individual and the superior. Such an approach results in "give and take" negotiating

sessions between the individual and the superior. Furthermore, achieving self-formulated objectives can improve motivation and, thus job-performance. (Rue and Byars 1977: 373).

**Figure 1 Total Relationship that Exists in the Individual Performance Review.**



(Source: Rue and Byars 1977: 371)

Rue and Byars (1977: 380-1) summarized its basic requirements. Many organizations proudly proclaim to have successfully implemented MBO when, in fact, they have met very few of the actual requirements. In its simplest form an MBO system must meet the following three minimum requirements.

- Individuals are evaluated by results(objectives)
- Individual objectives are known in advance
- Individual objectives are jointly set by the subordinate and the superior

Frequently the joint goal setting process is successfully completed only to have the individual evaluated on the basis of personality characteristics. In addition, superiors can set objectives and then ask the subordinate “You agree don’t you?” However, if all of the minimum requirements are not met, then MBO will probably fail.

Odiorne (1974:13-21) has presented three approaches to implementing MBO with in an organization– authoritarian, persuasion, and education. No one method seems to fit all situations. The total organization climate including such factors as power and authority, the organization structure, and the people involved determine the optimum method of implementation.

Under the *authoritarian* method of implementation, the top manager merely decides that MBO should be used and dictates that it will be used. Several conditions must exist in order for this approach to be successful. First, the top manager must have the power to implement MBO and be willing to use this power. Second, the lower levels of management must be more dependent on the top manager than the top manager is on them. Third, the lower levels of management must be accustomed to working with unexplained directives from top management. Regardless of the value judgments placed on authoritarian management, implementation of MBO using this method has been successful under the conditions mentioned above.

*Persuasion* is the technique that Odiorne says has led to the most failures of MBO systems. Basically, persuasion involves an over-selling of the MBO process to management. Speakers or consultants convince management of the benefits of MBO without conveying a clear understanding of the time, effort, and commitment required to install MBO successfully. Persuasion is probably helpful in the initial stage of MBO. However, since the management team usually does not understand the total commitment required, MBO generally fails when persuasion is the only method used.

*Education* is the most successful method of installing MBO. The features of this method of installing MBO are summarized by Odiorne as follows: Training should produce behavior change, and training in MBO is measurable. It can be readily determined if the training worked. Did the trainees set objectives or didn't they?

The quality of the results can be noted clearly. The course may suggest, for example that a manager should establish three classes of objectives. The effect on the manager can be checked by examining sample goals statements. MBO comprises a sound basis for relating training to the job. Some training sessions require students to set objectives on their job as part of the course; they learn by doing what they are being taught, MBO provides a vehicle for teaching more general management.

## **2.4 Performance Standards**

A standard is a value used as a point of reference for comparing other values. As such, a standard outlines what is expected of the job and/or individual. An objective can be a standard (Rue and Byars 1997: 169).

Rue and Byars (1997: 313) further discuss that output standards should reflect the "normal output of a normal person." Such standards attempt to answer the question "What is a fair day's work? Or "How good is good enough?" A manager may avoid setting a standard or set it too low for fear of offending subordinates or due to a lack of experience. On the other hand, a manager may set standards unrealistically high. In both cases, the standard acts as a deterrent to productivity. Standards provide data that are used in making many management decisions. In addition to decisions concerning performance evaluation and remuneration, standards provide data for making decisions regarding equipment acquisition, process selection and scheduling, performance standards also provide a basis for determining labor costs as well as for incentive wage payment systems.

Standards provide the established criteria of desired performance for evaluating both individual and organizational performances... Output can be conceived in terms of quality, quantity, time and expenses (Chatterjee 2003: 315).

Harold and Weihrich (2004: 77) discuss about setting objectives and state that setting objectives is indeed a difficult task. It requires intelligent coaching by the superior and extensive practice by the subordinate.

Terry and Stephen (1991:128) suggest that if employees are involved in goal establishment, they are likely to be encouraged and believe in the objectives to be achieved.

Concerning performance standards, Ivancevich et al (1986:426) state that the performance evaluation program at any level within the organizational hierarchy must, at some point, focus on performance standard. In performance evaluation, the standard

is the basis for appraising the effectiveness of an individual employee. The authors further discuss about the requirements of a performance standard. At least four requirements must be met before a measure can qualify as a performance standard. First, the measure must be *relevant* to the individual and the organization. Determining what is relevant in itself is controversial. Some person or group must make a judgment about what constitutes relevance. Second, the standard must be *stable* or reliable. This involves agreement of different evaluation at different points in time. If the results from two different evaluations diverge greatly, the standard is probably unreliable. Third, a performance standard must *discriminate* between good, average, and poor performance. Finally, the standard must be *practical*. It must mean something to the rater and the ratee.

Performance standards are management approved expressions of the performance threshold(s), requirement(s), or expectation (s) that employees must meet to be appraised at particular levels of performance. Each critical element must have a fully successful or equivalent standard established. Technically, neither non-critical elements nor additional performance elements require a fully successful or equivalent standard. However, to help employees and work units understand the expectation of performance on these elements, they recommend that they have a clear idea of what is considered fully successful performance. Once you have established the specific measures that apply to the elements, you can begin to write the standards. Before writing the *Fully Successful* standards, you must know the number of levels that your appraisal program uses to appraise elements. For example, if you are under an appraisal program that uses two levels to appraise elements, the fully successful standard would describe a single point of performance. Any performance at or above that point is *Fully Successful* and *anything* below it is *Unacceptable* (OPM 2001:50-53).

On the other hand, Humble (1967) cited in Cole (1996: 354) sees a performance standard as a statement of the conditions which exist when the required result is expressed in terms of: Quantity (How much?), Quality (How Well?), Time (By what time?) and Cost (At what cost?)

Rue and Byars (1977: 377) discuss on guidelines for establishing goals before establishing performance standards as:

- I. Adapt your objectives directly to organization goals and strategic plans. Do not assume that they support higher level management objectives.
- II. Quantify and target the results whenever possible. Do not formulate objectives whose attainment cannot be measured or at least verified.
- III. Test your objectives for challenge and achievability. Do not build in cushions to hedge against accountability for results.
- IV. Adjust the objectives to the availability of resources and the realities of organization life. Do not keep your head either in the clouds or in the sand.
- V. Establish reliable performance reports and milestones that measure progress towards the objective. Do not rely on instinct or crude benchmarks of appraise performance.
- VI. Put your objectives in writing and express them in clear, concise, and unambiguous statements. Do not allow them to remain in loose or vague terms.
- VII. Limit the number of statements of objectives to the most relevant key result areas of your job. Do not obscure priorities by stating too many objectives.
- VIII. Communicate your objectives to your subordinates so that they can formulate their own job objectives. Do not demand that they do your goal setting for you
- IX. Review your statements with others assure consistency and mutual support. Do not fall into the trap of setting your objectives in a vacuum.
- X. Modify your statements to meet changing conditions and priorities.
- XI. Do not continue to pursue objectives which have become obsolete.

#### **2.4.1 Performance Requirements**

Most formal performance management systems require that individuals or groups have clear performance requirements or targets linked to higher level objectives. There are a variety of ways in which these performance requirements may be expressed. Broadly speaking, they can be specified as: what the job requires, what it is expected the person will need to be able do the job, usually in terms of skills, experience or competences, or what output the person is expected to achieve. The way of expressing performance requirements may vary between organizations and different types of staff.

In their survey of Performance Management Systems in the UK, Bevan and Thompson (1992:25) identified six main ways of expressing performance requirements.

***Output related requirements:***

- *Clean and measurable accountabilities* - where the job holder is explicitly accountable for targets linked to measurable job outcomes, such as reaching agreed sales targets or quality standards
- *Objectives and targets* - which reflect the aims of the job and the main output expected of a competent performer, for example, writing a project report by specified date.

***Job –Related Requirements***

- *Broad responsibilities and roles* – specifying key elements of the job in terms of main obligations and functional responsibilities
- *Written job descriptions*- describing main responsibilities and lines of accountability.
- *Main job activities and tasks*- describing the main aspects of the job in terms of activity areas and duties.

***Person-related requirements***

- *Competencies* - statements of what the person should be able to do, often expressed in behavioral or output items. They are an attempt to specify what abilities a person needs to have to perform satisfactorily in the job.

In this context, Hailemariam (2001: 92) recommended in a study he conducted about career structure of teachers that teachers should be given a job description before they are evaluated for a career promotion in each stage of the career structure.

**2.4.2 Measures of Performance-Criteria**

Rue and Byars (1977:310) put reasons for measuring individual performance:

- I. As a basis for setting objectives and planning work schedules;
- II. As a basis for rewarding works;
- III. As a basis for promotions, separations, and transfers;

- IV. As a means for evaluating different work methods, different tools and equipment, and different conditions of work;
- V. As a basis for estimating allocating costs;
- VI. As a means of determining when and if a problem arises.

The idea of evaluating individual performance is not new. The problem is that relatively few organizations utilize procedures for measuring individual performance which are scientifically developed. Many organizations still use activity-centered methods for measuring performance. One of the most difficult jobs a manager face is locating or creating satisfactory measures of job success, called criteria. The difficulties of obtaining satisfactory criteria arise from variety of problems. There are many jobs that do not readily lend themselves to objective measurement. But even in cases that do, job performance is often influenced by many factors outside the individual's control. For example, a salesperson's performance is not only a function of his or her own effectiveness but also of the particular sales territory, similarly, a punch press operator's performance may be affected by the physical condition of the punch press or the lighting conditions.

Melaku (1992: 183) in his study calls upon revision of performance criteria which should be open for criticism to all concerned and then finalized so that all the concerned agree upon and accept it.

Robert Thorndike and Elizabeth Hagen have listed four qualities that should be sought when selecting criteria. Listed in order of importance they are (1) relevance, (2) freedom from bias, (3) reliability, and (4) availability. Relevant is the primary and absolutely fundamental requirement of a criterion measure. A criterion is relevant if the knowledge, skills, and basic aptitudes required for success on it are the same as those required for performance of the ultimate task. In other words, to what degree does the criterion represent the characteristics of the job it purports to measure? Unfortunately, relevance rarely be empirically proven. Therefore, the relevance of a particular criterion usually must be estimated on rational grounds using professional judgment. The second desirable quality of a criterion measure, freedom from bias, requires that each

person be provided an equal opportunity to make a good score. For instance, if widgets per hour are the criterion used in evaluating the performance of a certain set of workers, each worker should have equal equipment. If some workers have faster machines than others, then the criterion measure is biased.

Reliability refers to the reproducibility of results. Reliability answers the question of how consistently the criterion measures whatever it does measure. A criterion measure is reliable to the extent that the same people working under the same conditions produce approximately the same results. If a machine operator's output is highly dependent on a fluctuating supply of raw materials, then output would probably not be a reliable measure of the worker's performance. Finally, the criterion measure must be reasonably convenient and available. Practicality in terms of time and cost must be considered and may dictate the choice of the criterion (Rue and Byars 1977: 311-12).

### **2.4.3 General Measures**

**Quality** addresses how well the employee or work unit performed the work and/or the accuracy or effectiveness of the final product. Quality refers to accuracy, appearance, usefulness, or effectiveness. Quality measures can include error rates (such as the number or percentage of errors allowable per unit of work) and customer satisfaction rates (determined through a customer survey).

**Quantity** addresses how much work the employee or work unit produced. Quantity measures are expressed as a number of products produced or services provided, or as a general result to achieve.

**Timeliness** addresses how quickly, when, or by what date the employee or work unit produced the work. You need to make sure to include timeliness measures when applicable; otherwise, it is implied that the element must *always* be done and there is no margin for error.

**Cost-Effectiveness** addresses dollar savings to the Government. You should develop measures that address cost-effectiveness on specific resource levels (money, personnel, or time) that you can generally document and measure in agency annual

fiscal year budgets. Cost-effectiveness measures may include such aspects of performance as maintaining or reducing unit costs, reducing the time it takes to produce or provide a product or service, or reducing waste ( OPM 2001: 46).

## **2.5 Individual Performance Measures**

OPM (2001: 45-6) discusses about measures that, measures are the yardsticks used to determine how well work units and employees produced or provided products or services. To develop specific measures of performance for each element in your performance plan, you first must determine the general measures that apply to each. Once you determine the general and specific measures, you will be able to develop the standards for your elements.

Rue and Byars (1997: 305-6) define performance as the degree of accomplishment of the tasks that make up an individual's job. It reflects how well an individual is fulfilling the requirements of the job. Often confused with effort, which refers to energy expended, performance is measured in terms of results. For example, a student may exert great effort in preparing for an examination and still make a poor grade. In such a case, the effort expended was high yet the performance was low. Lyman porter and Edward Lawler have defined job performance as "the net effort as modified by his abilities and traits and by his role perception." This definition implies that performance in a given situation can be viewed as resulting form the interrelationships between effort, abilities and traits, and role (or task) perception.

## **2.6 Performance Rewards in Education**

The evaluation of employee Performance is an annual occurrence in nearly all human service agencies, and the consequence of this evaluation for the individual being evaluated, the evaluator, and the organization can be quite profound. On the positive side, a well-conducted performance appraisal may:

- Increase the person's motivation to perform effectively ;
- Increase the self-esteem of the person being evaluated;
- Allow new insights for the person or persons doing the appraisal;

- Result in more clarification and better definition of the job of the person being evaluated;
- Facilitate valuable communication among the individuals taking part;
- Promote a better understanding among participants, of themselves, and of the kind of development activities that are of value;
- Clarify organizational goals and facilitate their acceptance;
- Allow the organization to engage in human resource planning, test validation, and develop training programs;

On the other hand, a poorly conducted performance evaluation may;

- Cause individuals to quit as a result of the way they were treated;
- Create false and misleading data;
- Damage the self-esteem of the person being appraised and the person conducting the appraisal;
- Waste large amounts of time;
- Permanently damage the relationship among the individuals involved;
- Lower performance motivation;
- Waste money of forms, training, and a host of support activities;
- Lead to expensive lawsuits by those who feel unjustly evaluated. (Matheson et al. 1995 1-2 )

Hancock and David (1990: 20) recommend to who should rate in schools other than administrative and student evaluation as teachers themselves (self-evaluation) and colleagues (peer evaluation) to be involved in evaluating teachers' performance to conduct good performance.

Melaku (1992: 181-2) in his study concerning appraiser-appraisee. perceptions recommends that summative appraisal could be undertaken by principals, assistant principals, and unit leaders. Formative appraisal, which aims at continuous improvement of teachers' competence, needs to be accomplished by subject department heads. Consequently, their teaching load needs to be correspondingly reduced.

Concerning appraisers, Gorton (1983: 256) is of the opinion that the principal, the assistant principals, unit leaders and department heads should jointly appraise teachers.

Fesseha (2005: 74-6) found in his study that the major problem of secondary school principals was their leadership skill, lack of professional training, lack of the required qualification, and heavy workload; and recommends that assistant principals be assigned according to student population of schools to reduce the work load of the principals.

Concerning the importance of leadership skill, Ayalew (2000: 27) states that the exceptional competence of some schools may not be differentiated from others may not be known. But, the presence of educational leadership could be the core casual factor.

Koontz and Wehrich (2004: 227-8) recommend three kinds of appraisal concerning the duration of appraisal. A comprehensive review at least conducted once a year, progress or periodic review conducted quarterly or monthly and a continuous monitoring conducted daily with emphasis on self-control. Therefore, as discussed above performance appraisal in schools needs to clearly identify the raters, their work load, their efficiency and the evaluation periods as well.

Performance rewards have a long history in education, particularly in the United States. In the last ten years, a number of countries have adopted pay-for performance strategies to modify the traditional salary scales. The distinguishing feature of a performance-based scheme that it rewards or sanctions teachers based upon some form of performance evaluation. Most individually-based programmers have used pecuniary rewards for high levels of performance, usually defined in terms of student outcomes or teacher skills and knowledge. More recently, some analysts have proposed that intrinsic rewards, such as seeing students improve in performance, and increased feelings of well-being are better motivations of teachers other rewards include increased holiday time and professional development courses. Many of the earlier programs tended to focus on individual performance, in particular more pay, with

recent debates more likely to consider group-based reward programmes, on knowledge and skill based rewards (Beavis 2003:4).

Beavis (2003: 5) further continues to identify some key dimensions along which performance-based rewards differ include the following:

- Whether the program focuses on individual teacher performance or school-based performance ;
- Whether the compensation is pecuniary or non-pecuniary, and whether sanctions exists for poor performance;
- The duration of the reward, and in particular, whether the reward is given once only, for a limited duration, or permanently;
- The reward levels, and in particular, whether there are ascending rewards increased teacher or school performance, or whether the performance evaluation allows teachers to progress to a salary scale;
- What is evaluated, and in particular, whether the evaluation is made on the basis of observation, portfolio, acquired qualification or students performance;
- Who evaluates the teacher, and in particular, whether the evaluation is completed by the principle of the school, an external review, or peer review;
- The scope of the reward, and in particular, whether all teachers who fulfill criteria are rewarded, or just a specific quota; and
- Whether the performance-based rewards supplement or replace the existing salary scale system.

### **2.6.1 Arguments For and Against Performance- Based Rewards**

Beavis (2003: 6-14) puts arguments in support of performance –Based Rewards that the current system is unfair and rewards experience and formal qualifications instead of performance. Under most current systems of a salary scale, teachers are rewarded for the number of years spent teaching and the number of tertiary degrees, rather than their performance. For the same reason many analysts believe the salary scale system determines teacher compensation on incomplete criteria. For example, Hoerr (1998) argues that any non-merit based system is unfair for exceptional teachers because they are judged on inefficient criteria. This will cause, it is argued, talented teachers to leave

the education system because excellence is not fairly rewarded. Only when performance is rewarded and teachers command salaries equal to the private sector without having to progress up an arbitrary salary scale, will the best talent be attracted and retained. In summary the main arguments in favor of performance-based rewards are;

- The current system is unfair and rewards experience and formal qualifications instead of performance;
- School administration would improve, especially when school-based compensation programs are implemented;
- Teacher motivation would improve, with an emphasis on knowledge and skill and school-based reward models in the literature;
- Teacher Co-operation would improve, which is presented as an argument in support of school-based reward programmers. There is some concern about the effect merit-pay systems have on teacher co-operation;
- Student outcomes would improve;
- Political and public support of the education system would improve, which is presented as an argument specifically in support of all systems of performance based rewards;
- These programmes represent a relatively cheap financial investment in education; and
- The market provides the best model for efficient resource allocation, which is predominantly used to support knowledge and skills and school-based systems but can be presented as an argument favor of all models of performance-based reward programmers.

On the other hand Beavis (2003: 15-20) further discusses the main arguments in opposition to performance-based rewards as:

- Objective evaluation of teachers is difficult;
- It will create hierarchies within school administration which would affect student outcomes, which is particularly the case for individual forms of performance-based rewards;

- The incentive system would not motivate teachers;
- There would be reduced co-operation between teachers, which is presented as an argument primarily in opposition to merit-pay;
- A range of unwanted and perverse outcomes would be promoted, which is presented as an argument against using student outcomes as a measure of teacher performance;
- It would be an expensive program, which is presented as an argument against all systems of performance-based rewards that offer a significant financial reward; and
- The market is an inadequate model for the public sector, which is used as an argument against the model of performance-based rewards.

## 2.7 Rating Errors

The numerous traditional performance evaluation methods each have problems and potential rating errors. The major problems and errors can be technical in the form of poor reliability, poor validity, little practicality, or rater misuses, in some situations, raters are either extremely harsh or easy in their evaluations. These are called strictness or leniency rater errors. The harsher rater tends to give lower-than-average ratings to errors typically result because the rater applies his or her own personal system being used. For example, the words *outstanding* or *average* may mean different things to various raters. Rating errors can be minimized if:

- I. Each dimension addresses a single job activity rather than a group of activities.
- II. The rater can observe the behavior of the ratee on a regular basis.
- III. Terms such as *average* not used on rating scales, since different raters react differently to such words.
- IV. The rater does not have to evaluate large groups of subordinates. Fatigue and difficulty in discriminating among ratees become major problems when large groups of subordinates are evaluated.
- V. Raters are trained to avoid leniency, strictness, and other rating errors.
- VI. The dimensions being evaluated are meaningful, clearly stated, and important.

VII. Another possibility is to use forms of performance evaluation that attempt to minimize rating errors (Murray 1983: 100-105 cited in Ivancevich et al 1986:433).

Since performance appraisal is conducted by human beings, it is subjected to a number of errors, biases, weaknesses and pitfalls. A review of studies conducted by Yalokwu (1991) and Agbonifoh (1985) reveal halo effect, leniency error, recency error, central tendency error, errors of variable standards, and other miscellaneous biases such as raters' own perception of things, race, sex, appearance, religion, country of origin etc (Yalokwu 1999: 173).

Concerning rater errors Muchinsky (1990: 238) discusses that in making appraisal with rating scales, the rater may unknowingly commit errors in judgment. These can be placed into three major categories: leniency errors, halo errors, and central tendency errors. All three stem from rater bias and misperception.

### **2.7.1 Leniency errors**

Some teachers are "hard graders" and others "easy graders." So raters can be characterized by the leniency of their appraisals. Harsh raters give evaluations that are lower than the "true" level of ability (if it can be ascertained); this is called *severity or negative leniency*. The easy rater gives evaluations that are higher than the "true" level; this is called *positive leniency*. These errors usually occur because the rater has applied personal standards derived from his or her own personality or previous experience.

### **2.7.2 Halo errors**

Halo errors are evaluations (good or bad) based on the rater's general feelings about an employee. Thus the rater generally has a favorable or unfavorable attitude toward the employee that permeates all evaluations of this person. Typically, the rater has strong feelings about at least one important aspect of the employee's performance. This is then generalized to other performance factors, and the employee is judged (across many factors) as uniformly good or bad. The rater who is impressed by an

employee's idea might allow feeling about this one incident to carry over to evaluation of leadership, cooperation, motivation, and so on. This occurs even though the "good idea" is not related to other factors. The converse also holds: The rater who is displeased with an employee's idea might allow this to spread to other aspects of performance. It might be said that the employee who can do no wrong in the rater's eyes and the employee who is chronically in the "doghouse" are the victims of halo error on the part of the rater. Raters who commit halo errors do not distinguish among the many dimensions of employee performance. However, a compounding program with halo is that there are two types. One type is truly a rating error and refers to the failure to differentiate an employee's performance across different dimensions. The second type refers to giving uniformly consistent ratings to an employee (either high or low) when these ratings are in fact justified; that is, the employee is truly good (or bad) across many performance dimensions, Bartlett (1983) refers to these as invalid and valid halos, respectively. In general, halo is considered to be the most serious and pervasive of all rating errors.

### **2.7.3 Central-tendency errors**

Central-tendency error refers to the rater's unwillingness to assign extreme-high or low-ratings. Everyone is "average," and only the middle (central) part of the scale is used. This may happen when raters are asked to evaluate unfamiliar aspects of performance. Rather than not respond, the play is safe and say the person is average in this "unknown" ability. Despite the fact that we have long been aware of leniency, halo, and central-tendency errors, there is no clear consensus on how these errors manifest themselves in ratings. Saal, Downey, and Lahey (1980) observed that researchers define these errors in somewhat different ways for example, leniency errors are sometimes equated with skew in the distribution of ratings; that is, positive skew is evidence of negative leniency and negative skew of positive leniency. Other researchers say that an average rating on a particular scale above the midpoint indicates positive leniency. The exact meaning of central tendency is also unclear. Central-tendency errors occur if the average rating is around the mid-point of the scale but there is not much variance in the ratings, the amount of variance that separates central tendency errors from "good" ratings has not been defined. Saal and associates

feel that more precise definition of these errors must be developed before they can be overcome.

Muchinsky (1990: 239) concludes his ideas by putting that, all three errors can lead to a restriction in range, that is, to a concentration of ratings at the ends or midpoint of the rating scale. When the range of variability is restricted on the criterion, the validity coefficient for predicting this criterion will be greatly curtailed. Thus, when supervisor ratings are used in personnel research and validity coefficients are low, the conclusion that the predictor lacks validity may be wrong. Restriction in range on either the predictor or criterion (or both) can lead the researcher astray in assessing its validity. Similarly, the value of appraisal systems meant to identify an employee's strengths and weaknesses is questionable if aspects of performance are not differentiated.

Schermerhorn et. al., (1985: C-13) recommend some specific things to keep in mind to reduce errors and improve appraisal. These include:

- I. Train supervisors to understand evaluation process rationale and can recognize the various sources of measurement error.
- II. Make sure the supervisors observe subordinates on an ongoing regular basis or do not try to limit all their evaluations to the formal designated evaluation period.
- III. Do not have the supervisor rate too many subordinates.
- IV. Make sure the performance dimensions and standards are clearly stated
- V. Try to avoid such as "average" and the like since different evaluators tend to react differently to the terms.
- VI. The appraisal system cannot be used to discriminate on the basis of age, sex, race and so on.

## **2.8 Performance Appraisal and the Law**

Federal law on fair employment practices also pertains to performance appraisal. Unfair discrimination can occur not only on the predictor (test) side of the equation but also in the job behavior the test is trying to predict.

Holly and Field (1975) cited in Muchinsky (1990: 232) discussed the relationship between performance appraisal and the law, and raised concern about several possible areas for discrimination. For one, the appraisal system must be relevant to the job. As an example, security guards who were appraised on the pleasantness of their personalities could seriously question the relevance of the appraisal. Another factor is that supervisors should not evaluate aspects of an employee's performance that were not observable. This precludes the possibility of biases and misconceptions. Finally, evaluations should not be on subjective and vague factors like "desire to succeed." This desire can take many forms for different people. The clearer the factors, the more likely the supervisor's attention will be centered on the pertinent aspects of job behavior.

Kleiman and Durham (1981, cited in Muchinsky, 1990: 233) reviewed 23 court cases involving charges of discrimination in performance appraisal. They sought to determine the standards set by the courts in assessing performance appraisal systems. The authors discovered that the courts (1) have a strong interest in appraisal systems regardless of their adverse impact;(2) emphasize job-analytic procedures for identifying relevant appraisal criteria; and (3) want employers to demonstrate the construct validity of their performance-appraisal evaluations. These legal findings support the results from empirical research on sex and race bias in performance appraisal (Schmitt & Lippin, 1980) cited in Muchinsky(1990: 233). Schmitt and Lippin demonstrated that raters of different races evaluate members of their own racial groups differently than members of other racial groups. Black raters gave higher ratings to blacks than to whites; the opposite effect was observed for white raters. With such an empirical demonstration of race-linked bias, it should be apparent that performance appraisal, like personnel selection and training, is another possible avenue for unfair discrimination in employment.

Filed and Holley (1982, cited in Muchinsky, 1990) examined the effects of 13 appraisal system characteristics on the verdicts rendered in 66 employment discrimination cases. They found five factors that determined whether the judgments were for the plaintiff or the defendant: (1) use of job analysis to develop the appraisal system;(2) trait versus behavioral orientation of the appraisal instrument;(3) whether evaluator were given

specific written instructions;(4) whether the appraisal result were reviewed with employees; and (5) whether the defendant was an industrial or non-industrial ( for example, governmental) organization (non-industrial defendants were more likely to win). In a review of major court cases involving performance-appraisal issues, Barrett and Kernan (1987) cited in Muchinsky identified six dimensions to a professionally sound performance appraisal system. These are:

- I. Job analysis should be conducted to identify characteristics necessary for successful job performance.
- II. These characteristics should be incorporated into the evaluation instrument.
- III. Supervisors should be trained in how to use the evaluation instrument.
- IV. Formal appeal mechanisms should be created to reconsider any evaluation.
- V. The performance evaluations should be clearly documented.
- VI. The organization should provide corrective guidance for poor performers.

When it comes to handling grievances, Cole (1996: 359) discusses that, all managers and supervisors have an important role to play, for one of the key features of every effective grievance procedure is that it should aim to settle the grievance as near a possible to the point of origin. In the UK, legislation requires employees to inform their employees, within 13 weeks of commencing employment, about the main terms and conditions of their employment, including specific references to disciplinary and grievance procedures.

A grievance, unlike a disciplinary matter, is first raised by the employee. The onus is on the employee to state what is the nature of the grievance and what if anything he or she wants done about it. In a work team where the manager or supervisor is in close touch with the members, issues that might lead to a grievance tend to be dealt with in the course of day-to-day problem-solving. Where, however, an issue is still not satisfactorily resolved from the employee's point of view, then a formal application may be made to raise the issue under the appropriate procedure.

Concerning grievances, Mulu (2001: 90) recommends that there should be clearly stated rules and regulations on grievance procedures regarding disagreements on appraisals so that timely solutions are to be given to complaints.

What is a typical grievance procedure? It is likely to follow the stages set out below:

*Preamble*

*“Management recognizes the right of every employee to seek redress for any grievances they may have relating to their conditions of employment. The procedure which follows aims to provide a fair and speedy settlement of grievances, as near as possible to their point of origin.”*

**Stage 1**

*“The employee should first raise the matter with his or her immediate supervisor or manager, and may be accompanied by a fellow employee. The manager or supervisor will endeavor to resolve the grievance without delay.”*

**Stage 2**

*“If the employee is not satisfied with the response of his or her immediate manager or supervisor, the matter may be refined to the departmental manager or other appropriate senior manager, who will hear the grievance within five working days of it being refined to him. At the meeting the employee may be accompanied by a fellow employee, and the company personnel manager will be present.” (Cole 1996: 360)*

Cole (1996:361) further states that if the employee is still dissatisfied after the second stage, he or she may appeal to a director, who will arrange to hear the appeal within five working days. The employee, any accompanying employee, and the company personnel manager will be present at the appeal hearing, the result of the appeal will be recorded in writing and distributed to all the parties concerned.”

RCBB (2006 : 19) states in article 5.3.1 that when an employee is appraised according to his/her performance plan and is not satisfied by the final result the employee can appeal according to the regulation of order, discipline and appeal mechanism of civil servants of Tigray Regional State No. 21/1996 E.C. article 29 sub-article 2/e.

## **2.9 Result-Oriented Performance Appraisal (ROPA): the Case of Ethiopia**

In Ethiopia, employees' performance appraisals have been started long time ago in the civil service sector. However, it is one of the most challenging issues of performance management. The main reasons for this were:

- Lack of standards that can evaluate employees' performance effectively;
- Rater bias;
- Lack of rewarding mechanisms for different levels of performances and achievements (FCSA 2002:26).

FCSA (2002:61) further states that, the methods of performance appraisal used have great impact on the success or failure of appraisal. The traditional method focuses on the traits and behaviors of the employee rather than focusing on results, while the modern method or result-oriented method rates employee's based on the plan of the organization and the employee and rates the result of the performance based on transparency. Even though the traditional and modern or result-oriented methods have their own strong and weak points, a study conducted showed that the modern or result-oriented method is more advantageous for the civil service offices of the country.

Concerning the career structure of teachers, Haris (1986: 25) discusses that the career structure concept, which is currently taking many forms in different countries, had its origin in colleges. It started in promoting instructors to assistant professors, associate professors and full professorships.

To guarantee quality of education, one of the majors taken was to improve the performance appraisal of employees; consequently, result-oriented performance appraisal of teachers was prepared and became operational on August, 1995 E.C. However, all the regions did not apply it uniformly and the teachers' career structure was not addressed in the new civil service reform. Due to these reasons, career structure of teachers was discontinued in some regions and continued in other regions in 1995, 1996 and 1997. Career structure of teachers in TTI, primary and secondary schools have six stages for promotion. These stages are listed below as follows:

- |                     |                           |
|---------------------|---------------------------|
| I. Beginner Teacher | IV. Senior Teacher        |
| II. Junior Teacher  | V. Associate Lead Teacher |
| III. Teacher        | VI. Lead Teacher          |

**Table 2.2. Expected Performance Appraisal (PA) Result and Work Experience (WE) of Teachers (The former one).**

No.	Career Structure	KG		Primary 1 <sup>st</sup> Cycle		Primary 2 <sup>nd</sup> Cycle		Secondary TVET & TTI	
		PA In %	WE	PA In %	WE	PA In %	WE	PA In %	WE
1	From Beginner Teacher to Junior Teacher	75	3	75	2	75	2	75	2
2	From Junior Teacher To Teacher	75	3	75	3	75	3	75	3
3	From Teacher to Senior Teacher	80	3	80	3	80	3	80	3
4	From Senior Teacher to Lead Teacher	86	5	-	-	-	-		-
5	From Senior Teacher to Associate Lead Teacher			84	4	84	4	85	4
6	From Associate Lead Teacher to Lead Teacher			86	4	86	4	86	4

(Source: Ministry of Capacity Building 2006:17)

Habtamu (2005: 76) in his study found that teachers were not provided with rewards for their good performance, while low achievers were identified through performance appraisal results and criticized or punished.

After January 1994 E.C, when salary increment was given to all civil servants and then after the performance appraisal was shifted to result-oriented the upgrading and appraisal system in Ethiopia was heterogonous. According to data collected from regions, in Addis Ababa the performance appraisal conducted in 1996 E.C was not result-oriented but the former one. In some schools it was tried to implement ROPA.

In 1997 E.C, in some schools no appraisal was conducted either by ROPA or the former appraisal method. In 1998 E.C, in some schools the appraisal was conducted by the former method not by ROPA.

In Amhara Regional State; in 1996 E.C, appraisal of teachers was conducted by using ROPA. But due to the introduction of the new system, and execution problems the ROPA results of teachers was banned from serving to upgrade them and other purposes of human resource management by the Regional Civil Service Commission by a letter written on May 6, 1996 E.C. Recently, on November 12, 1998 E.C. the commission ordered that as of 1998 E.C. all benefits be based on ROPA. In Oromia, Tigray and SNNP Regional States ROPA was conducted in 1996 and 1997 E.C. and continued in 1998 E.C. as well. Teachers' career structure was discontinued since November, 1995 E.C in Oromia, Amhara and Dire Dawa. In Tigray, Addis Ababa and SNNPR Regional States since November 1996 E.C and in Harari since 1997. However, career structure of teachers continued without any problem in Afar, Benishangul Gumuz, Somalia and Gambella Regional States. The performance appraisal method used in these regions was the former one not ROPA.

The document further states that the objective of the study is to guarantee quality education by addressing the grievance of teachers to continue their career structure as of 1994 E.C and to give justice by addressing the results and allowing back-pay as well. (MCB 2006: 61)

Berhanemeskel (1999: 89) in his study on teachers' perception of their performance evaluation recommended that education policies and procedures must be tailored to local circumstances. Thus, an evaluation system should not be copied and adopted simply because that system works well in another country with different socio-economic context.

In Tigray Regional State, ROPA was started in 2004 and is using the United States Office of Personnel Management Hand book (OPM) for all civil servants in the Region and is still in use. However, in the education sector, due to the discontinuity of the career structure of teachers, indications such as grievances from teachers and their associations as a whole show that there is something wrong in the new system. Hence, this study will try to identify the gaps and shortcomings of the ROPA system operating in Tigray, in particular the case of teachers.

## CHAPTER THREE

### 3. PRESENTATION AND INTERPRETATION OF DATA

The purpose of this study was to assess the ROPA of teachers in Tigray Regional State.

The study was conducted involving 52 principals, 10 assistant principals, 18 unit leaders, 74 department heads and 230 teachers. In general 62 administrative personnel and 322 teachers which sum up to 384 respondents were involved. 8 WEO heads were interviewed and documents available in TREB, RCBB, MCB and WEOs were also considered to obtain additional information.

The data obtained were analyzed using descriptive statistics, Chi-square and ANOVA. Tables and percentages were also used to present it in a more understandable manner.

In this section the data collected through questionnaire, interview and documents are analyzed and the results are interpreted.

#### 3.1. General Background and Characteristics of Respondents

The following description of the characteristics of target population gives some basic information about the sample population involved in the study.

**Table3.1. Age and Sex of Respondents**

Age by Sex	Female		Male		Grand Total
	No.	%	No.	%	
20 - 30	17	24.29	84	26.75	101
31 - 40	32	45.71	105	33.44	137
41 - 50	14	20.00	99	31.53	113
51 and Above	7	10.00	26	8.28	33
<b>Total</b>	<b>70</b>	<b>100.00</b>	<b>314</b>	<b>100.00</b>	<b>384</b>

In Table 3.1 majority of the respondents were between 31 – 40 years of age, that is, 45.71% of the females and 33.44% of the males. Concerning sex, male and female respondents were 18.23% and 81.77% respectively. Furthermore, all age groups were

also represented. This shows that respondents of different age categories were represented to share their insights and feelings towards ROPA.

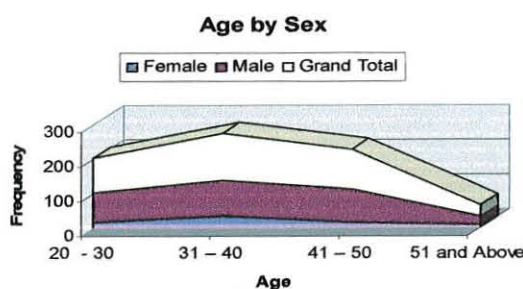


Figure 2 Age by sex of respondents

**Table 3.2. Sex Against Present Post**

Sex	Principal		Assistant Principal		Unit Leader		Department Head		Teacher		Grand Total
	No	%	No	%	No	%	No	%	No	%	
F	8	2.08	6	1.56		0.00	9	2.34	47	12.24	70
M	44	11.46	4	1.04	18	4.69	65	16.93	183	47.66	314
<b>Total</b>	<b>52</b>	<b>13.54</b>	<b>10</b>	<b>2.60</b>	<b>18</b>	<b>4.69</b>	<b>74</b>	<b>19.27</b>	<b>230</b>	<b>59.90</b>	<b>384</b>

In Table 3.2 female principals were 2.08% and assistant principals were 1.56% which makes the share of females 3.64% in the administrative position of schools. The rest of them, 14.58%, were teachers. Male principals and assistant principals were found to be 11.46% and 1.04% respectively. The remaining 69.28% were teachers out of which 4.69% and 16.93% were serving as unit leaders and department heads respectively.

In general, out of 384 respondents, 16.15% were principals (and/or assistant principals) while the rest 83.85% were teachers. The diversity of the sample will enable to get an all-rounded response from different perspectives.

**Table 3.3. Present Post by Years of Service**

Present Post	Number of years of service at the present post								Total
	1-5		6-10		11-15		16 and above		
	No.	%	No.	%	No.	%	No.	%	
Principal	4	1.04	3	0.78	25	6.51	20	5.21	52
Assistant Principal	4	1.04		0.00		0.00	6	1.56	10
Unit Leader	14	3.65	2	0.52		0.00	2	0.52	18
Department Head	19	4.95	10	2.60	11	2.86	34	8.85	74
Teacher	65	16.93	14	3.65	18	4.69	133	34.64	230
Grand Total	106	27.60	29	7.55	54	14.06	195	50.78	384

In Table 3.3 out of the 62 principals and assistant principals (now on wards called as principals) 40.32% served between 11 -15 years and 41.9% served 16 and above years. This shows that significant number of them (i.e. 82.22%) have an experience of 11 years and above. This would mean that the respondent principals have an experience in appraisal of teachers and can give better comparison on the issue. Out of the 322 teachers, 38.5% served between 1 – 10 years and 61.5% served for 11 years and above. This shows that teachers were involved from beginner teacher to lead teacher and would help to get their impressions at different levels of the career structure of teachers.

**Table 3.4. Marital Status by Sex**

Sex	Marital Status								Grand Total
	Married		Single		Divorced		Widowed		
	No.	%	No.	%	No.	%	No.	%	
Female	51	13.28	17	4.43		0.00	2	0.52	70
Male	197	51.30	100	26.04	17	4.43		0.00	314
Grand Total	248	64.58	117	30.47	17	4.43	2	0.52	384

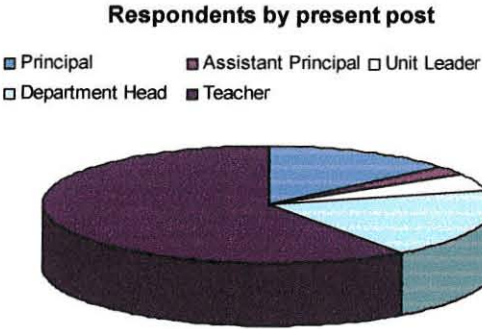
In Table 3.4, out of 70 female respondents, 72.86% of them were married, 24.29% were single and 2.86% were widowed. Out of the 314 male respondents, 62.74% were married, 31.85% were single and 5.41% were divorced.

In general, out of the 384 respondents 64.5% were married, 30.47% were single, 4.43% were divorced and 0.52% were widowed. This may show that most of the respondents were married and hence may be considered socially stable.

**Table 3.5. Present Post by Qualification**

Academic Qualification							
Present Post	TTI Graduate		Diploma, 12+2, 10+3		BA/B.Sc /B.Ed		Grand Total
	No.	%	No.	%	No.	%	
Principal	19	4.95	31	8.07	2	0.52	52
Assistant Principal	2	0.52	8	2.08	0	0.00	10
Unit Leader	0	0	18	4.69	0	0.00	18
Department Head	15	3.91	39	10.16	20	5.21	74
Teacher	31	8.07	113	29.43	86	22.40	230
<b>Grand Total</b>	<b>67</b>	<b>17.45</b>	<b>209</b>	<b>54.43</b>	<b>108</b>	<b>28.13</b>	<b>384</b>

In Table 3.5, out of the 62 principals, 33.87% were TTI graduates, 62.9% were diploma (or 12 +2, 10+3) graduates and 3.23% were first degree graduates. This shows that most principals were diploma graduates indicating lack of qualified principals in the Region. Out of 322 teachers, 14.29% were TTI graduates, 52.8% were diploma graduates, and 6.21% were first degree graduates. This may show that teachers at different levels of schools were represented.



**Figure 3 Respondents by present post**

### 3.2. Overall Picture of the School

An item on whether the existence and availability of school annual plan for every academic year was responded positively by 92.04% of the respondents that there is annual school plan. This shows that the primary necessity to implement ROPA was satisfied and schools may have good base to implement it.

**Table 3.6. Frequency of Annual plan Preparation and Some Characteristics**

Items	Always		Sometimes		Not at all		Grand total
	No.	%	No.	%	No.	%	
Is school plan prepared based on wereda education office plan?	251	69.92	88	24.51	20	5.57	359
How often are school goals clearly stated?	219	56.59	150	38.76	18	4.65	387
How often are specific performance goals established based on the school goals?	161	41.82	203	52.73	21	5.45	385
How often do discussions take place with appraiser/appraisee to finalize performance measures of ROPA?	68	17.04	184	46.12	147	36.84	399
How often is there an annual flow-chart developed by the school?	177	45.04	139	35.37	77	19.59	393
How frequent do you know what ROPA system is?	46	11.79	252	64.62	98	25.13	390

Table 3.6 shows the overall picture of the schools in regard to setting of school goals, establishment of specific performance goals and appraising performance measures. It also shows the extent to which there was awareness in ROPA.

Previously, 92% of the respondents agreed that there was annual school plan. However, only 62.92% of the respondents reported that the school annual plan was always prepared by taking the WEO plan into consideration. The second step in ROPA is to prepare school annual plan based on WEO plan as has been stated in the review of related literature. Otherwise, organizational vision and mission will not be accomplished. Hence, 30.8% of the respondents reported that it was prepared based on WEO plan either sometimes or not at all. Thus, the first problem in the implementation of ROPA was that school plans were not prepared based on WEO plan.

As a follow up of the above intentions, 43.41% of the respondents agreed that clearly stated school goals were set either sometimes or not at all. This shows that significant number of schools did not have clearly stated school goals. Hence, one of the pre-requisites for ROPA successful implementation was not exercised in schools which might led to hampering ROPA.

Concerning whether the establishment of specific performance goals based on school goals were set, 58.18% of the respondents reported that it was set either sometimes or not at all. Hence, as was discussed in the review of the related literature, without specific performance goals ROPA is almost impossible to measure.

With regard to discussions conducted with appraiser to finalize performance measures of ROPA, 82.96% of the respondents reported that they were conducted sometimes or not at all. This shows that one of the principles of MBO, i.e. discussion with employees to finalize performance measures was not conducted which might led to the failure of ROPA.

The preparation of annual work-flow chart was found to be conducted either sometimes or not at all according to 54.96% of the respondents. This contradicts the steps which should be followed in measuring employee performance which was discussed in the review of the related literature. It begins with the first step of the work process, maps out each successive step and ends with the final product or service. Therefore, this may create a gap to implement successful ROPA.

Concerning the extent of knowledge they had on ROPA, it was found that they have either some or no knowledge about ROPA by 88.21% of the respondents. The first thing in an introduction of a new system is to create awareness and train well about the new system. Since respondents have no sufficient knowledge about ROPA it seems that it has become challenging to implement it. In management of change, one of resistance to change comes from fear of the unknown. Hence, teachers had not sufficient or no knowledge about ROPA this might have been a cause for the resistance and improper implementation.

### 3.3. Setting Objectives, Standards and Measurement Criteria

**Table 3.7. Participation in Setting Objectives, Standards and Measurement Criteria**

Items	Res	Always		Sometimes		Not at all		Grand Total
		No.	%	No.	%	No.	%	
How frequent does the school arrange pre-appraisal meeting?	P	13	27.66	26	55.32	8	17.02	47
	T	58	17.42	204	61.26	71	21.32	333
	<b>Total</b>	<b>71</b>	<b>18.68</b>	<b>230</b>	<b>60.53</b>	<b>79</b>	<b>20.79</b>	<b>380</b>
How often do you discuss with your appraiser on school objectives?	P	17	36.17	16	34.04	14	29.79	47
	T	65	19.35	176	52.38	95	28.27	336
	<b>Total</b>	<b>82</b>	<b>21.41</b>	<b>192</b>	<b>50.13</b>	<b>109</b>	<b>28.46</b>	<b>383</b>
How often do you discuss with your appraiser about standards used?	P	10	21.28	29	61.70	8	17.02	47
	T	60	17.86	162	48.21	114	33.93	336
	<b>Total</b>	<b>70</b>	<b>17.81</b>	<b>191</b>	<b>48.60</b>	<b>122</b>	<b>31.04</b>	<b>393</b>
How often do you discuss to reach at an agreement about the critical elements used in ROPA?	P	17	36.17	16	34.04	14	29.79	47
	T	33	10.00	184	55.76	113	34.24	330
	<b>Total</b>	<b>50</b>	<b>13.26</b>	<b>200</b>	<b>53.05</b>	<b>127</b>	<b>33.69</b>	<b>377</b>
How often do you discuss to reach at an agreement about the performance measures criteria used?	P	13	27.66	26	55.32	8	17.02	47
	T	19	5.76	207	62.73	104	31.52	330
	<b>Total</b>	<b>32</b>	<b>8.49</b>	<b>233</b>	<b>61.80</b>	<b>112</b>	<b>29.71</b>	<b>377</b>

From Table 3.7, it can be seen that 55.32% of the principals and 61.26% of the teachers reported that the school sometimes arranged pre-appraisal meeting while 17.02% of the principals and 21.32% of the teachers reported that no pre-appraisal meetings were arranged at all. This may show pre-appraisal meetings to discuss about appraisal issues with the teachers were not uniformly conducted in all of the schools.

Chi-square test has also been conducted to compare differences between principals and teachers, in that the calculated Chi-square is 2.919 which is less than the critical chi-square value (or Chi-Square calculated value  $\chi^2 = 2.919$  is less than the tabulated value  $\chi^2_{(0.05, 2)} = 5.99$ ) which imply that there is no difference between principals and teachers in regard to an arrangement of a pre-appraisal meeting.

	Value	df	Asymp. Sig. (2-sided)
Pearson Chi-Square	2.919(a)	2	.232
Likelihood Ratio	2.689	2	.261
Linear-by-Linear Association	2.203	1	.138
N of valid cases	380		

(a) 0 cells (0%) have expected count less than 5. The minimum expected count is 8.78.

So, without discussing beforehand, teachers may not know what was expected from them and how they were to be appraised which might led to lack of transparency and eventually to the improper implementation of ROPA.

Concerning discussions conducted with teachers and their performance appraisers, 34.04% of the principals and 52.38% of the teachers responded that it was conducted sometimes while 29.79% of the principals and 28.27% of the teachers responded no discussion was conducted about school objectives. This shows that teachers were not aware of the objectives of the school to be met which might led to hamper the expected results to be achieved. A Chi-square test is performed to check whether the frequency of discussions made between teachers and appraisers is independent of present post (Principals and teachers). Accordingly, the calculated Chi-square value is  $\chi^2 = 8.251$  which is larger than the tabulated value  $\chi^2_{(0.05, 2)} = 5.99$ . Thus, there is significant difference.

	Value	df	Asymp. Sig. (2-sided)
Pearson Chi-Square	8.251(a)	2	.016
Likelihood Ratio	7.751	2	.021
Linear-by-Linear Association	1.953	1	.162
N of valid cases	383		

(a) 0 cells (0%) have expected count less than 5. The minimum expected count is 10.06.

Frequency of discussions conducted with appraisers and appraisees about standards used were found to be conducted sometimes by 61.70% of the principals and 48.21% of the teachers, while it was not conducted according to 17.02% of the principals and 33.93% of the teachers. This reveals that discussions to set standards were not conducted consistently in all schools which might led to disagreements in measurement criteria and acceptance of final results of ROPA.

In the same way, the chi-square result declared 5.468 as calculated value with p-value 0.065, ( $\chi^2 = 5.468$  which is less than the tabulated  $\chi^2_{(0.05,2)} = 5.99$ ) and thus there is independence between the respondents.

Discussions between appraisers and appraisees on critical elements adopted in the process of ROPA were sometimes conducted as reported by principals (34.04%) and teachers (55.76%). On the other hand, principals and teachers who accounted for 29.27% and 34.24% respectively witnessed that there were no discussions conducted between appraisers and appraisees on critical elements identified for the implementation of ROPA. This reveals that critical elements which should be set only to individual teachers and failure in one critical element makes all the others to unacceptable might have been the core reason for the improper implementation of ROPA and declaring dependence as revealed by the Chi-square test results that brought, Chi-square calculated value to be 25.144 which by far is larger than the critical value of 5.99. (p-value is .000).

Discussions between appraisers and appraisees on performance criteria used were sometimes conducted as reported by principals (55.32%) and teachers (62.73%). On the other hand, principals and teachers who accounted for 17.02% and 31.52% respectively witnessed that there were no discussions conducted between appraisers and appraisees on performance criteria to be used in the implementation of ROPA. This shows that without knowing the performance criteria teachers were appraised and this eventually might led to grievances and resistance towards ROPA.

The same is true for this component as well that p-value is .000 ( $\chi^2_{\text{calculated}} = 26.525 > \chi^2_{(0.05, 2)} = 5.99$ , rejection of independence between the two factors)

In an interview conducted with WEO heads, it was found that standards, critical elements and performance measures criteria were set at wereda level and sent to schools directly to be operational. Due to lack of expertise, schools could not set standards and a uniform format was sent to schools. However, in ROPA standards,

critical elements and performance measures criteria should strictly be set in schools. This might have led to one of the main reasons for the failure of ROPA.

In general, based on the respondents and interview conducted the extent to which appraisers and appraisees participated in setting objectives, standards and measurement criteria was found to be conducted sometimes in some of the schools and no discussions were conducted in others schools. This might show as one of the main reasons accountable for the improper implementation of ROPA.

### 3.4. Requirements of Performance Standards

**Table 3.8. Requirements to Establish Performance Appraisal Standards**

Items	Res	1		2		3		4		5		Total
		No.	%	No.	%	No.	%	No.	%	No.	%	
Related to professional responsibilities	P	2	4.26	6	12.77	5	10.64	32	68.09	2	4.26	47
	T	62	18.79	99	30.00	29	8.79	99	30.00	41	12.42	330
	T	64	16.98	105	27.85	34	9.02	131	34.75	43	11.41	377
Measures accurately objectives set	P	5	10.64	16	34.04		0.00	24	51.06	2	4.26	47
	T	68	20.80	110	33.64	30	9.17	97	29.66	22	6.73	327
	T	73	19.52	126	33.69	30	8.02	121	32.35	24	6.42	374
Discriminate between good, average and poor performances	P	8	17.02	5	10.64	9	19.15	22	46.81	3	6.38	47
	T	115	34.85	99	30.00	49	14.85	57	17.27	10	3.03	330
	T	123	32.63	104	27.59	58	15.38	79	20.95	13	3.45	377
Reasonably convenient and practical	P	5	10.64	11	23.40	10	21.28	18	38.30	3	6.38	47
	T	86	26.30	106	32.42	35	10.70	76	23.24	24	7.34	327
	T	91	24.33	117	31.28	45	12.03	94	25.13	27	7.22	374
Gives an opportunity to make good score	P	5	10.64	18	38.30	8	17.02	10	21.28	6	12.77	47
	T	138	42.59	75	23.15	34	10.49	54	16.67	23	7.10	324
	T	143	38.54	93	25.07	42	11.32	64	17.25	29	7.82	371
Flexible with existing conditions	P	5	10.64	21	44.68	4	8.51	14	29.79	3	6.38	47
	T	104	31.52	111	33.64	46	13.94	54	16.36	15	4.55	330
	T	109	28.91	132	35.01	50	13.26	68	18.04	18	4.77	377

Note: 1 = Strongly Disagree 2 = Disagree 3 = No opinion 4 = Agree 5 = Strongly Agree  
P = Principal T = Teacher

From table 3.8 it can be seen that, 68.09% of the principals agreed that the performance standards were fully related to professional responsibilities. However, 27.65% of the principals disagreed. Similarly, 57.58% of the teachers reported that they disagreed. This shows that significant number of teachers did not believe that the performance standards were related fully to their professional responsibilities. Not only

was this, but the principals and the teachers were at different positions towards this issue. This was revealed by the analysis of variance given below.

**Table 3.9. ANOVA on relevance of professional responsibilities**

<i>Source of Variation</i>	<i>SS</i>	<i>Df</i>	<i>MS</i>	<i>F cal</i>	<i>P-value</i>	<i>F crit</i>	
						<i>5%</i>	<i>1%</i>
Respondents (Principals and Teachers)	8008.90	1	8008.90	22.74	0.008847	7.71	21.20
Columns	3430.60	4	857.65	2.44	0.204859	6.39	15.98
Error	1408.60	4	352.15				
<b>Total</b>	<b>12848.10</b>	<b>9</b>					

In table 3.9 since F calculated is greater than F critical at 1% significance level, it declares that there is highly significant difference between principals and teachers concerning the relevance of professional responsibilities.

This indicates that principals and teachers did not deliberate on the relevance of performance standards to reach at an agreement and might indicate the non-existence of agreed upon job description of teachers which might led to greatly hamper ROPA.

In regard to whether the performance standards measure accurately objectives set or not, 44.68% and 54.44% of the principals and teachers disagreed respectively. This shows that the measures used as performance standards can not accurately measure the objectives set and hence might led to subjective judgments which eventually hampered the implementation of ROPA.

Following to the above discussions, an item that was included to assess whether the measures used as performance standards can discriminate between good, average and poor performances. It was reported by principals (27.66%) and teachers (64.85%) that they strongly disagreed or disagreed that the measures used as performance standards could not fully discriminate between good, average and poor performances. This reveals that measures of performance measurements were not valid and this might led to affect the motivation of teachers which eventually contributed highly to the improper implementation of ROPA.

Concerning the convenience and the practicability of the performance standards, 34.04% of the principals and 58.72% of the teachers witnessed that they strongly disagreed or disagreed that they were convenient and practical. This indicates that the inconveniency and impracticality might led to the grievance of teachers on ROPA and hampered its implementation greatly.

An assessment made to check whether the performance standards can give an opportunity to make good score or not, principals (48.94%) and teachers (65.74%) reported that they strongly disagreed or disagreed that they gave an opportunity to make good scores. Hence, this shows that the measures used as performance standards could not give an opportunity to make good score and this might led to hamper teachers to register accomplishments diligently and eventually to the improper implementation of ROPA.

Performance standards were not flexible as reported by 55.32% of the principals and 65.16% of the teachers, since they strongly disagreed or disagreed. This reveals that the measures used as performance standards were not flexible with the existing conditions of the school and this might led to frustrate teachers and ROPA was not implemented according to contingency theory of management which led it to failure.

To sum up, the extent to which the requirement of performance standards used in the ROPA system was irrelevant, not reliable, biased, not available and practical and can not discriminate between good, average and poor performances. This shows that performance requirements used were not in line with output related requirements, job related requirements and person related requirements as discussed in the review of the related literature and highly affected ROPA to accomplish its targets.

**Table 3.10. General Performance Measures of ROPA**

Items	Res	1		2		3		4		5		Grand Total
		No.	%	No.	%	No.	%	No.	%	No.	%	
Quality measures used for each element	P	8	17.02	3	6.38	26	55.32	8	17.02	2	4.26	47
	T	36	11.11	55	16.98	101	31.17	83	25.62	49	15.12	324
		44	11.86	58	15.63	127	34.23	91	24.53	51	13.75	371
Uses quality measure for specific elements	P	5	10.64	3	6.38	27	57.45	10	21.28	2	4.26	47
	T	23	7.10	47	14.51	109	33.64	100	30.86	45	13.89	324
		28	7.55	50	13.48	136	36.66	110	29.65	47	12.67	371
Quantity measures used for each element	P	8	17.02	10	21.28	24	51.06	3	6.38	2	4.26	47
	T	48	14.81	61	18.83	94	29.01	82	25.31	39	12.04	324
		56	15.09	71	19.14	118	31.81	85	22.91	41	11.05	371
Uses specific measures of quantity for each element	P	3	6.38	13	27.66	26	55.32	3	6.38	2	4.26	47
	T	25	7.86	53	16.67	94	29.56	100	31.45	46	14.47	318
		28	7.67	66	18.08	120	32.88	103	28.22	48	13.15	365
Timeliness measures used for each element	P	9	19.15	8	17.02	22	46.81	6	12.77	2	4.26	47
	T	33	10.44	84	26.58	89	28.16	81	25.63	29	9.18	316
		42	11.57	92	25.34	111	30.58	87	23.97	31	8.54	363
Uses specific measures of time for each element	P	3	6.38	14	29.79	22	46.81	3	6.38	5	10.64	47
	T	22	6.96	54	17.09	113	35.76	94	29.75	33	10.44	316
		25	6.93	68	18.84	135	37.40	97	26.87	38	10.53	361
Cost effectiveness measures used for each element	P	3	6.67	6	13.33	18	40.00	15	33.33	3	6.67	45
	T	29	9.90	52	17.75	74	25.26	97	33.11	41	13.99	293
	Total	32	9.47	58	17.16	92	27.22	112	33.14	44	13.02	338
Uses specific measures of cost-effectiveness for each element	P	3	6.82	5	11.36	18	40.91	10	22.73	8	18.18	44
	T	17	5.67	50	16.67	79	26.33	111	37.00	43	14.33	300
		20	5.81	55	15.99	97	28.20	121	35.17	51	14.83	344

Note: 1 = Very Low 2 = Low 3 = Medium 4 = High 5 = Very High P = Principal T = Teacher

Table 3.10 shows general measures (quality, quantity, timeliness and cost-effectiveness) which help to determine work unit and individual measures. This helps to determine how well work units and employee produced or provided products or services.

On the assessment made to assure whether quality measures were used for each element, it was found to be medium as reported by 55.32% of the principals and 31.17% of the teachers. However, principals (21.28%) and teachers (40.74%) witnessed that quality measures used were high or very high. This shows that general

measures which are vital to ROPA were exercised in its implementation which would help ROPA to be back in its proper rail.

In a similar way, attesting whether specific quality measures were used for each element, 31.17% of the principals and 33.64% of the teachers reported that quality measures used for specific elements were medium. However, 26.54% of the principals and 44.75% of the teachers witnessed that specific quality measures for each element used were high or very high. These indicate that the usage of quality measures for specific elements was used in ROPA highly and this might encourage that the essence of ROPA is being exercised to bring change in accomplishments.

Notwithstanding to the above findings, the assessment on the extent to which quantity measures were being used for each element was reported as medium by principals (51.06%) and teachers (29.01%). However, principals (10.64%) and teachers (37.35%) witnessed that quantity measures being used where high or very high. On the attempt made to assess the extent to which specific quantity measures were used for each element, 55.32% of the principals and 29.56% of the teachers agreed that specific measures used were medium. However, 10.64% of the principals and 45.92% of the teachers witnessed that it was used highly. These reveal that ROPA was trying to use highly the quantity general measures and this might lead to the proper implementation of ROPA.

The extent to which timeliness measures were being used for each element was reported to be medium by principals (46.81%) and teachers (28.16). However, 17.03% of the principals and 34.81% of the teachers witnessed that it was high or very high. Concerning the usage of specific timeliness measures being used, it was reported to be medium by principals (46.81%) and teachers (35.76%) while it was reported to be high or very high by principals (17.02%) and teachers (32.51%). This reveals that ROPA was trying to use time general measures according to the directives of ROPA and this might lead to the proper implementation of ROPA.

In regards to the extent to which cost-effective measures were being used for each element it was reported as high or very high by principals (40%) and teachers

(46.10%). Similarly, the extent to which specific cost-effective measures were being used for each element was reported to be high or very high by principals (40.91%) and teachers (51.33%). This shows that ROPA was using cost-effective general measures as was indicated in the literature of ROPA and might lead to the proper implementation of ROPA.

Generally speaking, general measures being used for each element was found to be high which indicate a good step in determining work units and individual measures. To develop specific measures of performance for each element in performance plans, one first must determine the general measures that apply to each element. Once the general and specific measures were determined, thus any one will be able to develop the standards for each element. These show that the prerequisites to develop standards were done almost properly while developing standards were not done properly as discussed in tables 3.7 and 3.8. And these further indicate that the gap created in the proper implementation of ROPA might be fixed since the general measures were addressed.

### 3.5. Rater Bias

**Table 3.11. Opinion on Rating Errors in ROPA**

<b>Respondents</b>	<b>Yes</b>	<b>%</b>	<b>No</b>	<b>%</b>	<b>Grand Total</b>
Principal	42	89.3617	5	10.6383	47
Teacher	317	95.77039	14	4.229607	331
<b>Total</b>	<b>359</b>	<b>94.97354</b>	<b>19</b>	<b>5.026455</b>	<b>378</b>

Table 3.11 shows whether there was rating error in ROPA. Accordingly, 89.36% of the principals and 95.77% of the teachers agreed that there was rating error in ROPA. This shows that ROPA, being modern method of performance appraisal method, is sharing the characteristic of the traditional performance appraisal methods. So, this might be one of the many causes that is hampering the proper implementation of ROPA in the Region. A chi-square test results, however, reject the hypothesis that the responses given are independent of the respondents' opinion, which might cause for a reason of their difference, though they seem to be independent.

	Value	df	Asymp. Sig. (2-sided)	Exact Sig. (2-sided)	Exact Sig. (1-sided)
Pearson Chi-Square	3.541 <sup>b</sup>	1	.060		
Continuity Correction <sup>a</sup>	2.326	1	.127		
Likelihood Ratio	2.846	1	.092		
Fisher's Exact Test				.072	.072
Linear-by-Linear Association	3.531	1	.060		
N of valid cases	378				

a Computed only for 2x2 table

b 1 cells (25.0%) have expected count less than 5. The minimum expected count is 2.36.

**Table 3.12. Types of Rating Errors**

Rating items	Res	Very low		Low		Medium		High		Very High		Grand Total
		No.	%	No.	%	No.	%	No.	%	No.	%	
Degree of being strict	P	5	11.90	9	21.43	16	38.10	2	4.76	10	23.81	42
	T	19	5.88	72	22.29	71	21.98	59	18.27	102	31.58	323
	Total	24	6.58	81	22.19	87	23.84	61	16.71	112	30.68	365
Degree of being Lenient	P	11	26.19	2	4.76	15	35.71	3	7.14	11	26.19	42
	T	70	22.22	82	26.03	66	20.95	52	16.51	45	14.29	315
	Total	81	22.69	84	23.53	81	22.69	55	15.41	56	15.69	357
Degree of giving middle of scale	P	5	11.90	11	26.19	21	50.00	5	11.90		0.00	42
	T	28	9.21	46	15.13	128	42.11	49	16.12	53	17.43	304
	Total	33	9.54	57	16.47	149	43.06	54	15.61	53	15.32	346
Degree of being giving final high or low results	P	5	12.82	10	25.64	8	20.51	7	17.95	9	23.08	39
	T	29	9.29	46	14.74	57	18.27	41	13.14	139	44.55	312
	Total	34	9.69	56	15.95	65	18.52	48	13.68	148	42.17	351
Degree of friendship	P	10	23.81	7	16.67	9	21.43	8	19.05	8	19.05	42
	T	41	13.06	48	15.29	41	13.06	32	10.19	152	48.41	314
	Total	51	14.33	55	15.45	50	14.04	40	11.24	160	44.94	356
Degree of political group	P	14	35.00	9	22.50	14	35.00	3	7.50		0.00	40
	T	63	19.94	44	13.92	44	13.92	46	14.56	119	37.66	316
	Total	77	21.63	53	14.89	58	16.29	49	13.76	119	33.43	356
Degree of gender discrimination	P	15	35.71	16	38.10	3	7.14		0.00	8	19.05	42
	T	50	15.87	66	20.95	78	24.76	47	14.92	74	23.49	315
	Total	65	18.21	82	22.97	81	22.69	47	13.17	82	22.97	357
Degree of being from the same area	P	18	45.00	10	25.00	3	7.50		0.00	9	22.50	40
	T	52	16.25	70	21.88	26	8.13	23	7.19	149	46.56	320
	Total	70	19.44	80	22.22	29	8.06	23	6.39	158	43.89	360

In Table 3.12, strictness error was reported as high or very high by principals (28.57%) and teachers (49.85%). The contrary possible source of error, leniency error, was reported as low by principals (30.95%) and teachers (48.25%). This shows that strictness error prevails in ROPA which might lead to the dissatisfaction and grievance of teachers of not being appraised genuinely and objectively. This strictness error might have occurred due to the limitation of the final results imposed by WEO not to exceed satisfactory (below 75%) as was disclosed from documents and interview with WEO heads.

Central tendency error was reported to be medium by 50% of the principals and 42.11% of the teachers. This might show that the principals were trying to satisfy both WEO and the teachers and eventually to hampering the implementation of ROPA.

Concerning Halo errors, it was reported occurring as high or very high by 41.03% of the principals and 57.69% of the teachers. This shows that the improper implementation in the process of ROPA also was having improper implementation in the final appraising stage to worsen matters and might eventually lead ROPA to its failure.

In regards to friendship error, it was reported to be occurred as very high or high by 38.10% of the principals and 58.6% of the teachers. This indicates that friendship error in school might lead to grievances and discourage teachers to work hard to register good results in the teaching learning process.

Concerning political group favor, it was reported to occur as medium by 35% of the principals. However, it was witnessed to occur as very high or high by 52.22% of the teachers. The appraisers rated it as medium shows the problem at least occurs while the appraisees who felt it reported as high or very high might lead to discourage teachers highly, since it is a matter of democratic right, and this might had hampered ROPA greatly to be implemented properly.

Gender discrimination was reported to occur as very low or low by 73.81% of the principals while it was reported to occur as high or very high by 38.41% of the teachers. This shows that gender discrimination in any form leads to hamper equity and ROPA was also subject to equity issues and no doubt could hamper its proper implementation.

The degree of from the same area of origin error was reported to occur as high or very high by principals (22.5%) and teachers (53.75%). This issue is the most dangerous error which hampers development in general, and in our case this discourages teachers to work hard, instead it might lead teachers to identify other teachers and students in this context. This error might lead ROPA to its grave.

To sum up, in the traditional performance evaluation methods, which were discussed in the review of related literature, problems and potential rating errors were one of their characteristics among others. One of the main reasons that the traditional performance evaluation was changed by ROPA in Ethiopia was because of rater bias. However, in ROPA conducted in Tigray Regional State, poor reliability, poor validity, little practicality and rater misuse have been observed highly. This shows that the lion's share of the improper implementation of ROPA is lying here since it is difficult and needs high commitment to overcome these rating errors.

### 3.6. Monitoring Performance

**Table 3.13. Participants in Performance Appraisal**

Appraiser	No of Respondents	%
Principal	312	84.32
Assistant Principal	253	68.38
Unit Leader	273	73.78
Department Head	351	94.16
Committee	156	42.16
Other	117	31.62

In Table 3.13 it can be seen that appraisers who were practically involved in appraising teachers' performance were the principal, assistant principal, unit leader and department heads. In some schools however some committee of appraising was constituted and involvement of other members such as parents, students' representatives and school curriculum committees were observed. It can be observed from table 3.13 that majority of the respondents (94.16%) mentioned department head which is involved in appraising performance. This indicates that department heads are the immediate supervisors of teachers and this supports the principle of ROPA and if

department heads appraise teachers the improper implementation of ROPA will be improved.

**Table 3.14..Sources of Evidence for Appraisal**

Source	No of Respondents	%
Peers	156	42.16
Students	252	68.11
Self appraisal	58	15.68
Classroom observation	253	68.39
Appraisers daily record on teachers performance	253	68.39
Other	58	15.68

The major sources of appraisal were found to be classroom observation, appraiser daily record on teachers' performance and students that constitute 68.39%, 68.39% and 68.11% respectively. This shows that the major evidences were obtained from directly those who participate in the work process which are helpful if they are conducted in the form of continuous supervisions.

Knowing the reality, assessing an interest of the respondents by whom they want to be evaluated was also taken and the results are portrayed below.

**Table 3.15. Appraisees Preferences of Their Evaluators**

Appraiser	No of Respondents	%
Principal	292	78.92
Assistant Principal	175	47.30
Committee	117	31.62
Unit Leader	292	78.92
Department Head	331	89.46
Other	93	25.14

The respondents' preference that they needed to be evaluated by were by large department head that consist of 89.46%, and principal and unit leader by 78.92% and

this was not far from the reality. This indicates that the preference of the teachers is in line with the principle of ROPA, in that appraiser should be the immediate supervisor.

**Table 3.16. Objectivity of Performance Evidences**

Items	Res	Very Low		Low		Medium		High		Very High		Grand Total
		No.	%	No.	%	No.	%	No.	%	No.	%	
Peers	P	5	10.64		0.00	16	34.04	19	40.43	7	14.89	47
	T	29	9.39	32	10.36	114	36.89	66	21.36	68	22.01	309
	Total	34	9.55	32	8.99	130	36.52	85	23.88	75	21.07	356
Students	P	3	6.38	2	4.26	10	21.28	23	48.94	9	19.15	47
	T	41	13.06	24	7.64	80	25.48	73	23.25	96	30.57	314
	Total	44	12.19	26	7.20	90	24.93	96	26.59	105	29.09	361
Self-appraisal	P	15	31.91	8	17.02	7	14.89	14	29.79	3	6.38	47
	T	32	10.77	44	14.81	92	30.98	80	26.94	49	16.50	297
	Total	47	13.66	52	15.12	99	28.78	94	27.33	52	15.12	344
Classroom Observation	P	5	10.64		0.00	23	48.94	5	10.64	14	29.79	47
	T	21	6.82	60	19.48	87	28.25	72	23.38	68	22.08	308
	Total	26	7.32	60	16.90	110	30.99	77	21.69	82	23.10	355
Appraisers daily record	P	8	17.02	2	4.26	3	6.38	16	34.04	18	38.30	47
	T	26	8.47	34	11.07	49	15.96	98	31.92	100	32.57	307
	Total	34*	9.60	36	10.17	52	14.69	114	32.20	118	33.33	354
Staff personal record file	P	5	10.64	6	12.77	10	21.28	13	27.66	13	27.66	47
	T	35	10.94	53	16.56	65	20.31	102	31.88	65	20.31	320
	Total	40	10.90	59	16.08	75	20.44	115	31.34	78	21.25	367
Appraiser personal impression	P	13	27.66	11	23.40	14	29.79	6	12.77	3	6.38	47
	T	94	29.28	66	20.56	73	22.74	48	14.95	40	12.46	321
	Total	107	29.08	77	20.92	87	23.64	54	14.67	43	11.68	368

In Table 3.16 appraisal evidences were obtained from different sources. Accordingly, 55.32% of the principals and 43.37% of the teachers reported that evidence obtained from peers was high or very high. Evidence obtained from students was reported as high or very high by principals (68.09%) and teachers (52.82%) while evidence obtained from self-appraisal was reported as low or very low by principals (48.93%) and was reported as high or very high by teachers (43.44%). Concerning classroom observations, it was reported as medium by principals (48.94%) and as high or very high by teachers (45.46%). In regard to evidence obtained from appraiser's daily record it was reported as high or very high by principals (72.34%) and teachers (64.49%). Similarly, evidence obtained from staff personnel record file was reported to be high or

very high by principals (55.32%) and teachers (52.19). However, evidences obtained from appraiser personal impression was reported to be low or very low by principals (51.06%) and teachers (49.84%).

In general, these show that evidences obtained from peers, students, appraisers daily record and staff personnel record file have objectivity in appraisals. On the other hand, evidence obtained from self-appraisal was not reliable, while evidences obtained from classroom observation rated as medium. These indicate that, in ROPA implementation these findings might play significant role in guaranteeing objective performance evidences.

**Table 3.17. Existence of Class Room Observation**

Respondents	Yes		No		I don't Know		Grand Total
	No.	%	No.	%	No.	%	
Principals	26	55.32	21	44.68		0.00	47
Teachers	218	66.87	105	32.21	3	0.92	326
Total	244	65.42	126	33.78	3	0.80	373

From Table 3.17 it can be seen that only 55.32% of the principals and 66.87% of the teachers reported that classroom observations were conducted, while the remaining principals (44.68%) and teachers (32.21%) reported that classroom observations were not conducted. This reveals that the degree to which appraisers use classroom observation to supervise and to take corrective measures for further improvement was not done consistently in schools. Thus, this drawback greatly contributed to the improper implementation of ROPA, since the teacher's workplace is the classroom.

**Table 3.18. Frequency of Classroom Visits**

Respondent	Once		Twice		Three Times		Four Times		More than four times		Grand Total
	No.	%	No.	%	No.	%	No.	%	No.	%	
Principal	16	61.54	7	26.92		0.00	3	11.54		0.00	26
Teacher	114	52.29	49	22.48	18	8.26	24	11.01	13	5.96	218
Total	130	53.28	56	22.95	18	7.38	27	11.07	13	5.33	244

In table 3.18 those who responded that classroom visits were conducted in table 6.5 responded to how often classroom visits were conducted. Consequently, 61.54% of the principals and 52.29% of the teachers responded that classroom visits were conducted once in a semester. It was conducted twice in a semester was reported by 26.92% of the principals and 22.48% of the teachers, and it was conducted three times in a semester was reported by 8.26% of the teachers. It was conducted four times in a semester was reported by 11.54% of the principals and 11.01% of the teachers. And the remaining 5.96% of the teachers reported that it was conducted more than four times in a semester. These responses show that even though classroom visits were conducted in some schools, they were done once in a semester in many of the schools. Therefore, classroom observations conducted once in a semester could not enable appraisers to gather objective performance evidence on teachers which leads to subjectivity in ROPA and hence hampers the proper implementation of it.

**Table 3.19. Sufficiency of Frequency of Classroom Visits**

Respondent	Very High		High		Medium		Low		Very Low		Grand Total
	No.	%	No.	%	No.	%	No.	%	No.	%	
Principal	0	0.00	2	7.69	15	57.69	7	26.92	2	7.69	26
Teacher	19	8.60	61	27.60	68	30.77	41	18.55	32	14.48	221
<b>Total</b>	<b>19</b>	<b>7.69</b>	<b>63</b>	<b>25.51</b>	<b>83</b>	<b>33.60</b>	<b>48</b>	<b>19.43</b>	<b>34</b>	<b>13.77</b>	<b>247</b>

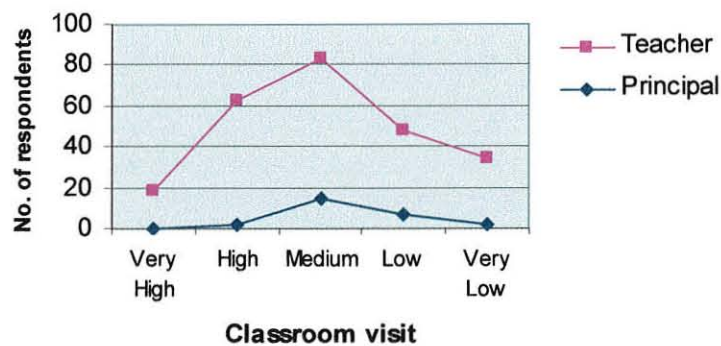
In Table 3.19 the frequency of classroom visits to obtain objective evidence on teachers was reported as medium by 57.69% of the principals and 30.77% of the teachers, while it was reported as low or very low by 34.61% of the principals and 33.03% of the teachers. This indicates that the frequency of classroom visits found in table 3.18 has medium contribution towards obtaining objective evidence of teachers. Hence, this might be one of the causes for the grievances and resistance of teachers to ROPA.

The chi square result performed to measure the hypothesis that the frequency of classroom visits is independent of respondents shows the calculated Chi-square value to be 12.486 which is greater than the tabulated value of 9.487 at 0.05 sig. level declaring that there is dependency (significant difference between principals and teachers).

	Value	df	Asymp. Sig. (2-sided)
Pearson Chi-Square	12.486 <sup>a</sup>	4	.014
Likelihood Ratio	14.968	4	.005
Linear-by-Linear Association	1.808	1	.179
N of valid cases	247		

<sup>a</sup> 2 cells (20%) have expected count less than 5. The minimum expected count is 2.00.

**Frequency of classroom visits by appraiser**



**Figure 4 Frequency of classroom visits by appraiser**

**Table 3.20. Approaches to Classroom Observation**

Respondents	Announced		Unannounced		Both		Grand Total
	No.	%	No.	%	No.	%	
Principal	21	80.77	3	11.54	2	7.69	26
Teacher	106	47.96	30	13.57	85	38.46	221
<b>Total</b>	<b>130</b>	<b>50.78</b>	<b>33</b>	<b>12.89</b>	<b>93</b>	<b>36.33</b>	<b>256</b>

In Table 3.20 announced visits were conducted was reported by 80.77% of the principals and 47.96% of the teachers and unannounced visits were conducted was reported by 11.54% of the principals and 13.55% of the teachers. However, both announced and unannounced visits were conducted was reported by 7.69% of the principals and 38.46% of the teachers. For significant differences let us see Table 3.21.

**Table 3.21. ANOVA on Approaches of Classroom Visits**

Source of Variation	SS	Df	MS	F	P-value	F crit	
						5%	1%
Respondents	6337.50	1	6337.50	11.69	0.075912	18.51	98.50
Approaches	2225.33	2	1112.67	2.05 <sup>ns</sup>	0.327558	19.00	99.00
Error	1084.00	2	542				
Total	9646.83	5					

In Table 3.21 the analysis of variance shows that there is no significant difference between the respondents and between approaches since F calculated is less than F critical. Yet, table 3.20 Show that mostly announced visits were conducted. However, unannounced visits were also used sometimes which led to inspection rather than supervision. This indicate that there is no agreed upon approach of classroom observation which might led to misunderstandings and grievances on the implementation of ROPA.

**Table 3.22. Preference of Approaches to Classroom Observation**

Respondents	Announced		Unannounced		Both		Grand Total
	No.	%	No.	%	No.	%	
Principal	19	73.08	2	7.69	5	19.23	26
Teacher	89	39.73	53	23.66	82	36.61	224
<b>Total</b>	<b>108</b>	<b>43.20</b>	<b>55</b>	<b>22.00</b>	<b>87</b>	<b>34.80</b>	<b>250</b>

In Table 3.22 announced visits were preferred by 73.08% of the principals and 39.73% of the teachers, while unannounced visits were preferred by 7.69% of the principals and 23.66% of the teachers. However, both announced and unannounced visits were preferred by 19.23% of the principals and 36.61% of the teachers. In this case, there was significant difference at 5% significant level in the approaches to be used for classroom visits as can be seen from the analysis of variance in table 3.23 given below.

**Table 3.23 ANOVA for the Preference of Approaches**

Source of Variation	SS	df	MS	F <sub>cal</sub>	P-value	F crit	
						5%	1%
Respondents	6534.00	1	6534.00	72.20	0.013569	18.51	98.50
Approaches	712.33	2	356.17	3.94 <sup>ns</sup>	0.202612	19.00	99.00
Error	181.00	2	90.50				
Total	7427.33	5					

But, from simple count of the reflections delivered by the respondents, the preference of classroom visits seems to favor in the announced one. These indicate that announced visits were more transparent than unannounced visits and hence may help ROPA to make it transparent to help as an input in guaranteeing its proper implementation.

**Table 3.24. Discussion on Findings of Classroom Observation**

Respondents	Always		Sometimes		Not at all		Grand Total
	No.	%	No.	%	No.	%	
Principal	21	80.77	3	11.54	2	7.69	26
Teacher	92	41.63	100	45.25	29	13.12	221
<b>Total</b>	<b>113</b>	<b>45.75</b>	<b>103</b>	<b>41.70</b>	<b>31</b>	<b>12.55</b>	<b>247</b>

In Table 3.24 discussions conducted on the findings after classroom observations were reported to be done always by principals (80.77%) and teachers (41.63%) and was reported to be conducted sometimes by principals (11.54%) and teachers (45.25%). This reveals that discussions on the findings after classroom visits were not conducted consistently. So, this might led to grievances of teachers for not getting supervisory assistance continuously to improve by knowing their status, and this should have been done if proper implementation of ROPA was in its proper place.

**Table 3.25. Acceptance of Final Results of ROPA**

Respondents	Yes		No		Grand Total
	No.	%	No.	%	
Principal	11	23.40	36	76.60	47
Teacher	58	17.63	269	81.76	329
<b>Total</b>	<b>69</b>	<b>18.35</b>	<b>305</b>	<b>81.12</b>	<b>376</b>

### Reflection on final results of ROPA

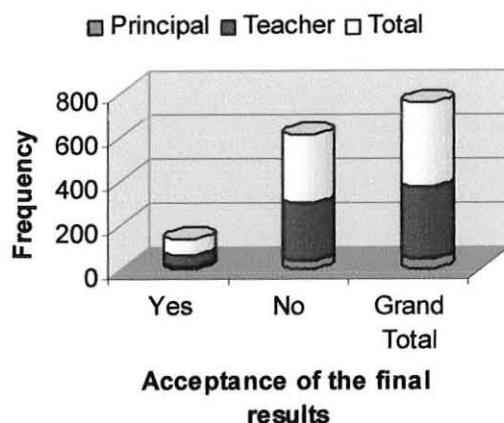


Figure 5 Reflection on final results of ROPA

In Table 3.25 the final results of ROPA conducted so far could not really describe the appraised was reported by 76.60% of the principals and 81.76% of the teachers. This reveals that there was a strong resistance towards ROPA which might led teachers to grievances and lost hope in the credibility of the modern method of performance appraisal, ROPA, which was highly publicized to bring rapid changes in earning results by addressing accomplishments rather than activities.

Table 3.26. Frequency of Post-appraisal Meetings

Respondents	Always		Sometimes		Not at all		Grand Total
	No.	%	No.	%	No.	%	
Principal	10	21.28	22	46.81	15	31.91	47
Teacher	37	11.46	157	48.61	126	39.01	323
<b>Total</b>	<b>47</b>	<b>12.70</b>	<b>179</b>	<b>48.38</b>	<b>141</b>	<b>38.11</b>	<b>370</b>

In Table 3.26 the frequency of post-appraisal meetings conducted to discuss appraisal results were reported to be conducted sometimes by 46.81% of the principals and 48.61% of the teachers. However, the post-appraisal meetings were not conducted at all was reported by 31.91% of the principals and 39.01% of the teachers. This clearly shows that the frequency of post-appraisal meetings to discuss the results of ROPA was not conducted consistently in all schools. If there were post appraisal meetings always after appraisals were conducted, the results of table 3.25 that the acceptance of

final results as becoming negative may have been improved largely. This reveals that the accountability and transparency concerning ROPA were at stake.

**Table 3.27. Time of Post-appraisal Meetings**

Items	Respondents				Grand Total
	Principal	%	Teacher	%	
Immediately after semester appraisal	19	40.43	93	29.43	115
After many days or weeks of appraisal	8	17.02	37	11.71	48
When teachers request for them		0.00	31	9.81	36
When the appraiser feels appropriate	8	17.02	93	29.43	103
There is no post appraisal meetings	12	25.53	62	19.62	77
<b>Grand Total</b>	<b>47</b>	<b>100.00</b>	<b>316</b>	<b>100.00</b>	<b>379</b>

In Table 3.27 post-appraisal meetings were conducted immediately after semester appraisal was reported by 40.43% of the principals and 29.43% of the teachers. It was conducted after many days or weeks of appraisal was reported by 17.02% of the principals and 11.71% of the teachers and 9.81% of the teachers responded that when teachers request for them. It was conducted when the appraiser feels appropriate was reported by 17.02% of the principals and 29.43% of the teachers. However, there were no post-appraisal meetings was reported by 25.53% of the principals and 19.62% of the teachers. These show that there was no fixed or agreed upon time for post-appraisal and this might have contributed to the improper implementation of ROPA.

To sum up, monitoring performance means measuring performance and providing feedback to employees in addition to a once or twice a year progress review, which was a formal part of the appraisal process. It was shown that monitoring performance was found to be conducted inconsistently or not at all. This might have been one of the core reasons for the failure of ROPA.

### **3.7. Appeal Mechanism**

Concerning the existence of mechanisms for re-appraisal, there was no re-appraisal in ROPA was reported by 59.57% of the principals and 78.32% of the teachers. However, there was re-appraisal mechanism was reported by 40.43% of the principals and 21.68% of the teachers. This shows that there was no established re-appraisal mechanism. This might led teachers to strongly resist ROPA and lost hope in it.

**Table 3.28. Information on Re-appraisal Mechanisms**

Items	Res	Yes		No		Grand Total
		No.	%	No.	%	
Is there a school grievance hearing committee?	P	11	57.89	8	42.11	19
	T	42	68.85	19	31.15	61
	Total	53	66.25	27	33.75	80
Is there Wereda grievance hearing committee?	P	13	68.42	6	31.58	19
	T	44	70.97	18	29.03	62
	Total	57	70.37	24	29.63	81
Can final results be changed by appeal?	P	14	73.68	5	26.32	19
	T	24	40.68	35	59.32	59
	Total	38	48.72	40	51.28	78
Can you appeal to the civil service commission?	P	14	73.68	5	26.32	19
	T	33	55.93	26	44.07	59
	Total	47	60.26	31	39.74	78
Do you think there is accountability?	P	11	57.89	8	42.11	19
	T	23	38.98	36	61.02	59
	Total	34	43.59	44	56.41	78

In Table 3.28, the respondents were the ones who reported that there was re-appraisal mechanism in ROPA and were 19 principals and 67 teachers. To prevent bias of percentages it will be reported using figures. Concerning school grievance committee 11 principals and 42 teachers reported there was, and Wereda grievance committee was reported to exist by 13 principals and 44 teachers. Final results could not be changed by appeal was reported by 5 principals and 35 teachers. Appeal to civil service commission was reported as possible by 14 principals and 33 teachers. There was no accountability was reported by 8 principals and 36 teachers. These indicate that the committees for appeal mechanisms were not found in every school and Wereda. Hence, this violated the rights of teachers to appeal as it was their democratic right to do so, and this might led ROPA to be implemented improperly.

### 3.8. Contribution to Educational Goals

Table 3.29. Changes Observed in ROPA Compared to the Former One

Items	Res	Very Low		Low		Medium		High		Very High		Grand Total
		No.	%	No.	%	No.	%	No.	%	No.	%	
Motivation of teachers	P	7	14.89	13	27.66	24	51.06	3	6.38		0.00	47
	T	98	31.01	96	30.38	101	31.96	16	5.06	5	1.58	316
	Total	105	28.93	109	30.03	125	34.44	19	5.23	5	1.38	363
Motivation of Administration	P	10	21.28	10	21.28	21	44.68	6	12.77		0.00	47
	T	71	22.76	84	26.92	83	26.60	42	13.46	32	10.26	312
	Total	81	22.56	94	26.18	104	28.97	48	13.37	32	8.91	359
Relationship with students	P	6	12.77	5	10.64	24	51.06	10	21.28	2	4.26	47
	T	60	19.61	58	18.95	104	33.99	56	18.30	28	9.15	306
	Total	66	18.70	63	17.85	128	36.26	66	18.70	30	8.50	353
Students motivation	P	5	10.64	6	12.77	16	34.04	15	31.91	5	10.64	47
	T	53	16.77	60	18.99	101	31.96	75	23.73	27	8.54	316
	Total	58	15.98	66	18.18	117	32.23	90	24.79	32	8.82	363
Emphasis on co-curricular activities	P	11	23.40	7	14.89	16	34.04	13	27.66		0.00	47
	T	33	10.51	60	19.11	106	33.76	68	21.66	47	14.97	314
	Total	44	12.19	67	18.56	122	33.80	81	22.44	47	13.02	361
Number of students in a classroom	P		0.00	3	6.383	21	44.68	16	34.04	7	14.89	47
	T	23	7.40	22	7.074	90	28.94	85	27.33	91	29.26	311
	Total	23	6.42	25	6.983	111	31.01	101	28.21	98	27.37	358
Frequency of continuous assessment	P		0.00	3	6.383	20	42.55	16	34.04	8	17.02	47
	T	30	9.58	38	12.14	75	23.96	126	40.26	44	14.06	313
	Total	30	8.33	41	11.39	95	26.39	142	39.44	52	14.44	360
The way or style of teaching	P	3	6.38	3	6.383	25	53.19	14	29.79	2	4.26	47
	T	27	8.52	37	11.67	105	33.12	102	32.18	46	14.51	317
	Total	30	8.24	40	10.99	130	35.71	116	31.87	48	13.19	364
Rate of drop-outs	P	11	23.40	17	36.17	9	19.15	7	14.89	3	6.38	47
	T	54	17.36	107	34.41	80	25.72	41	13.18	29	9.32	311
	Total	65	18.16	124	34.64	89	24.86	48	13.41	32	8.94	358
Rate of repeaters	P	13	28.89	10	22.22	12	26.67	10	22.22		0.00	45
	T	74	23.79	96	30.87	91	29.26	23	7.40	27	8.68	311
	Total	87	24.44	106	29.78	103	28.93	33	9.27	27	7.58	356
Results of National Exams	P	5	10.64	12	25.53	24	51.06	6	12.77		0.00	47
	T	60	20.07	72	24.08	108	36.12	45	15.05	14	4.68	299
	Total	65	18.79	84	24.28	132	38.15	51	14.74	14	4.05	346
Improvements on school environment	P	3	6.38	9	19.15	22	46.81	11	23.40	2	4.26	47
	T	61	19.43	88	28.03	88	28.03	65	20.70	12	3.82	314
	Total	64	17.73	97	26.87	110	30.47	76	21.05	14	3.88	361
Relationship with appraisers	P	8	17.02	10	21.28	24	51.06	5	10.64		0.00	47
	T	100	32.47	92	29.87	75	24.35	23	7.47	18	5.84	308
	Total	108	30.42	102	28.73	99	27.89	28	7.89	18	5.07	355
Relationship with wereda staff	P	10	21.28	8	17.02	24	51.06	5	10.64		0.00	47
	T	93	29.90	102	32.8	67	21.54	31	9.97	18	5.79	311
	Total	103	28.77	110	30.73	91	25.42	36	10.06	18	5.03	358

Table 3.29 shows that the comparison observed before and after the introduction of ROPA concerning its contribution to educational goals.

Concerning motivation of teachers, it was reported to be low or very low by principals (42.55%) and teachers (61.39%). This shows that the impact of the improper implementation of ROPA hampered the motivation of teachers.

In regard to the motivation of administration, it was reported to be either low or very low by principals (42.56%) and teachers (49.68%). This reveals that the impact of the improper implementation of ROPA also hampered the motivation of administration.

Concerning relationship with students, it was reported to be medium by 51.06% of the principals and 33.99% of the teachers. This shows that the impact of ROPA might lead to lower the relationship from good terms of relationships of students and teachers.

With regard to students' motivation, it was medium as reported by 34.04% of the principals and it was either low or very low as reported by (35.76%) of the teachers. These indicate that, it might be the result of the low motivation of teachers, and this could also be accounted to the improper implementation of ROPA.

Concerning emphasis on co-curricular activities, it was either low or very low as reported by principals (38.29%) and it was either high or very high as reported by teachers (35.63%). This shows that the principals rated the emphasis given to co-curricular activities as low while the teachers rated it as high. This might be due to lack of discussions and understandings on accomplishments, and this might be accounted to lack of communication between principals and teachers which is due to the improper implementation of ROPA.

With regard to number of students per classroom, it was either high or very high as reported by principals (48.93%) and teachers (56.59). This indicates that the high rate of students per classroom might have an impact on the activities and accomplishments of the teacher which might lead to grievances and resistance towards ROPA.

Concerning the frequency of continuous assessment of students, it was either high or very high as reported by 51.06% of the principals and 54.32% of the teachers. This shows that continuous assessment of students were conducted highly, which might be accountable to teachers' commitment towards guaranteeing quality education and trying to register accomplishments however ROPA didn't address them.

With regard to the way or style of teaching, it was medium as reported by 53.19% of the principals and was either high or very high as reported by 46.69% of the teachers. This shows that principals are not yet satisfied while teachers think they are using student centered way or style of teaching. In this context, considerable change is being observed in teachers' efforts to address accomplishments which might help to address ROPA properly.

Concerning the rate of drop outs, it was either low or very as reported by 59.57% of the principals and by 51.77% of the teachers. This shows that the rate of drop-outs decreased highly. In this context it seems that good accomplishments had been achieved irrespective of the improper implementation of ROPA and should be sustained.

With regards to the rate of repeaters, it was either low or very low as reported by 51.11% of the principals and 54.66% of the teachers. This shows that rate of repeaters reduced considerably. In this context good accomplishments were registered and clearly show the results of teachers and encourage the proper implementation of ROPA.

Concerning the results of National examinations, it was either low or very low as reported by principals (54.22%) and teachers (44.15%). This shows low results of National examinations were registered. This might be accountable to the low motivation of teachers found in this study due to the improper implementation of ROPA. In education the output is the pass rate of students and this case is a critical problem.

Improvement on school environment was reported as medium by principals (46.81%) and as either low or very low by teachers (47.46%). This shows that much remains to be done in the improvement of school environment. In this context, teachers might not

register the necessary accomplishments since the school environment is not conducive to concentrate on the teaching-learning process and this might be accountable for the improper implementation of ROPA.

Concerning relationship with appraisers, it was reported as medium by principals (51.05%) and as either low or very low by teachers (62.34%). This shows that principals rated the relationship as medium and teachers rated it as low. In further analysis on whether the difference between the principals and the teachers is significant or not, the following analysis of variance table 3.30 declares that there is significant difference between the respondents (the principals and the teachers) at 5% level of significance. Hence this lack of relationship might have negative impact on the implementation of ROPA.

**Table 3.30. ANOVA on Relationship with Appraiser**

<i>Source of variation</i>	<i>SS</i>	<i>df</i>	<i>MS</i>	<i>F<sub>cal</sub></i>	<i>P-value</i>	<i>F crit</i>	
						<i>5%</i>	<i>1%</i>
Respondents	5933.63	1	5933.63	6.62	0.027708	4.96	10.04
Within Groups	8957.01	10	895.70				
Total	14890.65	11					

With regards to the relationship with wereda staff; it was reported as medium by 51.06% of the principals and it was either low or very low by 69.50% of the teachers. This shows that principals rated the relationship as medium while teachers rated it as low. Hence, this lack of relationship might have created lack of communication which eventually led to the failure of ROPA.

In general, since the introduction of ROPA, the changes registered to the contribution of educational goals and improving quality of education compared to the situation before its introduction seems as follows.

- Motivation of teachers, motivation of administration, motivation of students, rate of drop-outs, rate of repeaters, results of national examination. school improvement and relationship with appraisers and Wereda staff were found to be rated as low.

- Co-curricular activities, number of students in a classroom, frequency of continuous assessment and the way or style of teaching, were found to be rated as high.
- Relationship with students was found to be medium.

These findings reveal that after the introduction of ROPA motivations were lowered due to the improper handling of teachers in particular, and the improper implementation of ROPA in general.

The graphical representation of the contribution of ROPA to educational goals was presented here under.

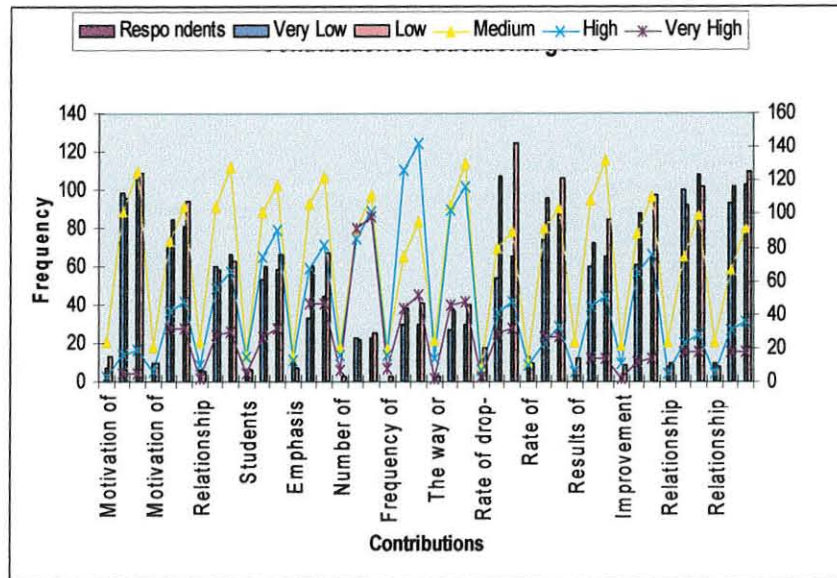


Figure 6 Contribution of ROPA

### 3.9. General

Table 3.31. Participation of a Training Program on ROPA

Respondents	Yes		No		Grand Total
	No.	%	No.	%	
Principal	34	72.34	13	27.66	47
Teacher	91	28.35	230	71.65	321
<b>Grand Total</b>	<b>125</b>	<b>32.55</b>	<b>243</b>	<b>63.28</b>	<b>384</b>

In Table 3.31, a training program about ROPA participated as reported by 72.34% of the principals and 28.35% of the teachers. However, 27.66% of the principals and 71.65% of the teachers reported that they had not been trained.. This shows that

significant number of the principals and majority of the teachers had not taken a training program about ROPA. Hence, this might led to misunderstandings, grievances and improper implementation of ROPA.

**Table 3.32. Duration of Training Programs on ROPA**

Respondents	1-3 days		4-7 days		8-14 days		More than 2 weeks		Grand Total
	No.	%	No.	%	No.	%	No.	%	
Principal	19	55.88	3	8.82	7	20.59	3	8.82	34
Teacher	79	86.81	7	7.69	5	5.49		0.00	91
<b>Grand Total</b>	<b>100</b>	<b>78.74</b>	<b>10</b>	<b>7.87</b>	<b>12</b>	<b>9.45</b>	<b>3</b>	<b>2.36</b>	<b>127</b>

In Table 3.32, taking those who already had taken training on ROPA, the duration of the training program has been assessed. Accordingly, 55.88% of the principals and 86.81% of the teachers reported that they have been trained for 1 – 3 days; 8.82% of the principals and 7.69% of the teachers for 4 – 7 days; 20.59% of the principals and 5.49% of the teachers for 8 – 14 days; and 8.82% of the principals for more than two weeks. This shows that training on ROPA had been conducted to acquaint principals and teachers with ROPA. However, significant number of principals and teachers had been trained for 1 – 3 days, which seems to be less number of days to enable them to implement it. The training given was a good beginning, however it didn't reach all the principals and teachers which might led to the failure of ROPA.

**Table 3.33. Salary Increment of Teachers**

Respondents	Yes		No		Grand Total
	No.	%	No.	%	
Principal	6	12.77	41	87.23	47
Teacher	45	13.98	277	86.02	322
<b>Grand Total</b>	<b>51</b>	<b>13.82</b>	<b>318</b>	<b>86.18</b>	<b>369</b>

Table 3.33 shows whether salary increment based on career structure of teachers was given after the introduction of ROPA or not. Accordingly, 87.23% of the principals and 86.02% of the teachers responded that they did not get salary increment based on career structure since the introduction of ROPA. This shows that since the introduction of ROPA, teachers' career structure was not operational. Therefore, this led teachers to

resist highly ROPA, since they might had thought their salary increment was banned due to the introduction of ROPA and it failed. This affected highly teachers' motivation since they were not promoted to the next title according to the career structure of teachers.

Finally, an open ended item on why they think the reason for not getting their salary based on career structure was included. Accordingly, the following major reasons were forwarded by the respondents.

- There was no agreed upon operation, nor was there responsible body to ROPA.
- Used as a pretext to cover budget problems.
- In assumption that ROPA was not properly implemented and no results were found.
- Any promotion was blocked by the government for reasons unknown to us.
- No formal approach towards evaluation, and as an effect of this bias of evaluators.
- Limiting scores for evaluation by the authorities and thus denying promotion.
- It was not able to discriminate performance. And, because of, this massive pass made the government to stop the increment.
- The perception towards education and teachers by the government was low.
- Lack of clarity and awareness of ROPA both by authorities and teachers.
- ROPA was highly centralized by MCB.

## CHAPTER FOUR

### SUMMARY, CONCLUSIONS, AND RECOMMENDATIONS

The purpose of this study was to assess the ROPA of teachers in Tigray Regional State, its management, acceptance by teachers and effectiveness of its implementation and its contribution towards effective educational goals. To this effect the study investigated different factors by using descriptive method, analysis of variation and goodness of fit.

In order to address the purpose of this study, basic questions were raised regarding the assessment of ROPA in the region. These were:

1. To what extent does ROPA focus on the overall picture of the school in creating awareness and acceptance by teachers and principals?
2. To what extent do appraisees and appraisers participate in setting objectives, standards and measurement criteria for the ROPA system?
3. To what extent are the requirements of performance standards used in ROPA?
4. How far do rater biases, misconceptions and discriminations affect ROPA?
5. To what extent is performance monitoring conducted to enable teachers to accept their evaluations?
6. To what extent are formal appeal mechanisms considered in the final results of ROPA for re-appraisal?
7. To what extent does ROPA contribute to effective educational goals?

The study was conducted by involving 52 principals, 10 assistant principals, 18 unit leaders, 74 department heads and 230 teachers. In general, 62 administrative personnel and 322 teachers were involved in the survey. Data were collected using questionnaire for the principals and teachers, and interview for 8 WEO heads. Both close and open ended items were used to get sufficient information leading to analysis. Moreover, documents available in TREB, RCBB, MCB, FSCA, Weredas and schools were considered as additional information sources. The data obtained were analyzed using descriptive statistics, ANOVA and chi-square.

Tables, graphs, and percentages were also used to present it in a more understandable manner. Packages such as MS-EXCEL, SPSS 12.0 for windows, and STATA 7.0 were used to facilitate analysis.

Based upon the analysis made the following summary of major findings were obtained:

#### **4.1 SUMMARY**

1. Concerning the overall picture of the school, 92.04% of the respondents agreed that there was annual school plan every year. However, 62.92% of the respondents reported that the annual plan was prepared by taking the WEO annual plan. While the remaining 37.08% of the respondents reported that either it was based on WEO plan sometimes or it was not using WEO plan at all. 43.41% of the respondents agreed that clearly stated school goals were prepared sometimes or not at all. , 58.18% of them responded that specific performance goals based on school goals existed sometimes or not all. Concerning discussions conducted between appraiser and appraisee to finalize performance measures of ROPA 82.96% of them responded it was conducted sometimes or not all. 54.96% of them agreed that annual work flow chart was prepared sometimes or not all. Finally, the extent of the knowledge they have on the ROPA system was found to be some or no knowledge about it.

2. The extent to which standards were set was also responded. Accordingly, 72.34% of the principals and 82.58% of the teachers agreed that pre-appraisal meetings were conducted sometimes or not at all. Discussions conducted on school objectives with appraiser/appraisee was responded as sometimes or not at all by 63.83% of the principals and by 70.65% of the teachers. 78.72% of the principals and 82.14% of the teachers agreed that the frequency of discussions conducted about standards used were sometimes or not at all. Concerning discussions conducted about the critical elements used in ROPA to reach at an agreement, 63.83% of the principals and 90% of the teachers responded that it was conducted sometimes or not at all. Similarly discussions conducted about

performance criteria to reach at an agreement were responded by 72.34% of the principals and 94.25% of the teachers as sometimes or not at all.

\*To sum up, the extent to which participation of appraiser and appraisee in discussions, in setting standards, objectives, critical elements, and performance criteria were found not to done consistently in all schools.

3. The extent to which requirements of performance standards were used in ROPA was assessed. As whether performance standards were fully related to professional responsibilities, 72.35% of the principals strongly agreed or agreed while 48.79% of the teachers strongly disagreed or disagreed. Using analysis of variance there was significant difference between principals and teachers at 1% significance level. Concerning whether performance standards measured accurately objectives set, 44.68% of the principals and 54.44% of the teachers strongly disagreed or disagreed. With regards to whether the measures used as performance standards could discriminate between good, average, and poor performances, 27.66% of the principals and 64.85% of the teachers strongly disagreed or disagreed. Concerning the convenience and practicability of the performance standards used, 34.04% of the principals and 58.72% of the teachers strongly disagreed or disagreed.

In an assessment conducted whether performance standards used in ROPA could give an opportunity to make good score, 48.94% of the principals and 65.74% of the teachers strongly disagreed or disagreed. Concerning the flexibility of performance standards with existing conditions, 55.32% of the principals and 65.16% of the teachers strongly disagreed or disagreed.

Concerning whether general measures (quality, quantity, timeliness, and cost-effectiveness) were used for each and specific elements, aggregately 75.37% of the principals and 56.43% of the teachers reported that general measures used for each and specific elements were not consistently used in all schools.

In general terms, the extent to which requirements of performance standards used in ROPA were found to be not reliable, irrelevant, biased, not practical, and can not discriminate between good, average, and poor performances.

4. Concerning rating errors, It was found that 89.36% of the principals and 95.77% of the teachers reported that there were such rating errors as strictness error, leniency error, central tendency error, Halo error, political group favor, gender discrimination, and from the same area of origin bias (nepotism).

5. Those who were involved in appraising performance of teachers were found to be Principals, Assistant Principals, Unit Leaders, Department Heads and Committee. In addition, others such as parents, students and school curriculum committee were found to be involved.

The major sources to find objective evidences for appraisals were found to be classroom observations, appraisers' daily record on teachers' performance, and students. An interest of the respondents by whom they wanted to be appraised was found that they preferred to be appraised by department heads, principals and unit leaders.

Concerning the objectivity of evidences obtained from different sources it was found that evidences obtained from peers, students, appraisers' daily record and staff personnel record file were favored by respondents.

Significant number of principals and teachers responded that classroom observations were not conducted. Frequencies of classroom visits were also found to be conducted once in a semester. The frequency of the classroom visits conducted once was found to be low to obtain objective evidences on teachers.

With regards to approaches to classroom visits it was found that mostly announced visits were conducted. The preference of classroom visits was also found to be announced visits by most of the respondents.

Concerning whether discussions were conducted on the findings after classroom observations significant number of principals and teachers responded that discussions were conducted sometimes.

With regards to whether the final results of ROPA conducted so far really described the respondents, 76.6% of the principals and 81.76% of the teachers agreed that the final results of ROPA do not really describe them. Post-appraisal meetings were conducted sometimes or not at all according to most of the principals and teachers. It was also found that the time of the post-appraisal meetings conducted were not fixed times.

In general, the extent to which performance monitoring was conducted to enable teachers to accept their evaluations were found to be low.

6. Concerning whether there existed re-appraisals in ROPA, it was found that there were no re-appraisals in ROPA. Appeal mechanisms were found to be low and final results cannot be changed by appeal. It was also found that there was no accountability in the ROPA system.

7. Since the introduction of ROPA, the changes observed towards the contribution of educational goals as compared to the situation before its introduction was found as follows:

- Motivation of teachers, motivation of administration, motivation of students, rate of drop-outs, rate of repeaters, results of national examination, school improvement and relationship with appraisers and Wereda staff were found to be rated as low.
- Co-curricular activities, number of students in a classroom, frequency of continuous assessment and the way or style of teaching, were found to be rated as high.
- Relationship with students was found to be medium.

8. Concerning participation in a training program about ROPA, it was found that 72.34% of the principals and only 28.35% of the teachers had participated in a training program. Concerning the duration of the training program, most of them had been trained for 1-3 days.

9. It was found that salary increment according to career structure of teachers was not given since the introduction of ROPA. In an open-ended item to respond why the salary increment was not given, the main reasons were forwarded as:

- There was no agreed upon operation, nor was there responsible body to ROPA.
- In assumption that ROPA was not properly implemented and no results were found.
- Any promotion was blocked by the government for reasons unknown to us.
- Limiting scores for evaluation by the authorities and thus denying promotion.
- It was not able to discriminate performance. And, because of, this massive pass made the government to stop the increment.
- The perception towards education and teachers by the government was low.
- ROPA was highly centralized by MCB.

## 4. 2 Conclusions

The findings of the study had led the researcher to the following conclusions:

1. The extent to which ROPA focuses on the overall picture of the school creating awareness and acceptance by teachers and principals was found to be low. However, to get good results an eight-process should be followed as discussed in the review of the related literature. The first step is to look at the overall picture of the school. As the findings indicated this first step was not conducted fully. Therefore, the improper implementation of ROPA started from lack of this step. Without annual school plans prepared based on WEO strategic plan, without knowing the school's general outcome goals and specific performance goals, without discussions to reach at an agreement, without work-flow charts and without the necessary knowledge of ROPA it might be very difficult and almost impossible to implement ROPA properly.
2. Without proper participation of appraiser and appraisee in discussions in setting standards, objectives, critical elements, and performance criteria it is not advisable to implement ROPA. Furthermore, without the proper implementation of performance requirements let alone to implement ROPA, which is advanced method of MBO, MBO even could not be implemented. Therefore, ROPA was not implemented properly in Tigray Regional state. And only the name ROPA was there without the necessary pre-requisites.
3. Concerning general measures (quality, quantity, timeliness, and cost-effectiveness), they were not practiced uniformly in all schools. In the eight steps which should be followed strictly to implement ROPA, this issue is in step 5. Without determining which general measure(s) are important and without determining how to measure them we cannot even think about ROPA. Therefore, ROPA lacks the usage of general measures which made it impractical to use it and in the region it was not exercised except its name.
4. In the traditional performance appraisal, one of its characteristics was rater-bias. To curb this problem non-traditional or modern way of performance appraisal, ROPA,

was introduced. However, in this study it was found that ROPA was subject to rating errors. Therefore, the traditional way of appraisal was being conducted in the Region and ROPA could not be successfully implemented.

5. Teachers preferred to be appraised by department heads, principals or unit leaders. The final results of ROPA did not really describe the appraisees. Post-appraisal meetings were not conducted in most cases to enable teachers to discuss on their performance. Therefore, teachers were not wholeheartedly working using ROPA. Immediate supervisors, department heads, were deprived of the authority of appraising teachers according to ROPA.
6. There was no re-appraisal in ROPA. And there were no clear appeal mechanisms. Furthermore, there was no accountability in ROPA. Therefore, democratic rights of teachers were violated in ROPA.
7. Concerning contributions of ROPA to effective educational goals compared to the traditional appraisal system, it can be concluded based on the findings that:
  - ROPA didn't register the anticipated improvements on motivation of teachers, administrative personnel and students.
  - The outcomes intended to be achieved by it were either worsened or had been as they were before its introduction except in few cases.
  - As a result of its introduction, however, rate of repeaters, dropouts and continuous assessments of students showed improvements. This shows that if implemented properly it could make radical changes in the education sector.
8. ✓ Concerning training programs, the introduction of ROPA in the Region was not assisted by organized training. Therefore, without sufficient training ROPA might never succeed to accomplish its target. Concerning salary increment, it was found that salary was not increased based on the career structure of teachers after the introduction of ROPA. Therefore, the government introduced ROPA without anticipating its consequences and seems to be confused about what ROPA is.

✓  
9. From the open-ended questions to identify major problems of ROPA and interview conducted with WEO heads and from observations and documents, the following major conclusions are made:

- ROPA formats were uniform for all schools in Weredas. This contradicts the principle of ROPA, in that formats should be discussed, agreed upon and prepared at school level. Therefore, this greatly hampered ROPA very far from success.
- Final scores of appraisals were limited by the WEOs. This contradicts the rule of the game and might seem deliberate to hamper ROPA and to declare as if no results were registered. And this issue transformed the already ill ROPA to coma.
- Those who have sufficient knowledge about ROPA in the Region were very limited and were not ready to multiply their knowledge.

### 4.3 Recommendation

Based on the evidence obtained from the review of related literature and the results obtained in this study, the following recommendations are made:

#### 1. The Overall Picture of the School

In ROPA, all agencies are required to develop a strategic plan that includes objective, quantifiable, and measurable performance goals. The strategic plan is referred while creating employee performance plans. Therefore, it is recommended that:

- Schools should begin the process of ROPA by looking at their goals and objectives. They should identify their general outcome goals outlined in the strategic plan of the WEO and based on it should prepare their annual plan. They should identify specific performance goals established for their school program area as outlined in the school performance plan; and should know their customer service standards.
- Sufficient knowledge on ROPA can be attained in incremental manner. Hence, schools should arrange workshops, discussions and encourage action research to be conducted on ROPA in the school to equip teachers with sufficient knowledge.

#### 2. Setting Standards ✓

In MBO, the objective-setting process requires a high degree of participation and collaboration among various levels of the organization. The more one understands the overall goals and objectives; the better will be one's understanding of his or her role in the total organization. Therefore, it is recommended that:

- Accomplishments should be determined at department level in schools. Department heads also should supervise it.
- To determine what to measure, departments must use goal-cascading method, customer-focused method or work-flow charting method depending on what fits the situation.

- Teachers should participate highly in setting objectives, standards, and measurement criteria.
- Critical elements must address individual performance only. Hence, before setting critical elements department heads or principals along with the individual teacher should make sure that whether the element is a major component of the work, whether it addresses individual performance only and whether it requires significant amount of the employee's time.

### 3. Performance Requirements

Most formal performance management systems require that individuals or groups have clear performance requirements or targets linked to higher level objectives. Therefore, it is recommended that:

- Performance requirements should always be strictly linked with professional duties of the teacher and the department. Department heads should agree upon them along with their department members.
- Performance requirements should be flexible to existing conditions of the school concerning time, availability of resources, and other situations which govern the school.
- General and specific measures should be agreed upon between department heads and teachers beforehand.
- In general, performance requirements should be based on 1. Output-related requirements, 2. Job-related requirements and 3. Person-related requirements.

### 4. Rating Errors

The traditional performance evaluation methods each have problems and potential rating errors. The major rating errors can be technical in the form of poor reliability, poor validity, little practicality or rater misuses. Therefore, the researcher recommends that:

- Schools should identify work unit (departments) accomplishments to identify appropriate measures.
- Each dimension should address a single job activity rather than a group of activities which eventually should be changed to accomplishments.

- Schools should make performance elements either quantifiable or verifiable and should be described as accomplishments not activities.
- Schools should measure an accomplishment with numbers, record the form of measurement. If performance can only be described (i.e., observe and verify), they should clarify who will appraise the performance and the factors they will appraise.
- Schools should avoid absolute retention standards (i.e., allow for no error) such as always, all, never, etc.
- The rater does not have to evaluate large groups of teachers. Fatigue and difficulty in discriminating among ratees becomes major problem when large groups of teachers are evaluated. Hence department heads should rate their respective teachers.
- Performance appraisal formats that attempt to minimize rating errors should be used by schools. Hence, the existing formats should be revised by the participation of TREB, RCBB, and teachers and their associations to simplify it.
- To minimize the rating errors, TREB and RCBB should agree to convert the final raw scores of ROPA to standard scores. Because, standard scores will minimize the rating errors since the mean and standard deviations of each school will be sent along with the results of performance appraisal of teachers to WEO, and standard score will be computed for all schools in the wereda and eventually of the region. This will help all teachers to be rated in an almost equal scale.

## 5. Performance Monitoring

Monitoring performance means measuring performance and providing feedback to employees. One or more progress reviews during each appraisal period is vital for the success of performance appraisal. In this context the researcher recommends the following:

- Objective evidence should be collected from peers, students, and appraisers' daily record and staff personnel record file as preferred by teachers in the study.
- Announced classroom visits should be conducted at least twice in a semester and immediately after each classroom visit the strong and weak points obtained should be discussed to help teachers to know the status of their performance.

- Department and school level pre-appraisal and post-appraisal meetings should be conducted after the end of each semester.
- Effective and timely feedback should be given related to specific goals such as those established in elements and standards. This enables to providing tangible, objective, and powerful feedback. Feedback should be given in a manner that will best help improve performance. It should be expressed in a positive manner; because constant criticism falls upon deaf ears.

## 6. Appeal Mechanisms

Regarding handling grievances, all managers and supervisors have an important role to play, for one of the key features of every effective grievance procedure is that it should aim to settle the grievances as near as possible to the point of the origin. Therefore, the researcher recommends that the regulation endorsed by the regional government on how to handle grievances and appeal mechanisms for civil servants should also be operational in the case of teachers. TREB should work to aware teachers that they have the right to appeal according to the regulation. And this will help to create accountability.

## 7. Contribution to Effective Educational goals

Performance appraisal processes and procedures accomplish two broad and several specific purposes. The two broad purposes are Judgmental and Developmental as discussed in the review of the related literature. Therefore, it is recommended that:

- ROPA should focus on administrative, performance improvement and research categories and not only on administrative matters. Hence, TREB should give due attention to developmental matters and should start to exercise them.
- TREB and the Regional Government should design a mechanism to motivate teachers and principals by addressing motivating factors such as growth and development and hygiene factors such as fringe benefits and salaries.
- It was found in the study that results registered in National Examinations were rated as low. But, this issue is critical element for schools, WEO, and TREB. Hence, TREB, WEO, schools and stakeholders should deliberate on this issue consciously, by conducting a study, to reach at a consensus on the main

reasons for the failure and agree on a workable solution. Concerning this issue, teachers should see this problem critically and should be at the forefront to solve the problem by exerting maximum effort to succeed and improve the pass rate.

- Schools should work to improve the relationship of students and teachers. Teachers should create good relationships with their students by discussing with them since this issue is their duty.
- Rate of drop-outs, rate of repeaters, frequency of continuous assessment, emphasis on co-curricular activities and the style or way of teaching should be sustained and TREB should recognize these improvements and communicate with teachers and parents.
- Motivation of teachers, administration and students, Improvement on school environment, relationships with appraisers and WEO staff should be addressed further by recognizing the real problems and sustainable solution should be found.

#### 8. General Recommendations

- Trainings on ROPA, on minimizing rating errors and performance monitoring should be organized by TREB in collaboration with RCBB for principals, department heads and teachers by incorporating the necessary financial and material resources in their annual plan. The trainings should not be a one shot but an on-going one; and the duration of the training session should be not less than a week.
- Performances should be rewarded. The discontinuity of career structure of teachers affected their motivation since they were deprived of promotion and growth. They were also dissatisfied since they didn't get their respective salaries. So, the Regional Government should be highly committed to respond timely on issues of ROPA. The Federal Government should also respect the decentralization of the Region to decide on matters of civil servants under its jurisdiction.
- To implement ROPA high commitment in terms of time and resources are needed. So, the Regional Government should be committed to implement it

along with stakeholders. It should anticipate the necessary financial and material expenses needed to implement ROPA.

- The Regional Government should be committed to bring back ROPA to its proper rail, otherwise it should revise it to use other methods of performance appraisal by consulting teachers and stakeholders.
- TRTA should also strike the balance to protect the rights of its member teachers by creating pressure on TREB and WEOs, otherwise should pave the way of due process of law and should make sure that justice prevails.
- This research may shade light to the problems of ROPA encountered and is recommended that it could serve as a provocation to conduct further researches on this issue.
- In particular, the researcher recommends a study to be conducted on standard score to minimize rating errors and convince authorities to shift from using raw scores to standard scores concerning performance appraisal scores.

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**School of Graduate Studies**  
**Department of Educational Planning and Management**

**Questionnaire on the Assessment of Result Oriented Performance Appraisal  
(ROPA) of teachers in Tigray Regional State.**

**Dear Respondent,**

- A. The purpose of this questionnaire is to collect information about the design and effectiveness of ROPA system of teachers in your school.
- B. The trustworthiness of the study is based upon the validity and reliability of the information you provide.
- C. You do not need to write your name
- D. The information you give will be kept strictly confidential.

**Thank you in advance for your cooperation.**

**Direction:**

- A. Please put a check mark (x) or write answers in brief where necessary.
- B. Please give only one answer to each item unless you are requested to do otherwise.

**PART I Biographical Information**

- 1. Age (in years).
  - A. 20 -30 [ ]
  - B. 31- 40 [ ]
  - C. 41-50 [ ]
  - D. 51 and above [ ]
- 2. Sex: A. Male [ ] B. Female [ ]
- 3. Present Post
  - A. Principal [ ]
  - B. Assistant Principal [ ]
  - C. Unit Leader [ ]
  - D. Department Head [ ]
  - E. Teacher [ ]
- 4. Number of years service at your present post?
  - A. 1-5 years [ ]
  - B. 6-10 years [ ]
  - C. 11-15 years [ ]
  - D. 16 years and above [ ]
- 5. Academic qualification
  - A. TTI graduate [ ]
  - B. Diploma 12+2/10+3 [ ]
  - C. B.A/B.SC [ ]
  - D. M.A/M.SC [ ]
- 6. Marital status
  - A. Married [ ]
  - B. Single [ ]
  - C. Divorced [ ]
  - D. Widowed [ ]

**PART II Overall Picture of the School**

- 1. Do you have school plan for every academic year?
  - A. Yes [ ]
  - B. No [ ]
  - C. I don't know [ ]
- 2. If your answer to item 1 is 'YES', how often is the annual plan prepared based on wereda education office plan?
  - A. Always [ ]
  - B. Sometimes [ ]
  - C. Not at all [ ]
- 3. How often do you have clearly stated school goals?
  - A. Always [ ]
  - B. Sometimes [ ]
  - C. Not at all [ ]
- 4. How often do you establish specific performance goals based on the school goals?
  - A. Always [ ]
  - B. Sometimes [ ]
  - C. Not at all [ ]

5. How often do you discuss with appraiser /appraisee to finalize performance measures of the ROPA?

- A. Always [ ]      B. Sometimes [ ]      C. Not at all [ ]

6. How often do you have an annual work flow-chart developed by your school?

- A. Always [ ]      B. Sometimes [ ]      C. Not at all [ ]

7. In your opinion, how frequent do you think that you know what ROPA system is?

- A. Always [ ]      B. Sometimes [ ]      C. Not at all [ ]

### **PART III Setting Standards**

8. How frequent does the school arrange pre-appraisal meetings for appraiser(s) and teachers to discuss the appraisal process?

- A. Always [ ]      B. Sometimes [ ]      C. Not at all [ ]

9. How often do you discuss with your appraiser /appraisee on school objectives?

- A. Always [ ]      B. Sometimes [ ]      C. Not at all [ ]

10. How often do you discuss with your appraiser /appraisee about the standards used?

- A. Always [ ]      B. Sometimes [ ]      C. Not at all [ ]

11. How often do you discuss to reach at an agreement about the critical elements used in ROPA?

- A. Always [ ]      B. Sometimes [ ]      C. Not at all [ ]

12. How often do you discuss to reach at an agreement about the performance measures criteria used?

- A. Always [ ]      B. Sometimes [ ]      C. Not at all [ ]

### **PART IV Requirement of Performance Standards**

13. According to your opinion, the measures used as performance standards:

	<u>Strongly</u> <u>Agree</u>	<u>Agree</u>	<u>No</u> <u>Opinion</u>	<u>Disagree</u>	<u>Strongly</u> <u>Disagree</u>
A. Are fully related to your professional responsibilities	[ ]	[ ]	[ ]	[ ]	[ ]
B. Can accurately measure the objectives set	[ ]	[ ]	[ ]	[ ]	[ ]
C. Can discriminate between good, average and poor	[ ]	[ ]	[ ]	[ ]	[ ]
D. Are reasonably convenient and practical	[ ]	[ ]	[ ]	[ ]	[ ]
E. Can give you an opportunity to make good score	[ ]	[ ]	[ ]	[ ]	[ ]
F. Are flexible with existing conditions	[ ]	[ ]	[ ]	[ ]	[ ]

14. To what extent are quality (how well?) measures being used for each element?  
 A. Very High [ ] B. High [ ] C. medium [ ] D. Low [ ] E. Very Low [ ]
15. To what extent is there specific measure for quality for each element?  
 A. Very High [ ] B. High [ ] C. medium [ ] D. Low [ ] E. Very Low [ ]
16. To what extent are quantity (how much?) measures being used for each element?  
 A. Very High [ ] B. High [ ] C. medium [ ] D. Low [ ] E. Very Low [ ]
17. To what extent is there specific measure for quantity for each element?  
 A. Very High [ ] B. High [ ] C. medium [ ] D. Low [ ] E. Very Low [ ]
18. To what extent are timeliness measures being used for each element?  
 A. Very High [ ] B. High [ ] C. medium [ ] D. Low [ ] E. Very Low [ ]
19. To what extent is there specific measure for timeliness for each element?  
 A. Very High [ ] B. High [ ] C. medium [ ] D. Low [ ] E. Very Low [ ]
20. To what extent are cost-effectiveness measures being used for each element?  
 A. Very High [ ] B. High [ ] C. medium [ ] D. Low [ ] E. Very Low [ ]
21. To what extent is there specific measure for cost-effectiveness for each element?  
 A. Very High [ ] B. High [ ] C. medium [ ] D. Low [ ] E. Very Low [ ]

**PART V Rater Bias**

22. In your opinion, are there rating errors in ROPA?  
 a. Yes [ ] B. No [ ]
23. If your answer to item 22 is 'Yes', answer the following items.

	<u>Very High</u>	<u>High</u>	<u>Medium</u>	<u>Low</u>	<u>Very Low</u>
A. The degree of being <u>strict</u> in appraisals is	[ ]	[ ]	[ ]	[ ]	[ ]
B. The degree of being <u>lenient</u> in appraisal is	[ ]	[ ]	[ ]	[ ]	[ ]
C. The degree of giving <u>middle of the scale</u> is	[ ]	[ ]	[ ]	[ ]	[ ]
D. The degree of giving final <u>high</u> or <u>low</u> results based on being good or poor in <u>one element</u> is	[ ]	[ ]	[ ]	[ ]	[ ]
E. The degree of <u>friendship</u> influence with appraisers	[ ]	[ ]	[ ]	[ ]	[ ]
F. The degree of <u>political group</u> favor	[ ]	[ ]	[ ]	[ ]	[ ]
G. The degree of <u>gender</u> discrimination	[ ]	[ ]	[ ]	[ ]	[ ]
H. The degree of being from the <u>same area of origin</u> favor	[ ]	[ ]	[ ]	[ ]	[ ]



A. Announced [ ]      B. Unannounced [ ]

C. Both announced and unannounced [ ]

32. In your opinion, which of the following approaches of classroom visits do you prefer?

A. Announced [ ]      B. Unannounced [ ]

C. Both announced and unannounced [ ]

33., How often do you discuss on the findings after the classroom observations are conducted?

A. Always [ ]      B. Sometimes [ ]      C. Not at all [ ]

34. In the ROPA system conducted so far, do you think that the final appraisal results can really describe you?

A. Yes [ ]      B. No [ ]

35. How often do post-appraisal meetings take place to discuss appraisal results?

A. Always [ ]      B. Sometimes [ ]      C. Not at all [ ]

36. When do post-appraisal meetings take place?

A. Immediately after semester appraisal [ ]

B. After many days or weeks of appraisal [ ]

C. When teachers request for them [ ]

D. When the appraiser feels appropriate [ ]

E. There is no post-appraisal meeting [ ]

### **PART VII Appeal Mechanisms**

37. If you feel that you are not satisfied with the final results of ROPA, is there a mechanism of re-appraisal?

A. Yes [ ]      B. No [ ]

38. If your answer to item 37 is 'Yes', answer the following questions.

	<u>Yes</u>	<u>No</u>
A. Is there a school grievance hearing committee?	[ ]	[ ]
B. Is there Wereda grievance hearing committee?	[ ]	[ ]
C. Can final results be changed by appeal?	[ ]	[ ]
D. Can you appeal to Civil Service Commission?	[ ]	[ ]
E. Do you think there is accountability?	[ ]	[ ]

**PART VIII Contribution to Educational Goals**

39. Since the introduction of ROPA, what changes have you observed compared to the situation before its introduction?

	<u>Very High</u>	<u>High</u>	<u>Medium</u>	<u>Low</u>	<u>Very Low</u>
Motivation of teachers	[ ]	[ ]	[ ]	[ ]	[ ]
Motivation of administrators	[ ]	[ ]	[ ]	[ ]	[ ]
Relationship with students	[ ]	[ ]	[ ]	[ ]	[ ]
Students motivation	[ ]	[ ]	[ ]	[ ]	[ ]
Emphasis on co-curricular activities	[ ]	[ ]	[ ]	[ ]	[ ]
Number of students in a classroom	[ ]	[ ]	[ ]	[ ]	[ ]
Frequency of continuous assessment	[ ]	[ ]	[ ]	[ ]	[ ]
The way or style of teaching	[ ]	[ ]	[ ]	[ ]	[ ]
Rate of drop-outs	[ ]	[ ]	[ ]	[ ]	[ ]
Rate of repeaters	[ ]	[ ]	[ ]	[ ]	[ ]
Results of National Exams	[ ]	[ ]	[ ]	[ ]	[ ]
Improvements on school environment	[ ]	[ ]	[ ]	[ ]	[ ]
Relationship with appraisers	[ ]	[ ]	[ ]	[ ]	[ ]
Relationship with Wereda staff	[ ]	[ ]	[ ]	[ ]	[ ]

**General**

1. Have you participated in a training program on ROPA?  
A. Yes [ ]      B. No [ ]
2. If your answer to item 1 is "Yes", for how long did you participate in the training program?  
A. 1-3 days      C. 8-14 days  
B. 4-7 days      D. more than 2 weeks
3. Have you got salary increment according to career structure of teachers since the introduction of ROPA?  
A. Yes [ ]      B. No [ ]
4. If your answer to item 3 is "No", would you please state the reason briefly?

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5. If you believe that there are problems in ROPA implementation, would you please write the major problems?

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6. What do you suggest are the solutions to the problems you listed in item 5?

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7. Any other comments or suggestions you would like to write about ROPA?

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Thank You Again