



Performance Appraisal and Its Impact on Employee Performance:
Case of the Auditor General of Botswana

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By

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Statement of Declaration

The work contained in this Dissertation was completed by Phatsimo Seoleseng at the University of Botswana in 2019. It is original work except where due reference is made and neither has been nor will be submitted for the award of any other University.

Signed: 

Date: 04.07.19

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Dedication

In loving memory of my parents, Mr and Mrs Seoleseng Gwapela. I dedicate this humble work to them. From an early age, they instilled in me the desire to learn and made sacrifices so I could have access to education. Without their support and guidance, I would have not been where I am today. May their souls rest in eternal peace.

Abstract

Performance appraisal has emerged in today's work environment as an important, strategic and valuable tool for most organisations. It is to this effect that this research focuses on performance appraisal and its impact on employee performance from the view of employees at the Office of the Auditor General. The study was guided by a cross-sectional case study design. The research embraced a mixed methods research approach underpinned by the pragmatism paradigm. The study targeted 150 employees, across the various units of the organisation- Central Government Audit, Local Government Audit, Information and Technology Audit, Performance/Parastatal Audit and (Others) Unit. A Simple Random Sampling Technique was used to select the 150 participants.

The research instruments used for data collection were the questionnaire and interview agenda schedule. Descriptive analysis and inferential statistics in the form of regression analysis were used for data analysis. The results of this empirical study indicated that Managing and Reviewing Performance Appraisal, Developing and Planning Performance Appraisal and Rewarding Performance are significantly and positively related to Employee Performance. A well-coordinated and strategically inclined performance appraisal system or strategy thus, creates a platform for employee engagement, motivation, feedback and productivity.

Key Words: Performance Appraisal, Employee Performance, Office of the Auditor General and Botswana

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Glossary/List of Acronyms

APPs-Annual Performance Plans

BSC-Balanced Score Card

CT-Control Theory

ET-Expectancy Theory

GST-Goal Setting Theory

KMO- Keiser-Meyer-Olkin

KPIs-Key Result Indicators

MBO-Management by Objectives

NDP-National Development Bank

OAG-Office of the Auditor General

PBRS-Performance Based Reward System

PDPs- Performance and Development Plan and Review Documents

PMS-Performance Management System

QUAL-Qualitative

QUAN-Quantitative

UB- University of Botswana

WITS-Work Improvement Teams

Chapter 1: Introduction

1.0. Introduction

Does performance appraisal really affect employee performance? According to extant literature on the topic and area of study, the phenomenon of performance appraisal has emerged in today's work environment as an important, strategic and valuable tool for most organisations. It is to this effect that this research focuses on the "Performance Appraisal and its impact on Employee Performance at the Office of the Auditor General of Botswana". This study was guided by a cross-sectional case study design. The research embraced a mixed methods research approach underpinned by the pragmatism paradigm and targeted one hundred and fifty (150) employees, across the various units of the organisation- i.e. Central Government Audit, Local Government Audit, Information and Technology Audit, Performance/Parastatal Audit and (Others) Unit. The 150 participants were selected using a Simple Random Sampling Technique.

Chapter 1 introduces the concept of performance appraisal and the rest of the chapter is as follows; sub-section 1.1 covers the study background, while the problem statement follows as sub-section 1.2. A brief review of the literature follows as sub-section 1.3, followed by Vroom's Expectancy Theory as sub section 1.3.1. The Goal setting and Control Theories follow as sub-sections 1.3.2 and 1.3.3 respectively. The Research/Conceptual framework follows this, under sub-section 1.4. Key research questions, research objectives and research hypotheses follow as sub-sections 1.5, 1.6 and 1.7 respectively, followed by significance of the study and scope and limitation of the study as sub sections 1.8 and 1.9 respectively. 1.10 is the definition of terms, while subsections 1.11 is the structure of the dissertation ending with the conclusion wrapping up the chapter.

1.1. Background to the Study

Public sector institutions throughout the world have undergone various reforms since the end of World War II, in order to bring about positive change. The urgency of such reforms was a result of numerous concerns around cost effectiveness, efficiency, accountability, better performance management and, ultimately, service delivery (Lufunyo, 2013). As such, managing performance became one of the key drivers to reform the public sector in recent years and one of the central planks of the “reinventing government” movement (Holzer & Kloby, 2005:591; Greling, 2005:533). This trend influenced a paradigm shift from the traditional Weberian bureaucratic model of public administration to a results-oriented New Public Management (NPM).

According to (Polidano, 2001:44), the wave of public sector reform started in western countries like United States, Britain, Australia, Canada, and New Zealand during the late 1970s. British was the first country to initiate privatisation of public enterprises hence to take a lead to the adoption of New Public Management (NPM). The United States followed by synthesising public administration and private business management. Thereafter, was the so-called state under control model in New Zealand and the Canadian alternate service delivery framework (Puttaswamy, 2014).

NPM was premised on corporatisation of the public sector involving different management concepts, such as performance appraisal; accountability, managerialism; market orientation; responsiveness; innovation; decentralisation; contracting out; quality improvement; cost cutting; debureaucratisation; downsizing and flexibility are all in this line (Haque, 2004). Rather than focusing on controlling bureaucracies and delivering services, public managers were to respond to the desires of ordinary citizens and politicians were to be the

entrepreneurs of a new, leaner, and increasingly privatised government (Denhardt & Denhardt, 2000:549 as cited in Hope, 2001).

Similarly, public sector in Africa witnessed great change in early 1990s. Gumede and Dipholo (2014) affirm that, this was principally because most governments were ensnared in huge debts, operational inefficiency, and ineffectiveness in service delivery including lack of accountability from political elites and public servants. This inefficiency was often blamed on bloated democracy, red tape, inertia, mismanagement of financial resources and outright incompetence (Mothusi & Dipholo, 2008). As such, (Tangri, 1991) indicates that, a consensus emerged that Africa's state owned sector has performed poorly.

Due to the foregoing, many developing countries followed a similar trajectory of approaches and reforms to those in more advanced countries through broader governance agendas supported by aid donors (McCourt, 2013). For instance, corporatisation appears to be going on at an increasingly rapid pace, even as an earlier generation of state-owned enterprises, it has been placed on the auctioneer's block (Polidano, 1999). However, in developing countries these reforms came in the form of Structural Adjustment Program (SAPs) that were initiated by the World Bank and International Monetary Fund (IMF) as a response to the economic crisis they faced at the time (Corkery & Land, 1997).

Although, Africa accepted the terms specified by these agencies, the implementation is still challenging, not only in Africa but also in some other developing countries. The privatisation policy for instance, has brought flexible labor relations, civil service reform caused retrenchments, and outsourcing as well has led to unstable work pay and job insecurity (Marobela, 2008). Similarly, NPM recognises the importance of linking promotions of public servants to their performances but this has not been the case. Moreover, countries like Zambia; Jamaica; Honduras; Panama; and Philippines who are keen in implementing NPM

have not fully succeeded yet due to lack of infrastructure; lack of experience in operating market; and lack of managerial capacity (Puttaswamy, 2014). Furthermore, lack of sense of ownership; lack of political will; weak capacity to carry out the reforms and coercive conditionality tied to governance reforms have indeed put African countries in difficult situation (Kajibwa, 2013).

In this regard, performance management reforms were introduced in the African public service with the intentions of monitoring, reviewing, assessing performance, developing underperformers, and recognising and rewarding good performance. This resulted in a significant increase in the use of performance management systems in the public sector internationally (Bouckaert and van Dooren, 2003). Thus, today more attention, time and money is spent on performance measurement and evaluation more than ever before in the public sector (Pollitt & Bouchaert, 2004; Alam & Hoque, 2010). Botswana is no exception to the trend. Over the years, the country has launched a number of reforms, amongst them performance appraisal system in the public service as a drive to enhance productivity (Hope, 1997; Ayeni, 2001).

1.1.1 Public Sector Reforms in Botswana

The quest for productivity improvement in Botswana dates back to 1966 when the country attained its independence (Hope, 2001). On the other hand, public sector reforms gained increased attention over the last two decades, with several policies and strategies devised to implement them. (Mothusi, 2008). The reforms manifested through various macro-level initiatives undertaken by government, including decentralisation, creation of institutions such as the Ombudsman, Directorate on Corruption and Economic Crime (DCEC) and the Public Enterprises Evaluation and Privatisation Agency (PEEPA).

At the micro-level, the Government introduced a number of reforms such as, Organisation and Methods (O&M) reviews, Job Evaluation, Parallel Progression, Work Improvement Teams (WITS) and the newly introduced Performance Management Systems (PMS) to address human resources and organisational structure problems (Nyamunga, 2006). However, these efforts did not create much impact because they were not holistic in approach hence, have been controversial and contested. The 'parallel progression like 'job evaluation' caused a lot of disquiet in the public service , resulting in wave of strikes by teachers as a sequel to the inequalities in salaries caused by the reforms (Marobela, 2008) .

In this regard, the government started introducing new reforms modelled around the NPM. A government report (Republic of Botswana, 2000a, b) identified four new interrelated reforms that, are now being implemented throughout the Botswana civil service. Such reforms include; performance management system, decentralisation, human resource development and computerisation of personnel management systems. In addition, these are accompanied by the privatisation policy that sought to corporatise and commercialise government activities. The privatisation policy is a general framework from which the current reforms that are radically changing the public sector are unfolding. Thus, NPM reforms aimed at creating management structures and institutional mechanisms within government that enhance the capacity and capability for effective policy management and successful implementation (Marobela, 2008). Therefore, new reforms are viewed as incremental since they build on previous productivity initiatives.

One such management reform currently implemented by the government in the entire public sector, ranging from all government ministries and departments is the Performance Management System (Marobela, 2007). Nkhwa (2003) explains that PMS as a reform initiative was introduced into the public service to facilitate delivery of the national vision

goals. The reform is driven by a Performance Management System strategy. The objectives of PMS are;

- to provide a planning and change management framework that is linked to the National Development Plan and budgetary process; enhance the capacity of the Government to achieve the desired level of socio-economic governance;
- improve the performance capacity of public officers; and
- focus the efforts of the Public Service towards the achievement of the national vision goals.

Dzimhiri (2008) concurs that, PMS is based on the principle of management by agreement or contract rather than on management by command. It emphasises the development and initiation of self-managed learning process plans as well as the integration of individual and corporate objectives. According to the Botswana PMS Philosophy Document, (2002), the implementation of the PMS brought with it the realisation that service delivery is at the core of Government development efforts. The objectives of the PMS were to:

- Improve individual and organisation performance in a systematic and sustainable way
- Provide a planning and change management framework which is linked to budgeting and funding process
- Enhance government capacity and;
- Inculcate the culture of performance and accountability to manage at higher levels of productivity to provide efficient service delivery.

However, an organisation's Performance Management System is not just about annual reviews and bonuses, as it is essential to implementing the organisation's corporate strategy. Thus, the PMS is driven by the Balanced Score Card (BSC) Strategy which is the appraisal

system adopted by the OAG. The Balanced Score Card is a framework developed by Robert Kaplan and David Norton and presented in the Harvard Business Review in 1992. According to (Kaplan & Norton; 1996), the Balanced Score Card translates an organisation's mission and strategy into a comprehensive set of performance measures that provides the framework for a strategic measurement and management system. The Balanced Score Card is a widely used management framework for the measurement of organisational performance (Zairi & Shahin, 2010). Through the BSC, the organisation monitors both its current performance and its efforts to improve processes, motivate and educate employees and enhance information systems (that is its ability to learn and improve). Thus, it explicates financial and non-financial measures as a platform for an effective PMS.

The current study was conducted at the Office of the Auditor General of Botswana in the country's capital city, Gaborone. The Office of the Auditor General has been established under Section 124 of the Constitution of Botswana as the Supreme Audit Institution of this country, which. The OAG is therefore, mandated by the Constitution of Botswana under Section 124, and the Public Audit Act (2012), Section 7(2) to audit public accounts of ministries, local authorities and parastatal organisations. The primary role of the Auditor General is to oversee the management of public funds and the quality and credibility of Government reported financial data. Thus, it ensures that there is accountability by the executive to the legislature in the use of public resources entrusted to them.

According to the Botswana PMS Philosophy Document (2002), every Ministry or Department develops and have comprehensive vision and mission statements, clear strategic plans with achievable goals and objectives, key performance and results areas, set standards and objective strategic measures. In other words, the OAG follows a very clear program of action with all the necessary components including among others; resources, training and

other external factors. Performance appraisal at the OAG is therefore, by way of a Balanced Score Card. The office formulates strategic plans with vision and mission statements, key result areas, goals, objectives and values. These strategic plans serve as a road map that is simply meant for achievement of organisational goals and objectives.

Despite, a lot of time and resources spent on the productivity movement, work improvement teams and performance management system, not much has been realised in terms of winning the commitment and motivation of workers. (Marobela, 2008). Therefore, this study attempts to assess one component of performance management, which is the performance appraisal in order to evaluate its impact on employee performance from the view of employees at the OAG.

1.2 Problem Statement

Performance appraisal has emerged in today's work environment as an important, strategic and valuable tool for most organisations. Performance appraisal is a system within performance management that enhances and enables the performance management process to deliver the results effectively. Shehu (2008) defines performance appraisal as an essential instrument of personnel management designed to identify an individual employee's current level of job performance, identify employee strengths and weaknesses in order to enable employees improve their performance. It also provides a basis for rewarding or penalising employees in relation to the contribution or lack of adequate contribution to corporate goals. Shehu (2008) further contends that performance appraisal motivates higher performance, identify training and development needs, identify potential performance, provide information for succession planning, validate selection process and training and encourage supervisory understanding of subordinates. As such, performance appraisal systems are a key tool to

holding civil servants accountable, and should be considered as a key variable of the larger performance management equation as postulated by (Rubin,2011).

The Office of the Auditor General as well requires an effective performance appraisal system in order to manage the performance of its employees, which is geared towards the achievement of the organisational goals. The focus of this research therefore, is to determine the impact of performance appraisal on employee performance at the Office of the Auditor General from the view of employees. The Office of the Auditor General as a public office conducts performance appraisals as a way of addressing the inefficiencies and inadequacies of the public service in rendering its services to the public as noted by previous research. Authors in this regard substantiated that, “the Government of Botswana introduced the Performance Management System (PMS) as a response to the inefficiencies and under-performance of the public service which was also viewed as having little regard for the interest of the public regarding service delivery”, (Dzimhiri, 2008, pp. 47-48). Though, there was no single study conducted on performance appraisal at the OAG, few studies conducted on performance appraisal in Botswana indicated that there were some inadequacies, misconceptions and inefficiencies regarding performance appraisal systems of some organisations both from the private and public sector in Botswana.

In a case study of Botswana on, ‘Best practices on public service delivery and their replicability’, (Nyamunga, 2006) noted that, reform initiatives in Botswana Public Service came as a result of pressure from citizens about poor state of service delivery by the government. He further asserted that notable areas of deficiency included wastage of resources through inefficient management; lack of proper planning; inadequate operational plans at ministry level; and inward looking service delivery programmes, which did not consider customer needs.

Tadarera and Migiro (2010) also conducted a study on 'Evaluating the performance appraisal system at the Bank of Botswana' of which the empirical results indicated that there was lack of consistency in the bank's appraisal system, ineffectiveness of the system in meeting the bank's objectives as well as non-provision of continuous feedback to employees on their performance. In another study, 'Teacher Appraisal in Botswana Secondary Schools', (Monyatsi, Steyn & Mamper; 2006), found that the appraisal system in Botswana secondary schools required further improvement to ensure general professional acceptance and implementation. The researcher is therefore, of the view that the findings of these previous studies cannot be confined to the borders of these institutions. Therefore, it calls for further investigations on the performance appraisal of such institutions as the OAG.

Additionally, the Customer Satisfaction Survey Final Report Presentation, (2013, June) conducted by the National Strategy Office (NSO) in consultation with Government Ministries on the comparison of customer satisfaction on specific services (2009 versus 2013), reflected a decline from 55% to 40% in delivery of Audit Services. Moreover, the Public Accounts Committee (PAC) and Local Authorities Public Accounts Committee (LAPAC) have expressed in their various sittings dissatisfaction with the report in terms of timeliness and quality of the content of the report. These are the two bodies where the Auditor General's Report is discussed and respective Ministries account for public resources entrusted to them.

Although the constitutional deadline for the Auditor General's Report is December, areas of regression have been noted, as the Office had not been able to meet the deadlines for the past three consecutive years. According to the OAG Annual Performance Reports of 2015, 2016 and 2017, the Report was released in June, July and April respectively. Regarding the quality of the reports, the public in various forums has decried repeated reporting on the same issues;

such as retirement of imprests and telephone bills without reflecting on broader performance issues of respective ministries that affect the economy of the country.

Moreover, the effectiveness and objectivity of performance appraisal at the OAG has been a recurring issue in the Organisation's Annual General Meetings and performance awards ceremonies. Employees have observed that goal setting does not happen at the beginning of the year as it is supposed to be, but rather at a later stage when incentives such as promotions, awards and further training are due for pay out. To this effect, the credibility of the system remains questionable. Since there was no single study conducted on performance appraisal at the OAG and owing to the above indications regarding the performance of the Office, there is need to interrogate the performance appraisal system and or metrics of the OAG to determine its effect on employee performance.

The study therefore, investigates employees' subjective views on the impact of performance appraisal on employee performance, assesses employees' perception of the existing performance appraisal system, explore the effectiveness of the appraisal system and where possible develop some recommendations to OAG Management to improve the organisation's performance appraisal system.

1.3. Brief Literature Review

As the literature on performance appraisal has grown over the years, so has its definition by different scholars and researchers. Seniwoliba (2014) defines staff performance appraisal as a critical tool in the management of human resource for achievement of an organisation's goals and objectives if properly and adequately administered. Similarly, organisational performance and its resultant efficiency and effectiveness can only be achieved when individuals are continuously appraised and evaluated. Obisi (2011) argues that, the inability

of organisations to install an effective performance appraisal strategy has hindered them from achieving competitive advantage, which they require now more than ever before. Therefore, the significant role of performance appraisal in any establishment of organisations has become indispensable when we talk of organisational success (Akinbode, Omoniyi, Oludayo & Salau, 2014). Though the above definitions indicate that the researchers view performance appraisal as an effective tool in managing employee performance, there are those researchers who differ in their views with regards to performance appraisals. For instance, David (2007) opines that performance appraisals are both ineffective and inefficient. He indicates that, they are ineffective in that they do not measure performance, primarily because they fail to take into account the system factors that account for most of the variation within an organisation. They are inefficient in that they erode the interpersonal relationships, teamwork, creativity and motivation. David (2007) further contends that, organisations that undertake performance appraisals fail to understand that motivation has not only an extrinsic dimension, but also an intrinsic cue.

Notwithstanding, what constitutes performance and how to measure it has been a conundrum for many years particularly because there is little consensus about what constitutes performance, and appraising it remains complex, technical and takes many forms as postulated by (Alpert & Dunham, 2001; Alpert et al, 2001; Langworthy, 1999; Maguire, 2004; Skogan & Hartnett, 1997; Weatheritt, 1993; as cited in (Shane, 2010).

Organisations can create an atmosphere conducive to internal motivation. However, such a workplace is characterised by on-going, open two-way communication between management and employees, which focuses on future achievement rather than past failures. David (2007) continues to say that performance appraisal should therefore, not be viewed as a tool for threatening or coercing employees to perform their duties in a diligent manner, but rather as

an agreement between the employer and employee to work together towards achieving the organisation's mission.

Performance appraisal is theoretically underpinned on the theory of motivation. There are many theories of motivation that have been developed over time but finding an accurate equation for motivating employees so as to increase performance, economic and non-economic performance has been challenging. Below are three theories that the researcher adopted to explain the relationship between performance management practices and performance improvement. These are the Vroom's Expectancy Theory (ET), Locke & Latham's, Goal Setting Theory (GST), and the Control theory (CT).

1.3.1. Vroom's Expectancy Theory

In Vroom's expectancy theory, (Vroom, 1964 as cited in Lunenburg, 2011), assumes that behaviour results from conscious choices among alternatives whose purpose is to maximise pleasure and to minimise pain. Vroom realised that an employee's performance is based on individual factors such as personality, skills, knowledge, experience and abilities. He states that effort, performance and motivation are linked to a person's motivation. He uses the variables; Expectancy, Instrumentality and Valence to account for this link.

1.3.2. Goal Setting Theory

Management is goal- directed, so is performance management, hence the relevance of this theory to this research study can be credited to the works of (Locke & Latham,1990, as cited in Lunenburg, 2011), that provide a well- developed Goal-setting theory of motivation. The theory emphasises the important relationship between goals and performance. Research supports predictions that the most effective performance seems to result when goals are specific and challenging, when they are used to evaluate performance, are linked to feedback

on results, and create commitment and acceptance. Moderators such as ability and self-efficacy may affect the motivational impact of goals. Deadlines as well improve the effectiveness of goals.

1.3.3. The Control Theory

The Control Theory goes further to complement the Expectancy Theory in that; it underpins itself on feedback as the determinant of behaviour. Dewettinck and Dijk (2013), corroborate that Performance Management Systems through which employees receive continuous feedback are expected to lead to superior performance as opposed to performance management systems that for example, provide employees with feedback only by their supervisor through an annual performance review. Moreover, based on the Control Theory, it is deemed fit for employees to be empowered in such a way that they themselves are capable of assessing the level of discrepancy between results and results standards and what adjustments are needed to resolve those discrepancies.

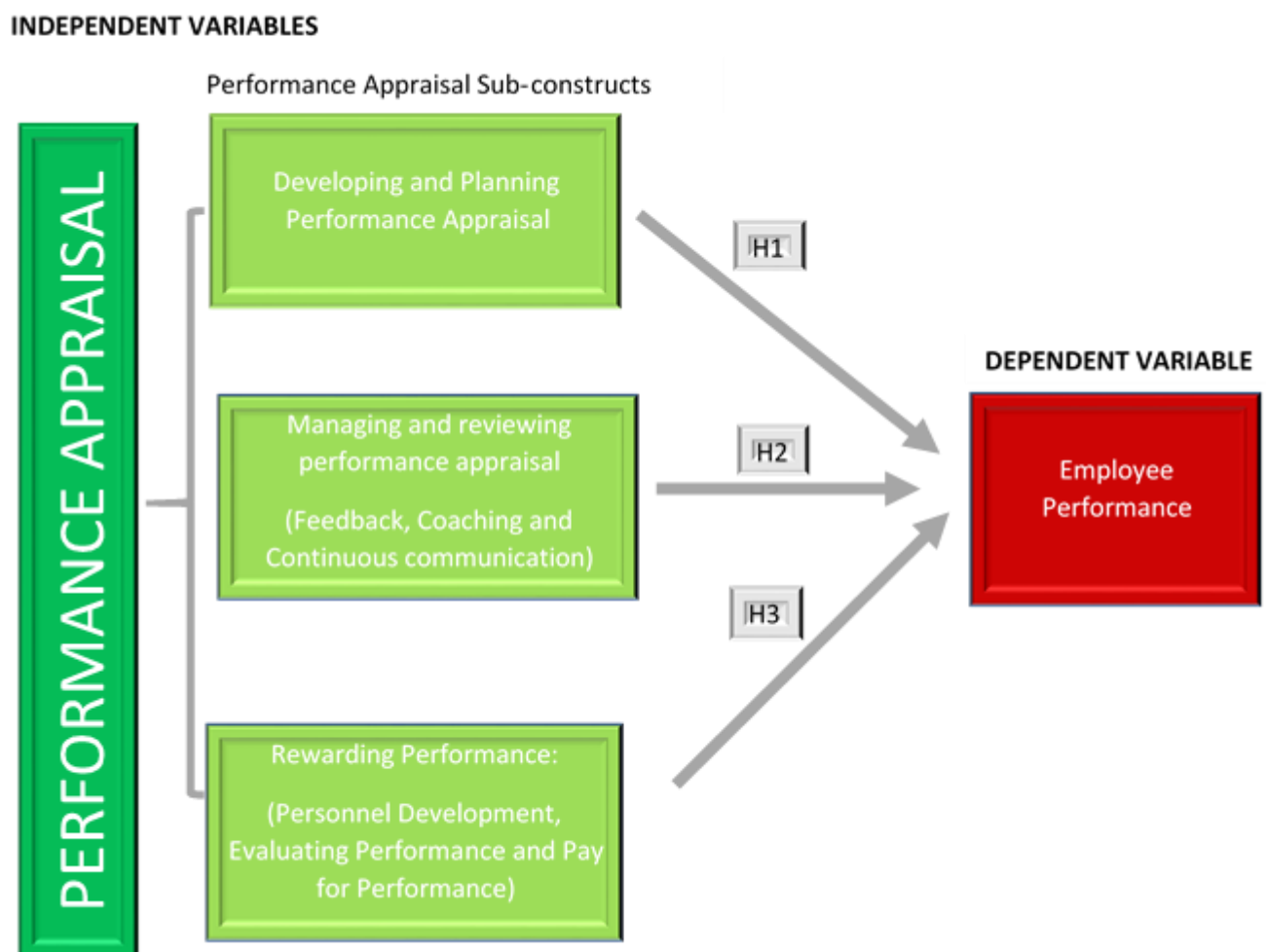
1.4. Research/Conceptual Framework

With the aid of books, journal articles, Government records and previous research on this topic, the researcher developed a research framework on which this study is grounded. In this model employee performance is the dependent variable and performance appraisal is the independent variable. The researcher then developed the following sub variables under performance appraisal; developing and planning performance appraisal, managing and reviewing performance appraisal and rewarding performance. The model therefore, assumes that employee performance is affected and dependent on these performance appraisal metrics.

In essence, this conceptual framework relates to the pragmatist paradigm epistemologically and methodically. In the literature reviewed, there are different theoretical positions regarding

the effect of performance appraisal on employees' performance. Different methodologies have been used to test this conceptual framework to support the pragmatist view. Moreover, in support of the theoretical framework, these performance appraisal metrics have been hypothesised to significantly and positively affect employee performance. As such, the study aims to test and figure out the effect of the above-mentioned variables on the performance of employees in addition to evaluating the level and sphere of influence that they contribute towards heightened or poor performance of employees within the Office of the Auditor General. The hypothesised model of study is illustrated in Figure 1 overleaf.

Figure 1: The Conceptual Framework



Source: Developed for the purpose of this research after extensive meta-analytical review of extant literature

1.5. Key Research Questions

i. RQ.1 In the opinion of AG employees, does the performance appraisal system have any impact on their performance?

ii. RQ.2 How do employees perceive performance appraisal system in the Office of the Auditor General?

iii. RQ.3 How effective is the current performance appraisal system in the Office of the Auditor General-Botswana with regards to improving employee performance?

1.6. Research Objectives

The overall objective of this study is to investigate employees' subjective views on the impact of performance appraisal on employee performance. Specifically, this study intends to:

- Investigate employees' subjective views on performance appraisal and its impact on employee performance at OAG.
- Assess employees' perception about the existing performance appraisal system in the Office of the Auditor General-Botswana.
- Determine the effectiveness of the current performance appraisal in the Office of the Auditor General-Botswana with regards to improving employee performance.

1.7. Research Hypotheses

The hypotheses tested in this study are:

- Developing and Planning performance appraisal is significantly and positively related to employee performance in OAG Botswana.

- Managing and Reviewing performance appraisal is significantly and positively related to employee performance in OAG Botswana.
- Rewarding performance is significantly and positively related to employee performance in OAG Botswana.

1.8. Significance of the Study

Despite the relevance of performance appraisals within the domain of human resource management, both academics and practitioners have always had a somewhat uneasy relationship with them. Some academics question whether performance appraisals improve employees' performance, whereas others have even suggested that undertaking performance appraisals should be discontinued (Hoffman et al., 2012). Authors in this regard substantiated that, "the Government of Botswana introduced the Performance Management System (PMS) as a response to the inefficiencies and under-performance of the public service which was also viewed as having little regard for the interest of the public regarding service delivery", (Dzimbiri, 2008, p. 47-48).

Given the widespread use of performance appraisals within the public sector of Botswana, the researcher has undertaken a review of it in the OAG to understand what is known in the scientific literature about the reliability and validity of performance appraisal and the way in which this may impact workplace performance. This review presents an overview of this evidence. The study also contributes to the body of knowledge on performance appraisal and explicates the nexus of relationship between performance appraisal metrics and employee performance.

1.9. Scope and Limitation of the Study

This study was conducted at the Office of the Auditor General in Gaborone, Botswana. A sample of 150 was drawn from a total population of 200 employees, across the five Departments of the organisation, (that is, Performance/ Parastatal Audit, Central Government Audit, IT audit and Local Government Audit) as well as the Others Department (Administration, HR, Procurement, IT Support and Records Management Unit). For the purpose of this study, the supporting department is referred to as (Others) department. Simple random sampling was used to select representative units of measurement. A questionnaire and an interview agenda schedule was distributed to 150 participants for representativeness and generalisability. To complement the data collected through the questionnaire, the interview agenda schedule was distributed to the same respondents of the questionnaire in order to get an insight of the performance appraisal system of the organisation.

Since this is a case study of the Office of the Auditor General, which covers only a specific organisation, the behaviour of this one unit of analysis may not necessarily reflect the behaviour of other service entities; hence we cannot make causal inferences from this case study because we cannot rule out alternative explanations. This therefore, may in turn negate finding a trend and a meaningful relationship between the variables under study. Based on the researcher's observation from having worked for the OAG for the past ten years, the researcher could not find critical data to support this study since performance appraisals had not been conducted consistently by the OAG, hence the need for future research on this area to cover those aspects that the researcher would have missed.

1.10. Definition of key terms

1.10.1 Performance appraisal

Performance Appraisal (PA) is one of the most important functions of Human Resource Management. It is concerned with identifying, measuring, influencing and developing job performance of employees in the organisation in relation to the set norms and standards for a particular period of time in order to achieve various purposes. Employees are required to generate a total commitment to desired standards of job performance and improved job performance for sustaining profitable growth for the organisation and long-term value creation for the customers (Singh, 2015). Furthermore, Singh (2015) attests that, the role of performance appraisal has gone beyond a tool for assessing employees to one that is used to reinforce the desired behaviour and competent performance of the employees. Performance appraisal is the single most powerful instrument for mobilising employees in a sophisticated and well managed organisation in order to achieve strategic goals.

1.10.2. Employee Performance

Employee performance can be defined as the achievement of specified task measured against predetermined or identified standards of accuracy, completeness, cost and speed. In an employment contract, performance is deemed to be the accomplishment of commitment in such a manner that releases the performer from all liabilities laid down under the contract. Efficiency and effectiveness are the ingredients of performance apart from competitiveness and productivity and training is a way of increasing individual's performance. (Cooke, 2000, as cited in Sultana, Irum, Ahmad & Mehmood, 2012).

1.10.3. Employee Perception of Performance Appraisal

Employees are the recipients of performance management, and how they perceive the system or process could have an impact on the system. According to Dusterhoff, Cunningham and MacGregor (2014), satisfaction with the performance appraisal process depends on whether those being appraised perceive it as morally justified or not. Fletcher (2004) states that employees' consultation is vital as it enhances ownership of the system and its effectiveness. Purcell, Kinnie, Hutchinson, Rayton and Swart, (2003) denote that perceptions influence employees' level of outcome by affecting the way they think, feel and behave.

Dusterhoff et al. (2014) suggest that dissatisfaction with the appraisal process and the failure of performance reviews to change how people work has been often linked to lower organisational commitment and increased intentions to resign. The success of a performance appraisal system is thus, dependent upon employees' perceptions and experience of the process. According to Jawahar (2007), the success of a performance appraisal system may as well depend on loyalties, perceptions of fairness and reactions of employees to important aspects of the appraisal process. According to Cropanzano, Bowen and Gilliland (2007), employees' perceptions of the fairness of performance appraisal could influence their level of organisational commitment.

Furthermore, (Fakharyan, Jalilvand, Dini & Dehafarin, 2012) argue that, if employees are satisfied with the implementation of the performance management system, they will view it in a positive manner and put every possible effort to carry out the responsibilities and duties assigned to them efficiently and effectively. This therefore will make the organisation to which they work for, more productive and successful. Alwadaei (2010) opines that, for the performance appraisal system to be successful, it is very important for the organisation to

know how the employees responsible for conducting appraisals, as well as those being appraised, generally perceive the system.

1.10.4 Employee Productivity

There is no doubt that management practices are linked to the productivity and performance of a company. Since the success of any organisation relies upon the productivity of its workforce, employee productivity is an important consideration for organisations. Different scholars have defined productivity in various ways to substantiate this. Kuppusamy, Palaniswamy and Deepa (2014) define productivity as the objectivity or target of an organisation to be achieved by their employees. Employees can work effectively and efficiently only when they are satisfied with their work and when they feel responsible for the work they do. This can be done by motivating the employees in terms of financial and non-financial dimensions. Joseph (2014) contends that, in all effect, productivity in a company is the ability of management to induce labour to work towards group goals with confidence and keenness. The essence of productivity is motivation. It is the willingness of labour productivity to indicate the effectiveness into which labour has been utilised with other factors of production.

Improving service delivery among organisations has therefore, called for efficient functioning of the organisation in general, which has in turn enabled organisations to strategise ways of improving their functional procedures. In fact, growth in any organisation is a collective effort that can only be achieved if a strong bond between the employer and employees exists. Generally, every organisation has its set targets that require well-planned procedures and this can be done by keeping a track of latest technological developments. It requires active participation of employer and employees on a regular basis for working effectively on the set targets. This entire procedure calls for identifying the weaknesses or threats and finding

opportunities or strengths that the organisations possess to mend them for increasing overall business productivity.

1.10.5. Employee Motivation

An employee performance appraisal can act as motivation for an employee to improve his productivity. When an employee sees his goals clearly defined, his performance challenges identified and career development solutions in place to help advance his career, the effect is to motivate the employee to achieve those goals. Creating a comprehensive plan for employee development and giving an employee achievement to strive for will inspire a higher level of efficiency. Root III (2016). Motivation and productivity therefore, implies that the administrative measures for raising morale for the achievement of the group objectives and it are essential for trust and cooperation from both the employer and employee. Thus, the essence of productivity is motivation. To achieve the goals and objectives, employees must be well motivated in order to put in their maximum effort in the organisation. There must be a sound encouragement to urge employees to act as expected by the management. The management must provide motivational packages for its workers in order to reinforce their output capacity (Joseph, 2014).

1.11. Structure of the Dissertation

The rest of this dissertation is as follows: The second chapter reviews relevant theoretical and empirical literature on performance appraisals. It identifies what the relevant theoretical and empirical literature on performance appraisals have come up with in relation to the research objectives, questions and hypothesis in this study. The third chapter fully discusses the data source, methodology and estimation technique used to achieve the established objective, answer the research questions and test the hypothesis. The fourth chapter presents a structured view of the data gathered, addressing the research questions derived from the

literature review. This chapter answers the research questions subsequently leading to making recommendations. It fully discusses the data source, methodology and estimation technique used to achieve the established objectives. The fifth chapter provides a summary of the research findings, recommendations, limitations, implications of the study to both theory and practice, directions for future research and conclusion.

Conclusion

The purpose of this chapter was to introduce the topic, ‘performance appraisal and its impact on employee performance.at the Office of the Auditor General’. This chapter described the relevant issues of performance appraisal, the statement of the problem, the theoretical framework to be used for the basis of the research, the research questions as well as the significance of the study.

The next chapter discusses the relevant literature on performance appraisal, its purposes, benefits, challenges and impact on employee productivity.

Chapter 2: Literature Review

2.0. Introduction

Chapter 1 introduced the concept of performance appraisal and chapter 2 is review of the extant literature on the phenomenon of interest to the study. It is a review of research on the topic, accessed electronically from reputable websites with journals professionally and academically respected internationally. The review sheds light on the theoretical framework that forms the basis for proposing the major hypotheses empirically tested in this study.

The chapter has two main sections with the first section focusing on the theories that explain the relationship between performance appraisal and its impact on employee performance. The second section deals with the empirical literature on the relationship between performance appraisal and its impact on employee performance.

This chapter also starts with the introduction and the rest of the chapter is as follows; a brief discussion on the Theoretical Literature review under 2.1 followed by a brief review of Vroom's Expectancy Theory under sub-section 2.1.1. Sub-section 2.1.2 discusses the Goal Setting Theory while 2.1.3 is a brief on the Control Theory. Empirical literature review is under sub-section 2.2 while the literature gap is discussed under sub-section 2.3 followed by the conclusion.

2.1. Theoretical Literature Review

The concept of performance appraisal is theoretically underpinned on the theory of motivation. Due to the multitudes of motivational theories that have been developed over time, finding the right equation for motivating employees so as to increase performance, economic and non-economic performance has always been very challenging. Despite, the relationship between performance management practices and performance improvement

explained and qualified by three theories being the Vroom's Expectancy Theory (ET), Locke & Latham's Goal Setting Theory (GST), and the Control Theory (CT). The ET provides a more general framework; GST clarifies how the results-to-evaluation connection while the CT explicates how the action-to-results connection can be optimised.

2.1.1. Vroom's Expectancy Theory

In Vroom's expectancy theory, (Vroom, 1964, as cited in Lunenburg, 2011) assumes that behaviour results from conscious choices among alternatives whose purpose is to maximise pleasure and to minimise pain. Vroom realised that an employee's performance is based on individual factors such as personality, skills, knowledge, experience and abilities. He states that effort, performance and motivation link to a person's motivation. He uses the variables Expectancy, Instrumentality and Valence to account for this link.

- **Expectancy:**

Expectancy can be described as the belief that higher or increased effort will yield better performance. However, enhancing expectancy is dependent upon various conditions, which include; having the correct resources available, having the required skill set for the job at hand, and having the necessary support to get the job done correctly.

- **Instrumentality:**

Vroom describes instrumentality as the thought that, if an individual performs well, then a valued outcome will come to that individual. Some things that help instrumentality are having a clear understanding of the relationship between performance and the outcomes, having trust and respect for people who make the decisions (that is, managers) on who gets what reward, and seeing transparency in the process of who gets what reward.

- **Valence:**

According to Vroom, valence means "value" and refers to beliefs about outcome desirability Redmond (2010). There are individual differences in the level of value associated with any specific outcome. For instance, a bonus may not increase motivation for an employee who is motivated by formal recognition or by increased status such as promotion. Valence can be thought of as the pressure or importance that a person puts on an expected outcome.

Vroom concludes that the force of motivation in an employee can be calculated using the formula: *Motivation = Valence*Expectancy*Instrumentality*

The relevance of this theory to this study is that, it is not only performance of the employees that matters, rather performance of the organisation as a whole. On the part of employee performance, the theory identifies the variables that motivate individual employees in the organisation. Likewise, in case of assessment of organisational performance, the theory works towards interpreting the specific behaviour those employees exhibit based on their individual expectancy calculations.

Here it is worth mentioning, that, Expectancy Theory also postulates that different people want different things from their organisation. This ranges from a good salary to job security to scopes for professional enrichment. Hence, the theory is important for the OAG in order to investigate the nexus of the relationship between performance appraisal metrics and employee performance in OAG in Botswana. This will in turn assist the OAG to identify those variables that will motivate individual employees to improve their performance.

Criticisms of Vroom's Expectancy Theory

Critics of the expectancy model include, (Graen, 1969; Lawler, 1971; Lawler & Porter; 1967; Porter & Lawler; 1968), as cited in Suciu, Mortan & Lazar, 2013), Their criticisms of the theory were based upon the expectancy model being too simplistic in nature; these critics started making adjustments to Vroom's model.

Edward Lawler claims that the simplicity of expectancy theory is deceptive because it assumes that if an employer makes a reward, such as a financial bonus or promotion, enticing enough, employees will increase their productivity to obtain the reward. However, this only works if the employees believe the reward is beneficial to their immediate needs. For example, a \$2 increase in salary may not be desirable to an employee if the increase pushes her into a tax bracket in which she believes her net pay actually reduced, which is actually impossible in the United States with marginal tax brackets. Similarly, a promotion that provides higher status but requires longer hours may be a deterrent to an employee who values evening and weekend time with their children.

In addition to that, if anyone in the armed forces or security agencies is promoted, there is condition for such promotions, that he/she will be transferred to other locations. In such cases, if the new place is far from their permanent residence, where their family is residing, they will not be motivated by such promotions, and the results will be the other way round. Because, the outcome, which this reward (promotion) will yield, may not be valued by those who are receiving it.

Lawler's new proposal for Expectancy Theory is not against Vroom's theory. Lawler argues that since there have been a variety of developments of the ET since its creation in 1964; the expectancy model needs to be updated. Lawler's new model is based on four claims. First, whenever there are a number of outcomes, individuals will usually have a preference among

those outcomes. Two, there is a belief on the part of that individual that their action(s) will achieve the outcome they desire. Three, any desired outcome was generated by the individual's behaviour. Finally, by the individual were generated by the preferred outcome and expectation of the individual.

Instead of just looking at expectancy and instrumentality, Maloney and McFillen (1986) found that Expectancy Theory could explain the motivation of those individuals employed by the construction industry. For instance, they used worker expectancy and worker instrumentality. Worker expectancy is when supervisors create an equal match between the worker and their job. Worker instrumentality is when an employee knows that any increase in their performance leads to achieving their goal.

In the chapter entitled "On the Origins of Expectancy Theory" published in *Great Minds in Management* by (Ken, Smith, Michael, Hitt & Vroom, 2005), Vroom himself agreed with some of these criticisms and stated that he felt that the theory should be expanded to include research conducted since the original publication of his book.

2.1.2. Goal Setting Theory

Management is goal- directed, so is performance management, hence the relevance of this theory to this research study can be credited to the works of (Locke & Latham,1990, as cited in Lunenburg, 2011), that provide a well- developed Goal-Setting Theory of motivation. The theory emphasises the important relationship between goals and performance. Research supports predictions that the most effective performance seems to result when goals are specific and challenging, when used to evaluate performance and linked to feedback on results and create commitment and acceptance. Moderators such as ability and self-efficacy

may affect the motivational impact of goals. Similarly, deadlines improve the effectiveness of goals.

A learning goal orientation leads to higher performance than a performance goal orientation, and group goal setting is as important as individual goal setting. Goals have a pervasive influence on employee behaviour and performance in organisations and management practices. According to the proponents of this theory, there are two cognitive determinants of behaviour: values and intentions (goals). Locke & Latham define a goal as simply what an individual is consciously trying to do. Locke and Latham postulate that the form in which one experiences one's value judgment is emotional. That is, one's values create a desire to do things consistent with them. Goals also affect behaviour (job performance) through other mechanisms.

For Locke and Latham, goals therefore direct attention and action. Furthermore, challenging goals mobilise energy, lead to higher effort, and increase persistent effort. Goals motivate people to develop strategies that will enable them to perform at the required goal levels. Finally, accomplishing the goal can lead to satisfaction, higher motivation and ultimately increased productivity level, or frustration, and lower motivation and hence lower productivity if the goal is not accomplished.

In the context of this study, the Office of the Auditor General, as an organisation that has a performance appraisal system in place, develops a 5-year strategic plan that is cascaded down the hierarchy of the organisation, so that each employee has a specific objective to attain. It is this goal setting that keeps the employees putting effort towards attainment of organisational goals. By so doing, the employees are able to self-regulate themselves through comparing their actual performance against goals and standards set by both the organisation and the employee.

Limitations of Goal Setting Theory

Goal-Setting Theory has limitations. In an organisation, a goal of a manager may not align with the goals of the organisation as a whole. In such cases, the goals of an individual may come into direct conflict with the employing organisation. Without aligning goals between the organisation and the individual, performance may suffer. According to Csikszentmihalyi (1997) for complex tasks, goal-setting may actually impair performance. In these situations, an individual may become preoccupied with meeting the goals, rather than performing tasks.

According to Schweitzer, Maurice and Ordóñez, Lisa and Douma, Bambi (2004) some evidence suggests that goal-setting can foster unethical behaviour when people do not achieve specified goals. In addition, goal setting may have the drawback of inhibiting implicit learning: goal setting may encourage simple focus on an outcome without openness to exploration, understanding, or growth. A solution to this limitation is to set learning goals as well as performance goals, so that learning is expected as part of the process of reaching goals, (Sarrazin, Vallerand, Guillet, Pelletier & Cury,2002; Grant,2012).

2.1.3. The Control Theory

The Control Theory goes further to complement the Expectancy Theory in that; it underpins itself on feedback as the determinant of behaviour. Dewettinck and Dijk (2013) corroborate that Performance Management Systems through which employees receive continuous feedback are expected to lead to superior performance as opposed to performance management systems that for example, provide employees with feedback only by their supervisor through an annual performance review. Moreover, based on the Control Theory, it is deemed fit for employees to be empowered in such a way that they themselves are capable of assessing the level of discrepancy between results and results standards and what adjustments are needed to resolve those discrepancies. Rather than providing information on

the congruence between results and results standards, the main purpose of supervisory feedback from a control theory perspective is to enable individuals to self-regulate their actions according to the results standards. Performance management systems are therefore, expected to increase performance when they are able to enhance employees' self-regulating ability.

The relevance of the Control Theory to this research study is that it emphasises the importance of feedback in enhancing employee performance. When people receive feedback about their behaviour, they are in a way made to acknowledge the difference or divergence between their actual performance and the performance that is expected of them. By so doing, they will be able to take corrective actions where necessary. Thus, feedback mechanism is necessary in the performance appraisal process. Most importantly, the OAG conducts quarterly reviews as a way of providing feedback and mentorship to its employees, which is expected to provide a framework for corrective measures to poor performance and recognition of high performance. Thus, continuous feedback will ultimately increase employee performance.

Criticisms of the Control Theory

Much of the early research on control theory is based on self-reporting studies. Critics of self-report data note that there may be various motives for disclosing information, and that individual participants may interpret questions differently. Nevertheless, many of the conclusions are intuitively convincing, e.g. that individuals will not engage in crime if they think that this will sacrifice the affection or respect of significant others, or cause them to lose employment or their autonomy if they face imprisonment. Davies (1994 & 1999), reports that in late-nineteenth century Britain, crime rates fell dramatically, as did drug and alcohol abuse, and illegitimacy became less common.

All of these indexes of deviance were fairly steady between World War I and 1955. After 1955, they all rose to create a U-curve of deviance, over the period from 1847 to 1997. He attributes the initial shift to adoption of a culture in which the assumptions of Protestant Christianity were taken for granted. Everyone at the time believed that at least somewhat in a moral code of helping others. This belief was rooted in religion. The same social norms for the defence of the person and property that informed the law before 1955 remain the policy norms. Furthermore, the concept that people are uncontrollable and may offend against those norms in social interactions, cannot be explained by simply counting how many people practice the golden rule, (Braithwaite, 1989).

The researcher therefore, adopted the three theories in order to capitalise on their strengths and bridge the gap between the inadequacies of these theories to better explain and add more meaning to the current study.

2.2. Empirical Literature Review

Published empirical research on the relationship between performance appraisal and employees' performance is hard to come by in Botswana. There has been performance management in the Botswana public service. It is a reform initiative introduced by the Public Service to facilitate delivery of the national vision goals. It is driven by a Performance Management System strategy whose objectives. The objectives provide a planning and change management framework that links to the national development plan and budgetary process; enhance the capacity of the government to achieve the desired level of socio-economic governance; improve the performance capacity of public officers; and focus the efforts of the Public Service towards the achievement of the national vision goals.

Management structures have been put in place in the Public Service to facilitate effective management of the reform initiatives and provide fora for consultation. These include the Ministerial Performance Improvement Committees, the Committee of Permanent Secretaries (PIC FORCE) and the Economic Committee of Cabinet.

To ensure that ministerial functions and structures support the delivery of the vision goals, each ministry has to define its vision, as a subset of the national vision, and mission, which links the purpose for its existence to the vision. Each ministry then develops a strategic plan based on the policy priorities, which are derived from the national vision, and articulated in the National Development Plan. The performance of ministries is reviewed quarterly by respective Permanent Secretaries and their Ministers at the Ministry level and at half yearly by the President at the Economic Committee of Cabinet level. The Permanent Secretary to the President also reviews the performance of each ministry with the relevant Permanent Secretaries twice a year.

Iqbal, Ahmad, Haider, Batool, and Qurat-ul-ain (2013) noted that employee's performance is a major issue in an organisation. Their study focuses on finding out the impact of performance appraisal on employees' performance and analyse the effects of the relationship of performance appraisal and employee's performance. Two hypotheses were analysed using sampling techniques. They selected 150 employees as sample by using simple random sampling among the banks of Dera Ghazi Khan in Pakistan. Primary data were collected through standard questionnaire. They applied correlation coefficient through IBM SPSS and Amos Software. Their results showed that there is positive relationship between performance appraisal and employee's performance. Motivation as a moderator positively affected the relationship between performance appraisal and employee's performance. This support the

hypothesis that performance appraisal is significantly and positively related to employee performance.

Mwema and Gachunga (2014) stated that globally, governments and companies spend billions of Shillings yearly on employee performance evaluation. Their study sought to establish the effects of performance appraisal on employee productivity focusing on a case study of World Health Organisation (WHO). The main objective of the study was to establish the effects of performance appraisal on employee productivity in the World Health Organisation focusing on Kenya Country Office, Garissa sub-office, Somalia and Sudan offices based in Kenya. They adopted descriptive design in their study. Regression analysis was also done to establish the effects of performance appraisal on employee productivity. From the findings, their study concluded that organisations should appraise their employees often through utilised targets, accomplishments, organisational goals, time management and efficiency for performance measure purposes as it would lead to increase in employee's productivity.

They concluded that organisations should establish and adopt performance appraisal systems to aid in providing opportunities to the management in identifying staff training needs, help employees meet performance targets, offer poor performers a chance to improve, help employees on time management through planning and setting of deadlines. Performance appraisals also enable managers to make informed decisions about promotions and assignments based on applicable facts, improve employee's synergies. The study recommends that organisations should appraise the staff to enhance employees' productivity. This study supports the hypotheses that managing and reviewing performance appraisal is significantly and positively related to employee performance and rewarding performance is significantly and positively related to employee performance.

Paul, Olumuyiwa and Esther (2015) in their work, 'Modelling the Relationship between Performance Appraisal and Organisational Productivity in Nigerian Public Sector published' in the Journal of Global Economics, pointed that if managerial decisions are fair and just with equitable reward and promotion for job done, performance appraisal will increase employees' commitment and loyalty in the organisation. Descriptive survey design method was adopted with the use of a questionnaire distributed to the management and staff of some selected public sectors in Lagos State, South-West, Nigeria out of which 254 representing 85% were valid for the research. Thus, their study conforms to the hypotheses of this study.

2.3 Literature Gap

Most research on the phenomenon of interest to the present research conducted in the public sector had mostly been undertaken in developed countries, which implies a deficiency of studies in developing countries. As has been asserted under section 1.2, most developing countries are going through a transition of profound restructuring, trying to provide improved services, while at the same time having to undertake major downsizing exercises in the phase of major fiscal constraints.

Following the analysis in sub section 1.2, the researcher is of the view that, although studies have been conducted on this phenomenon, there is still a limited body of evidence in Botswana on the phenomenon of interest, the impact of performance appraisal on employee performance, with particular reference to the Office of the Auditor General.

To the author's best knowledge, there has not been any study conducted on performance appraisal at the OAG, and the few studies conducted on performance appraisal in Botswana have indicated that there are some inadequacies, misconceptions and inefficiencies regarding performance appraisal systems of some organisations from both the private and public sector in Botswana.

For instance, (Nyamunga, 2006) noted that, reform initiatives in Botswana Public Service came as a result of pressure from citizens about poor state of service delivery by the government. The author further asserted that notable areas of deficiency included wastage of resources through inefficient management; lack of proper planning; inadequate operational plans at ministry level; and inward looking service delivery programmes, which did not consider customer needs.

Moreover, given that the effectiveness and objectivity of performance appraisal at the OAG has been a recurring issue in the Organisation's Annual General Meetings and performance awards ceremonies, the credibility of the system remains questionable. Therefore, since there was no single study conducted on performance appraisal at the OAG and owing to the above indications regarding the performance of the Office, there is need to interrogate the performance appraisal system and or metrics of the OAG to determine its effect on employee performance.

Moreover, the disposition of this study is to triangulate and complement the qualitative and the quantitative findings. By triangulating, the study increases the validity of constructs and enquiry results by reducing the inherent method bias that may have occurred in previous studies. The complementarity approach adopted by the present research seeks elaboration of the results from one method with the results from the other method, and this increases the interpretability, meaningfulness and validity of results by capitalising on the strengths of both quantitative and qualitative methods in one single study.

Hence, the gap identified by present research is that in finding out the perceptions and experiences of employees of the Office of the Auditor General regarding employee performance appraisal, there can be a deeper understanding of the dimensionality of the sub-

constructs considered in this empirical study, by assessing different facets of the same social phenomenon for generalisability of the findings.

In the context of the present research, this technique was adopted in a bid to overcome the limitations of previous performance appraisal studies. The said focused solely on a single method (either quantitative or qualitative method) to extend theory and practice to the strategic management field; to significantly enhance the interpretation of the findings by corroborating data from both methods; to increase the validity of the data; to take the context of the Office of the Auditor General into consideration.

To reiterate, the study therefore, sought to investigate employees' subjective views on performance appraisal and its impact on employee performance, evaluate employee perception of performance appraisal system, explore the effectiveness of the appraisal system and where possible develop some recommendations to OAG Management to improve the organisation's performance appraisal system.

Conclusion

Much of the literature conducted on performance appraisal suggests that performance appraisal if effectively done, is an inevitable component of an organisation's life, it serves a very critical role in the overall success of an organisation. However, the literature also notes some significant challenges associated with performance appraisal. If inappropriately done, performance appraisal can be detrimental to the success of an organisation and its employees. Nonetheless, there is no literature on performance appraisal of auditors in the public service. Thus, it is therefore, important to investigate employees' subjective views on performance appraisal and its impact on employee performance, explore the effectiveness and perception of the performance appraisal system and determine whether management makes use of feedback obtained from appraisals to inform their decisions.

The next chapter develops a methodology that was used to determine the impact of performance appraisal on employee performance at the Office of the Auditor General.

Chapter 3: Methodology

3.0. Introduction

This chapter sheds light on the methods and techniques adopted to realise the objectives of the study. To reiterate, the objectives are to investigate employees' subjective views on performance appraisal and its impact on employee performance, assess employees' perception on the existing performance appraisal system and to determine the effectiveness of the current performance appraisal in the Office of the Auditor General about improving employee performance.

The chapter starts with the introduction under sub-section 3.0, reinstatement of the hypotheses to be tested, the model diagnostic tests to be carried out, the specification of the model under sub-section 3.1, a discussion of the research philosophy on sub-section 3.2 followed by the Research approach and research design under sub-section 3.3. The research methodology employed in this study is briefly discussed under sub section 3.4, and the sample population, sample size, sample method, data collection tools and data analysis methods are discussed under sub sections 3.4.1, 3.4.2, 3.4.3, 3.4.4 and 3.4.5 respectively. The reliability, validity, trustworthiness and ethical considerations of the methodology used are also made clear in a discussion under subsections 3.5 and 3.6 respectively, followed by the conclusion to the chapter.

3.1. Reinstatement of Research Questions and Hypotheses

Creswell (2009) suggests that research questions explore the meaning of the experience of a phenomenon for individuals and asks individuals to describe their everyday life experience. In the context of this research project, performance appraisal is a phenomenon, which is directly related to employees' everyday life in the work place, and thus, it is continuously

experienced. On this notion, the following research questions and hypotheses to address the research objectives have been developed:

3.1.1. Research Questions

- In the opinion of AG employees, does the performance appraisal system have any impact on their performance?
- How do employees perceive performance appraisal system in the Office of the Auditor General?
- How effective is the current performance appraisal system in the Office of the Auditor General-Botswana with regards to improving employee performance?

3.1.2. Research Hypotheses

- H1 Developing and Planning performance appraisal is significantly and positively related to employee performance in OAG Botswana.
- H2 Managing and Reviewing performance appraisal is significantly and positively related to employee performance in OAG Botswana.
- H3 Rewarding performance is significantly and positively related to employee performance in OAG Botswana.

The research questions and hypotheses developed for this study indicate the amount of information required to be derived from an analysis of the responses of employees of the OAG as the case study. The questions were developed in such a way that they were able to address the specific objectives proposed in this empirical study in Botswana.

3.2. Philosophical Paradigm

A research philosophy is a belief about the way in which data about a phenomenon should be gathered, analysed and used. Saunders, Lewis and Thornhill (2007) define research philosophy as the development of the research background, research knowledge and its nature. Typical philosophical paradigms available to social researchers include the positivists, interpretivists and the pragmatists. Each paradigm is based upon its own ontological and epistemological assumptions. Since all assumptions are conjecture, the philosophical underpinnings of each paradigm can never be empirically proven or disproven. (Scotland, 2012).

To this effect, the debates surrounding research paradigms have a long history and have been active for quite some time. In the same vein, some commentaries on the debate contend that, ‘the struggle for primacy of one paradigm over others is irrelevant as each paradigm is an alternate offering with its own merits’ (Guba, 1990: 27). Creswell (1994: 176) identifies several schools of thought in the paradigm debate or so-called ‘paradigm wars’. At one end of the debate are the ‘purists’ who assert paradigms and methods should not be mixed. Another school of thought he identifies as the ‘situationalists’ who contend that certain methods can be used in specific situations.

In direct opposition to the ‘purists’ are the pragmatists who argue against a false dichotomy between the qualitative and quantitative research paradigms and advocate for the efficient use of both approaches. Philosophical paradigms inherently contain differing ontological and epistemological views; therefore, they have differing assumptions of reality and knowledge, which underpin their particular research approach (Scotland, 2012). In this regard, there has been much criticism associated with each of the paradigms.

The key idea of the positivists is that everything can be proven and known and they are very scientific in their approach. The positivists position is derived from natural science and is characterised by testing of hypotheses developed from existing theory (hence deductive or theory testing) through measurement of observable social realities. When subscribing to this paradigm, the researcher's ontology, or their view of reality, is that there is a singular reality, which exists independently of the researcher (Sachdeva, 2009). The limitations of the positivist paradigm is that it identifies one singular reality, and employs rigid methods, which focus on narrow and specific elements, thereby failing to discover or adjust to unexpected issues.

In contrast, the interpretivists are concerned with understanding the way humans make sense of the world around us (Saunders, et al, 2007). Ontologically, reality in this paradigm is viewed not as a singular instance, but as a product of the subjective and inter-subjective experience of individuals (Morgan, 1980: 608, as cited in Alony, 2015). This research paradigm is typically associated with research problems of exploratory nature, when the field of research is not yet developed or familiar, and is therefore ,suitable for theory development, rather than theory testing (Bryman, 2012). In most cases, the interpretivist paradigm is associated with qualitative research methods, such as interviews, focus groups, and narratives (Bryman & Bell, 2011). This view produces multiple realities, each of which is equally valid.

Questioning the traditional rigid dichotomy between paradigms, epistemologies, and ontologies, a third methodological movement has emerged in recent years (Feilzer, 2010; Teddlie & Tashakkori, 2010; Cameron, 2011; Creswell & Clark, 2011b). Traditionally, exploratory research questions were matched with an interpretive paradigm, interpretivists epistemology, constructivist ontology, and qualitative research methods (Alony, 2015), which allowed multiple perspectives and emerging constructs (Bryman & Bell, 2011; Bryman,

2012). Contrary, confirmatory research was usually associated with a positivist paradigm, positivist or critical realist epistemology, objectivist ontology, and quantitative research methods, which confirmed the effects of constructs on measurable outcomes (Bryman & Bell, 2011; Bryman, 2012). This way, paradigms served to direct research efforts, to articulate previously established theories, and to exclude other ways to perceive the world (Feilzer, 2010). In this sense, however, paradigms can become prescriptive, and dictate the use and the exclusion of research methods (Feilzer, 2010).

In view of the above, pragmatism can be considered a bridge between paradigm and methodology or what (Greene & Caracelli, 2003) refer to as ‘a particular stance at the interface between philosophy and methodology’. This stance openly rejects the false dichotomy between the qualitative and quantitative research paradigms, and advocate for an anti-representational view of the world (Feilzer, 2010:8), which provides useful descriptions of the world, even if they do not describe reality accurately. According to the pragmatic point of view, the most important determinant of the epistemology, ontology and axiology adopted is the research question.

3.2.1 Pragmatism Paradigm Justified as a Philosophical Stance for this Study

The current study aims to investigate employees’ views on performance appraisal and its impact on employee performance at OAG. In detail, a set of hypotheses were developed from the literature review and existing theory, and were conceptualised in a process model that proposes causal relationships of constructs (see chapter 1, Figure 1). From the conceptual framework, performance appraisal sub-constructs; developing and planning performance appraisal, managing and reviewing performance and rewarding performance were developed to identify the relationship between performance appraisal and employee performance, hence were used to test the hypotheses of the study.

Based on a theoretical framework, this research focuses on theory testing and verification rather than theory generation, thus embracing a deductive research approach. Additionally, the study is concerned with understanding the way employees at the OAG make sense of the performance appraisal system in their organisation. In view of the aforementioned, both the positivists and interpretivists were to some extent ideal for the purpose of this study. Nonetheless, adopting either one philosophical stance could have compromised the validity and reliability of the results of the study as elaborated below.

The interpretivist paradigm offers several benefits to this study. It is suitable for its exploratory nature, as it allows for a broad view of the phenomenon (performance appraisal) and for flexible enquiry of issues involved in it (employee perceptions). Although, this study could benefit from subscribing to this paradigm, the limitation lies with the aim of this study, which seeks to investigate employees' views on performance appraisal and its impact on employee performance. Tools within this paradigm do not offer systematic investigations of cause-and-effect relationship and hence, does not produce measurable prediction results. Thus, the paradigm is insufficient for advancing knowledge with respect to the prediction of employee performance in this study. Despite, its appeal to the research of human subjects, the interpretivist paradigm is not fully oriented towards providing measurable and objectively comparable predictive results. In itself, then, this paradigm is insufficient for this research.

In contrast, the positivist paradigm's strength is in providing measurable outcomes, which, can be objectively compared. Although this study draws on methods from one well-researched field (performance appraisal) to be applied in another well-researched field (employees performance), this application is too novel for a prescriptive, impartial and deterministic view of the world. The socially-constructed nature of relationships, the value of perceptions, and the need for the researcher's interpretation of these aspects in the current

study does not support the prescriptions of the positivist paradigm alone. Thus, regardless of the benefits of this paradigm for this study, it cannot be fully adopted. Despite, the comfort of obtaining concrete results of research conducted within this paradigm, it has been questioned whether it is appropriate to view humans and issues related to their thoughts, feelings, and behaviours in the same way one would view molecules or atoms (Bryman & Bell, 2011; Bryman, 2012). Likewise, this paradigm alone cannot underlie a research, which examines novel research approaches like in the current study.

In comparison with both paradigms, the pragmatist paradigm offers greater flexibility in the selection of perspective and methods employed for addressing the research questions. Similarly, it enables the researcher to draw on methods that support the need to gain measurable and objectively comparable predictive results from the positivist paradigm, but also permits the broad view of the phenomena studied and the flexibility of enquiry of its issues, as commonly done within the interpretivist paradigm. Teddlie and Tashakkori (2009) have linked pragmatism and mixed methods research, arguing that, among other things, the research question should be of primary importance than either the method or the theoretical lens, or paradigm that underlies the method.

The pragmatist paradigm therefore, combines the benefits from both traditional paradigms. One paradigmatic stance, the dialectic stance (Teddlie & Tashakkori, 2010), justifies this methodology of combining methods from both paradigms by accepting that all paradigms offer benefits to researchers. Additionally, multiple paradigms in a single study contribute to a better understanding of the studied phenomenon. This stance supports discovery of enhanced, reframed, or new understandings (Greene, 2007:69), which is what this research seeks. Once the suitability of the pragmatist paradigm was established as the philosophical

foundation for this study, a mixed-methods approach to data collection and analysis was chosen, consistent with this paradigm.

However, it is worth noting that, the researcher has taken cognisance of the philosophical issues of MMR and in particular pragmatism. Pragmatism is believed to have a strong philosophical foothold in the mixed methods or methodological pluralism camps, which can present challenges for the mixed methods researcher in terms of claims that pragmatism is eclectic. This mirrors the work of (Greene & Caracelli, 2003: 107) who argue that by attending too little to philosophical ideas and traditions will mean that mixed methods researchers will be ‘insufficiently reflective and their practice will be insufficiently unproblematised’. These authors acknowledge and clearly state that ‘paradigms, mental models, or some other representations of philosophical beliefs and values should matter in mixed methods inquiry’.

On the other hand, (Biesta, 2010; Greene & Hall, 2010; Johnson & Gray, 2010), argue that, although pragmatism is unable to provide the philosophical foundation for mixed methods research, it has some important things to offer particularly in helping mixed methods researchers to ask better and more precise questions about the philosophical implications and justifications of their designs. Biesta concludes that Deweyan pragmatism has made a major contribution through eradicating the epistemological dualism of objectivity/subjectivity. For (Greene & Hall, 2010) pragmatism results in a problem solving, action- oriented inquiry process based on commitment to democratic values and progress.

In this study, the researcher triangulated surveys, open-ended interviews and documents to better understand the research problem. This perspective maintains that mixed methods research may be viewed strictly as a ‘method’ thus allowing researchers to use any number of philosophical foundations for its justification and use. Nonetheless, the researcher and the

research problem determine the best paradigm not by the method, (Migiro & Magangi, 2011). The research goal is to obtain a thorough understanding and in-depth insight by collecting rich and different data through a questionnaire and interview agenda schedule concerning performance appraisal and its impact on employee performance. Therefore, pragmatism was adopted as a philosophical stance and mixed methods were used in this study, in order to examine the question from different perspectives, to obtain diversity of views, and create a more complete picture of the research question by collecting information from both quantitative and qualitative methods. Following on from this, the study investigates how the performance appraisal sub-constructs; developing and planning performance appraisal; managing and reviewing performance appraisal; rewarding performance as well as employee performance are related. How these variables affect performance among OAG employees, as perceived by employees, is therefore, being investigated.

Authors in this regard conclude that, if a mixed methods approach can help find theoretically reasonable answers to the research questions, and if the researcher is able to overcome the cognitive and practical barriers associated with conducting mixed methods research, then a mixed method research without much consideration of paradigmatic or cultural commensurability is possible.

3.3. Research Approach and Research Design

A research approach also known as research strategy is a general plan of how the researcher will go about answering the research questions (Saunders, Lewis & Thornhill, 2009). The research approach also provides the overall direction of the research including the process by which the research is conducted as posited by (Remenyi, 2003). (Saunders et al, 2009) further contend that, an appropriate research approach has to be selected based on the research questions and objectives, the extent of existing knowledge on the subject area to be researched, the amount of time and resources available and the philosophical underpinnings of the research.

Therefore, for this study the researcher chose a case study as the most appropriate research strategy. According to (Saunders et al, 2009), a case study is a strategy for doing research, which involves an empirical investigation of a particular contemporary phenomenon within its real life context using multiple sources of evidence. Hence, the case study approach fits well with the intent of this study, which seeks to investigate a real life phenomenon (performance appraisal) through a variety of data collection methods.

Furthermore, a descriptive research design was adopted in form of a survey. Mugenda and Mugenda (1999) tell us that descriptive survey entails a science which observes and describes the behaviour of a subject without interfering with it at all. It seeks to find out who, how, what, where and when about something in particular. It is a method employed in collecting data from targeted population respondents by use of questionnaires, interviews and observation schedule. Descriptive research design describes characteristics of a particular population in a systematic and accurate approach. Mugenda and Mugenda (2003) say that descriptive survey design aids the researcher in gathering, summarising, presenting and interpreting information for clarification purposes.

3.4. Research Methodology

This section describes the rationale for the application of specific procedures or techniques used to identify, select, and analyse information applied to understanding the research problem, thereby, allowing the reader to critically evaluate a study's overall validity and reliability. The methodology section answers two main questions: How was the data collected or generated? And, how was it analysed (Kallet, 2004)? Three research methods are discussed below and then the most suitable research method for this research is chosen and justified.

Qualitative research methods are highly appropriate for questions where pre-emptive reduction of the data will prevent discovery (Atieno, 2009), hence they are good at simplifying and managing data without destroying complexity and context. However, the effectiveness of qualitative research is heavily based on the skills and abilities of the researchers, while the outcomes may not be perceived as reliable, because they mostly come from researchers' personal judgments and interpretations. Because it is appropriate for small samples, it is also risky for the results of qualitative research to be perceived as reflecting the opinions of a wider population (Bell, 2005).

Conversely, quantitative methods use various forms of experiments and surveys as their main strategies of inquiry. These strategies are generally appropriate where the purpose of the research is to relate or compare variables. The purpose generally is to identify if a cause and effect relationship exists, and then to make generalisations about the relationship in the context of a broader population. For example, is there a significant and positive relationship between rewarding performance and employee performance? Typically, null hypotheses are developed for each relationship being tested and the findings are written up as empirical

evidence (hypotheses either accepted or rejected) with a measure of statistical significance and a specified confidence level (McKetchar, 2008).

While quantitative and qualitative methods oppose each other, another research method, (Mixed Methods Research) which has arisen out of the “paradigm wars” maintains a neutral position. Mixed Methods Research (MMR) is a research method with philosophical assumptions as well as methods of enquiry. As a research method, it involves philosophical assumptions that guide the direction of the collection and analysis of data and the mixture of qualitative and quantitative in a single study or series of studies. Its central premise is that the use of quantitative and qualitative approaches in combination provides a better understanding of research problems than either approach alone (Creswell & Plano Clark, 2007). Additionally, Driscoll, Appiah-Yeboah, Salib & Rupert (2007) attest that mixed methods research helps in getting a complete review of both the survey responses and statistical analysis and also provides a complete review segregated in patterns of responses. Greener (2008) also observes that one of the reasons for combining the techniques is for ‘triangulation’ where different methods of data collection and analysis will both enrich and confirm the picture of a situation.

Although, quantitative and qualitative methods exist and are used in research, the researcher found the Mixed Methods Research to be ideal for this study. The central premise of a mixed methods study is that the use of qualitative and quantitative approaches within a single study may offer a better understanding of a complex phenomenon than either approach alone could. This also confirms with embracing the thesis of ‘complementary strengths’ as advocated by many scholars (Bryman, 2003; Duffy, 2007; Olsen, 2004). This study seeks to determine the impact of performance appraisal on employee performance, hence the study is exploratory in finding out the perceptions and experiences of employees of the Office of the Auditor

General regarding employee performance appraisal in order to explicate the dimensionality of the sub-constructs in this empirical study in Botswana. In light of this, the study used both quantitative and qualitative techniques to access different facets of the same social phenomenon.

This technique was adopted to overcome the limitations of previous performance appraisal studies that focused solely on one single method (either quantitative or qualitative method). It was also adopted to extend theory and practice to the strategic management field; to significantly enhance the interpretation of the findings by corroborating data from both methods; to increase the validity of the data; to take the context of the Office of the Auditor General into consideration; and to explore and test the hypotheses of this study. Moreover, the disposition of this study is to triangulate and complement the qualitative and the quantitative findings. By triangulating, the study increases the validity of constructs and enquiry results by reducing the inherent method bias. Moreover, complementarity seeks elaboration of the results from one method with the results from the other method, and this increases the interpretability, meaningfulness and validity of results by capitalising on the strengths of both quantitative and qualitative methods in one single study.

3.4.1. Sample Population

Cooper and Schindler (2003) defines population as a group on which the researcher will focus. Ngechu (2004) puts forward that a population is a set of people, services, elements, group of things, or households that are being investigated. The population of interest for this study consists of 200 employees of the Office of the Auditor General of Botswana.

3.4.2. Sample size

Sample size is a given portion drawn out of the population to represent the entire population. The sample size for this study comprises 150 employees randomly sampled across all the departments of the Office of the Auditor General being; Central Government Audit, Local Government Audit, Parastatal/ Performance Audit and Information Technology (IT) Audit as well as (Others) department. The participants responded to both the questionnaire and the interview agenda schedule. This was so because the closed-ended questionnaire solicited quantitative data while the open-ended interview went an extra mile to gather qualitative data that was used to generate perceptions as well as new ideas regarding performance appraisal in order to complement the responses from the questionnaire. The employees included in the sample size were classified as appraisers and appraisees or appraiser/appraisee of both genders within the age range of 25 years and above. Twenty-five years is the minimum years that an undergraduate could get their first time employment. Employees included in this sample are those who partake in the performance appraisal process either as appraisers or appraisees or both.

3.4.3. Sample Method

Sampling is the collection of information from a portion of the total population and on the basis of the information collected on the subset, to infer something about the whole target population (Ghosh, 2002). There are two types of sampling techniques that can be used in research, that is, probability or representative sampling and non-probability or judgmental sampling. The probability samples are often associated with survey and experimental research strategies. (Saunders, Lewis & Thornhill, 2007). Probability samples are based on the randomisation principle, wherein the procedure is designed in such a way that it

guarantees each and every individual of the population an equal selection opportunity. This therefore, helps to reduce the possibility of bias.

In contrast, Battaglia (2011) alludes that non-probability sampling does not attempt to select a random sample from the population of interest. Rather, subjective methods are used to decide which elements are included in the sample. Battaglia (2011) further states that the use of non-probability sampling may apply in situations where the population may not be well defined. In other situations, there may not be great interest in drawing inferences from the sample to the population.

However, for the purpose of this study the researcher chose a probability sampling technique, specifically, simple random sampling because it gives everyone in the population an equal chance to be selected and the target population of the OAG is a well-defined one. The use of simple random sampling makes it possible to use design-based estimation of population means, proportions, totals, and ratios. Standard errors may also be calculated from a probability sample. The researcher's biasness was reduced through the use of a probability sampling technique. According to Denscombe (2002), probability sampling tends to be a superior technique for a survey study, because the resulting sample is likely to provide a representative cross-section of the whole. Moreover, probability sampling helps the researcher to provide a clear statement regarding the accuracy and validity of the finding from the survey by referencing to the degree of error and/or bias.

3.4.4. Data Collection Tools

Data used for the purpose of this research were collected from two sources; primary and secondary sources. Collecting data for providing the validity of the research as well as the extent to which the data collected is relevant in achieving the research's aims and objectives

and being able to answer the research questions raised is a vital aspect of the research process (Anso, 2014). Primary data were collected using a questionnaire and an interview agenda schedule to test the impact of performance appraisal on employee performance, performance appraisal effectiveness as well as employees' perception about the performance appraisal system used by the Office of the Auditor General. On the other hand, secondary data were collected through available literature, that is journal articles, web-based material, magazines and books as elaborated below;

Primary Data

Primary data were collected through the use of a closed-ended questionnaire and an open-ended interview agenda schedule. The questionnaire and interview agenda schedule were the preferred instruments since they provide an interface to giving answers to the questions raised in the research from the point of the respondents (Anso, 2014). Although, there are several methods through which data can be collected including the use of focus groups and observation, the choice of questionnaire and interview agenda schedule was based on their accessibility and ability to cover a large number of respondents in an area. If the purpose of this research is to gather information from the participants in an organisational setting such as the Office of the Auditor General, the way the participants experience performance appraisal, the meaning they attach to it, and how they interpret what they experience, the researcher therefore found it ideal to use methods like the questionnaire and interview agenda schedule concurrently as it allowed for discovery and did justice to the perceptions and the complexities involved in interpreting the data analysis results .

- **Questionnaire**

A closed-ended questionnaire was used for the purpose of this study in order to elicit standardised responses. The survey questions were designed to provide quantitative data to

examine the relationship of the constructs proposed in the research framework. Since the primary objective of using a questionnaire in this study was to facilitate the collection of quantitative data, it was structured into (9) Questions; Question (1-4) dealt with the bio data of respondents. This section aimed at obtaining information about respondents' gender, age bracket, marital status, educational attainment and work experience. Question (5) dealt with general criteria used in determining employee performance, Question (6) was based on developing and planning performance appraisal, Question (7) aimed at obtaining information as regarding managing and reviewing performance appraisal and Question (8) dealt with rewarding performance.

The questionnaire was designed to gather relevant information to be used in testing the hypotheses. The questionnaire was developed in such a way that the items for which responses are needed have already been written and all that was needed was to tick the most suitable option from the list of options given, ranging from Strongly agree (SA), Agree (A), Neutral (N), Disagree (D), Strongly Disagree (SD). The multiple choice questions were designed to obtain more quantitative data in order to define the employee perception and the effects of performance appraisal on employee performance. For reliability purposes, the questionnaire was critically examined by the supervisor and necessary amendments effected. Questionnaires were distributed to the 150 employees as a quantitative method of data collection. At the end, Statistical Package for Social Sciences (SPSS) was employed and correlation and regression methods were used for the analysis and interpretation of the data collected.

- **Interview Agenda Schedule**

Complementary to the questionnaire, an open-ended interview agenda schedule was distributed to the same sample in order to explore the views, experiences, beliefs and/or

motivations of employees regarding performance appraisal in the Office of the Auditor General. The main themes of the interview covered various aspects, such as the effectiveness of the current performance appraisal system, strengths and weaknesses of the current system, types and formats of appraisal used, perceived accuracy of individual ratings, issues and challenges involved and working culture, as well as performance incentive schemes. Basically, the open-ended questions in the interview agenda schedule aimed to address the following issues:

- To understand employees' perception of the current performance appraisal system its strengths and weaknesses.
- To identify issues and challenges in the current appraisal system.
- To draw out key approaches for a better performance measurement system in the Office of the Auditor General of Botswana.

Therefore, the open-ended interview schedule enabled the researcher to solicit the opinions of the respondents, which consequently enhanced the testing of hypotheses. For the purpose of this study, the researcher believes that interviews provided more understanding of the social phenomena being studied than would be obtained purely from quantitative methods, such as questionnaires. Therefore, interviews on the other hand provided detailed insights from individual participants in order to substantiate the data collected through the questionnaire.

Administration of the Questionnaire and Interview Agenda Schedule

Both the Questionnaire and Interview Agenda Schedule were pre-tested and suggestions for improvement encountered during the piloting process were incorporated into the final questionnaire and interview agenda schedule. Final questionnaire and interview agenda schedule were distributed physically by the researcher through drop and pick method in order

to enhance the speed of data collection. With regards to improving the response rate, there was a cover letter explaining the reasons for the research, why the research is important, why the subjects were selected and a guarantee of the respondents' confidentiality was provided. Instructions were clearly stated on both the questionnaire and interview agenda schedule. Each completed questionnaire and interview agenda schedule were treated as a unique case and a sequential number given to each.

Secondary Data

- **Document Review**

The use of both primary and secondary data is important in a research work and should be treated with the same degree of attention during the course of the research (Boslaugh, 2007). It is therefore, on this premise that the researcher also used secondary data to complement data obtained from primary sources. Thus, secondary data was collected through the review of documents from the library and internet which included among others both published and un-published material such as, newspaper articles, magazines, journals articles, and the OAG website. Organisational records were also used; for instance, organisational strategic plan and Annual Performance Plans complemented primary data collected.

3.4.5. Data Analysis Methods

Data was checked for accuracy, uniformity, logical completeness consistency before analysis. To ensure scientific precision, and accuracy, quantitative data analysis was carried out using Statistical Package for Social Science (SPSS). The data was sorted and coded into the SPSS and analysed using descriptive statistics, regression and correlation analysis to explicate the relationship and association of the sub-constructs in the model. Based on both the theoretical and empirical literature review, it is clear that there is no consensus on a particular theory or

model of the impact of appraisal on employees' performance or a model of motivation. Vroom's Expectancy Theory, Goal Setting Theory and Control Theory all point to the fact that individuals will be motivated to perform more if much is expected in return. With regards to this, the study employs a simple linear regression model to estimate the relationship indicated in between employees' performance and its potential determinants.

The regression equation is

$$Y = \beta_0 + \beta_1X_1 + \beta_2X_2 + \beta_3X_3 + e$$

Where:

β_1 , β_2 and β_3 = regression coefficients

Y = Employee Performance

β_0 = constant

e = error term

X1 = Developing and Planning Performance Appraisal

X2 = Managing and Reviewing Performance Appraisal

X3 = Rewarding Performance

Additionally, in order to give more meaning to the quantitative data analysis results, qualitative data was analysed using content and logical analysis to outline patterns in the data. After the analysis and computation of data, the results were summarised and presented in tables, graphs and pie charts.

3.5. Reliability, Validity and Trustworthiness

Reliability, as defined by (Corbin & Strauss, 2008) as the ability of a data collection instrument to yield the same results when used in a similar setting. On the other hand, validity refers to how accurate a data collection instrument can be in measuring what it is developed to measure. (Dillman, 2010). For the purpose of this study, psychometric nomenclature of the scale items was conducted with respect to reliability and validity in order to establish the psychometric proficiency of the adapted scale items in Botswana. Thus, reliability was done to investigate consistency using Cronbach alpha, while validity was done using Keiser-Meyer-Olkin (KMO) and Bartlett's test of sphericity to establish the factor structure of the scale items in this empirical study. This is elaborated below:

Sample Size – KMO

The KMO statistics indicate the ratio of squared correlations between the variables being measured (Field, 2009). Therefore, to establish the appropriateness of the factor analysis, the Kaiser-Meyer-Olkin (KMO) measurement (which is a measure of sampling adequacy), was employed in this study. The sample size for this study was 150 and the variables being measured were; developing and planning performance appraisal, managing and reviewing performance appraisal, rewarding performance and employee performance. This study employed factor analysis as a multivariate statistical technique. According to (Naidoo, 2011)'s data analysis decision tree, KMO values between 0.5 and 1.0 are seen to indicate that the factor analysis is adequate, whereas values below 0.5 imply that factor analysis may not be appropriate.

3.5.1. Data Adequacy –Bartlett's Test of Sphericity

A further test to determine if the factor analysis was appropriate, was conducted through the Bartlett's test of sphericity. Bartlett's test of sphericity is a statistical measure for the purpose

of validating the existence of correlations among the variables by testing if an identity matrix (homogeneity) exists in the population sample. It tests the null hypotheses to see if an identity matrix exists. This means that the Bartlett's test of sphericity is an indicator of the strength of the relationship among variables as well as an indicator of the suitability of data towards a multivariate statistical technique. Moreover, Bartlett's test of sphericity is interpreted as acceptable if the values of 0.05 and below are returned. This means that the values can be regarded as significant and that the data is suitable for multivariate analysis.

3.5.2. Reliability Measurement -Cronbach Alpha

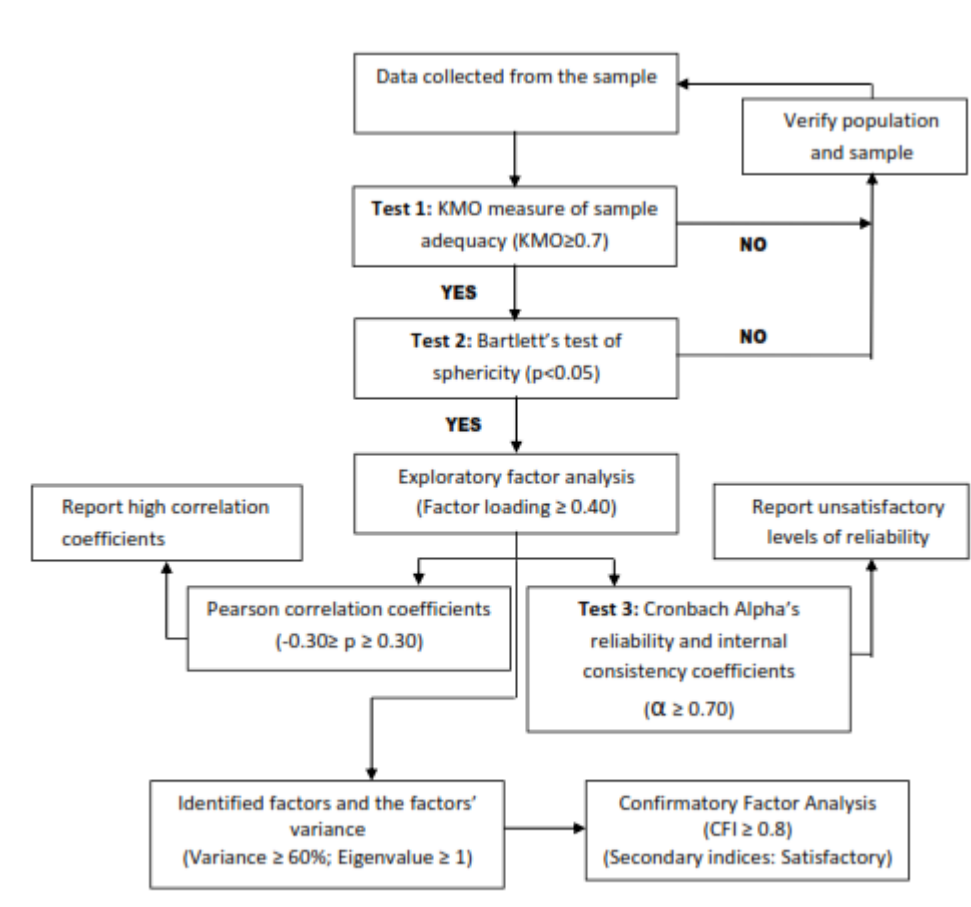
Cronbach alpha coefficient was used to evaluate the reliability (consistency) of the constructs used in the survey. While factor analysis measures the construct validity, Cronbach alpha measures the internal consistency reliability. Field (2007) regards scores of 0.7 and higher as sufficient Correlation coefficients. To measure the relationship between the extracted constructs (factors) of developing and planning performance appraisal, managing and reviewing performance, rewarding performance and employee performance, the correlation coefficients were computed using Pearson's Correlation.

Cronbach Alpha's reliability coefficient was employed to determine if the data collected by the questionnaire and interview agenda schedule (which were the data collection instruments for this study), is reliable and fit for use. Reliability of the data means that the questionnaire measures the same variables repeatedly with similar outcomes or results. This means that if data are reliable, the researcher should, for example, be able to extract the same factors, in a similar application setting. Cronbach alpha values of 0.70 are deemed to be fit (Field, 2007), and as such the required Cronbach Alpha for this study was set at 0.70.

3.5.3. The Pearson Correlation

Pearson Correlation coefficient was employed to identify the inter-correlations between the factors, as well as to determine if any correlations exist between the demographic variables and the factors. Depending on the results of the data analysis, conclusions regarding reliability and validity measurement were drawn on the basis of the following data analysis decision tree as developed (Naidoo, 2011):

Figure 2: Data Analysis Decision Tree



Source: Adapted from Naidoo (2011:19); Field (2007) and Arbuckle (2012)

3.6. Ethical Considerations

Every research work is challenged by adherence to ethics and reliability of the data collected (Anso, 2014). In this research, all ethical requirements were observed and followed throughout the entire research process. Before collecting data, permission was sought and

granted by the Office of the Auditor General, where data were collected. The participants were asked to participate voluntarily and given the chance to withdraw from participation if they chose to do so. Additionally, participants were made to sign the consent form before they participated in this study. All participants were assured that anonymity and confidentiality of the responses were guaranteed. Participants were not expected to write their names on the questionnaire and data were coded to ensure anonymity and confidentiality throughout the research process.

Similarly, for the interview agenda schedule, all the participants were assured of anonymity and confidentiality in the manner in which all the data (including interviewee name and job designation) were coded. All the participants' information was kept confidential and was described in any way that would not allow them to be identified. In addition, the data collected were not used for any purpose other than as stated in the study objectives, which was aimed only for academic research, for the fulfilment of the requirements of the Master's Degree in Business Administration.

For the purpose of this study, ethical requirements as set out by the University of Botswana Ethics Policy for Research (2010) were taken into account. The policy provides a statement of principles and procedures for the conduct of research in cases where human participants are involved. This document was followed to ensure that the study did not contravene the behavioural norms established by the University. Some of the ethical issues which were considered included; respecting the privacy of participants by making them aware of their right not to participate in the research at any time of the data collection process, allowing them to determine when they would participate in the data collection process.

Conclusion

This chapter basically outlines the research paradigm, research methodologies, strategies and design, used in this study, including procedures, participants, data collection tools, data analysis methods as well as data credibility issues. The next chapter presents the results of this study.

Chapter 4: Results

4.0. Introduction

Chapter 3 was a discussion of the research methodology employed by present research. This chapter presents a structured view of the gathered data, addressing the research objectives as well as the research questions with reference to the literature review and the methodology employed. It presents the results of the analysis done and conclusions based on those results.

The present chapter starts with the analysis of the results pertaining to the response rate of the sample selected. It goes further with the results of the demographic and statistical analysis of the sample. Results of the Psychometric Proficiency Analysis of the adapted scale items in Botswana also follow.

Results of Reliability, Validity, Sphericity, Explanatory Factor Analysis and Cumulative Variance Explained tests of the Psychometric Proficiency Analysis are presented. Results of Correlation Analysis of the relationship between the variables in the model are also presented. Results of the regression analysis between the independent or explanatory variables – developing and planning performance appraisal, managing and reviewing performance appraisal and rewarding performance and the dependent variable – employees' performance are presented. Results of the analysis of the Interview Agenda Schedule crowned all the results presented.

For ease of reference, the chapter is divided into sections, as follows; sub-section 4.0 is on the introduction, 4.1 on data presentation and analyses while sub-section 4.1.1 covers the response rate. Sub-section 4.1.2 covers the descriptive analyses of responses; sub section 4.1.3 is a discussion on the inferential analyses of responses, with a wide discussion on a wide range of sub themes, graphical presentations, tabular presentations and analysis in

between. Sub-section 4.1.4 is a presentation and analysis of the interview agenda of the schedule, with the last section bringing closure to the chapter.

4.1. Data Presentation and Analyses

4.1.1. Response Rate

The administered questionnaires and interview agenda schedules were collected from the respondents and 122 [See **Appendix 5: Consolidated Responses to Questionnaire and Interview Agenda Schedule**] out of 150 were filled and collected from appointed key agents for each department within the OAG. This accounted for 81.3% response rate. Thus, the study suffered a non-response bias of 18.7%. The relatively high response rate was attributed to the fact that 80.3% of the respondents had served the organisation for a period not less than 6 years. Therefore, this implied that the majority of the respondents understood the value of this study and also because of the clear and easy to read designed survey questionnaire. Draugalis, Coons and Plaza (2008) indicate that most professional articles had failed to define the response rate but Babbie (2007) states that 50% response rate is adequate and can be reported. 60% is good while above 70% is excellent. Therefore, 81.3% response rate in this study was considered excellent.

4.1.2. Descriptive Analyses of Responses

Results of Demographic and Length of Service Analyses

It is important to discuss the distribution of the valid sample size in terms of age, length of service, gender and departmental affiliation within an organisation. This is meant to give an insight into the attributes of the respondents that took part in the study and to the validity and reliability of this study. It is worth noting that the primary objective of this study was to investigate employees' subjective views on performance appraisal and its impact employee

performance at the Office of the Auditor General of Botswana. In the context of this study, firstly, frequency analysis was conducted and the results of gender composition, age distribution pattern and departmental affiliation at the OAG presented below:

Table 1: Gender Composition at the Office of the Auditor General

		Frequency	Percentage	Valid Percentage	Cumulative Percentage
Valid	Male	57	46.7%	46.7%	46.7%
	Female	65	53.3%	53.3%	100.0%
	TOTAL	122	100.0%	100.0%	

Source: SPSS Result of Analysis of Responses by Sample OAG Employees

Table 1 above, shows the respondent distribution by gender. There is a seeming balance in staff distribution by gender, arising from the percentage distribution of male: 47% and female: 53%. This revealed that both males and females were involved at almost equal proportion in the study, which of course would assist in getting a fair deal of information from respondents. This was attributed to the fact that the Office of the Auditor General is an organisation which is mainly composed of the auditing profession, a field presumed to be gender balanced. This makes the study valid for both male and female conditions.

Table 2: Age Distribution Pattern at the Office of the Auditor General

	Age	Frequency	Percentage	Valid Percentage	Cumulative Percentage
Valid	25-35	50	41.0%	41.0%	41.0%
	36-45	48	39.3%	39.3%	80.3%
	over 55	24	19.7%	19.7%	100.0%
	TOTAL	122	100.0%	100.0%	

Source: SPSS Result of Analysis of Responses by Sample OAG Employees

As shown in Table 2 above, 41 % of the sampled respondents in this study were between 25-35 years in the OAG, while 39 % were among the age range of 36-45 years old. It was also observed that 20 % of the respondents were over the age of 55 years. In analysing the data, the study showed that the highest number of respondents fell within the age group of 25-35, followed by 36-45 with the lowest falling within the age group of over 55 years. These results signify that, there were more junior staff than senior staff involved in the study. This supports the fact that government ministries or agencies operate a pyramid structure, where there are fewer people at the top whereas the base is densely populated. Meanwhile, both senior and junior level staff members require appraisal to move along the cadre, but it could be inferred by interaction with some senior staff members of the OAG that appraisal at the higher level is more political than objective. The fact that there were more junior than senior staff on the respondents' list will enhance quality of responses to be achieved in the study. Additionally, age influences numerous demographic activities such as participation and acceptance of performance appraisal at the Office of the Auditor General.

Table 3: Departmental Affiliation at the Office of the Auditor General

		Frequency	Percentage	Valid Percentage	Cumulative Percentage
Valid	Central Government Audit	52	42.6%	42.6%	42.6%
	Local Government Audit	15	12.3%	12.3%	54.9%
	Performance & Parastatal Audit	28	23.0%	23.0%	77.9%
	IT Audit	23	18.9%	18.9%	96.7%
	Others	4	3.3%	3.3%	100.0%
	TOTAL	122	100.0%	100.0%	

Source: SPSS Result of Analysis of Responses by Sample OAG Employees

Table 3 shows the various Departments that were sampled in the OAG. These include; Central Government Audit, Local Government Audit, Performance Audit, Information Technology Audit and (Others) Departments. The Central Government Audit constitutes 42.6%, while the Local Government Audit Department accounts for 12.3% of the sampled respondents in this study. Additionally, the Performance & Parastatal Audit constitute 23% while Information Technology Audit Department constitutes about 18.9% of the sampled respondents. (Others) Department constitute the lowest percentage of 3.3 %. This is attributed to the fact that (Others) Department actually comprises the corporate services unit which offers mainly support services to the rest of the Audit Departments and it is basically a small proportion of the OAG population. Conversely, the Audit Departments constitute the larger proportion of the OAG population. The audit Departments are the ones that undertake the core business (audit services) of the organisation. The performance of the OAG is largely dependent upon audit service delivery hence, participation of the audit departments in this study is vital in answering the research questions of this study.

Table 4: Work Experience at the Office of the Auditor General

		Frequency	Percentage	Valid Percentage	Cumulative Percentage
Valid	0-5yrs	24	19.7%	19.7%	19.7%
	6-10yrs	61	50.0%	50.0%	69.7%
	11-15yrs	6	4.9%	4.9%	74.6%
	16-20yrs	9	7.4%	7.4%	82.0%
	21-25yrs	16	13.1%	13.1%	95.1%
	26yrs and more	6	4.9%	4.9%	100.0%
	TOTAL	122	100.0%	100.0%	

Source: SPSS Result of Analysis of Responses by Sample OAG Employees

As shown in Table 4 above, 19.7% of the sampled respondents had served the OAG for a period between 0-5 years, 50% had served for a period between 6-10 years, and 4.9% had served for a period between 11-15 years. While about 7.4% had served for a period between 16-20 years, 13.1% had served between 21-25 years and 4.9% had served the organisation for 26 years or more. The implication is that fewer members of the respondents had spent less than 6 years. Also, 80.3 % of the respondents had spent more than 6 years in service. Considering the fact that appraisal is an annual activity, (in the public sector; OAG for example), the least number of times a respondent in this study would have been appraised is thus, 6 times. This is considered a sufficient amount of time for the required experience with appraisals for the respondents and it would therefore, help to provide valid information about performance appraisal at the OAG.

4.1.3. Inferential Analyses of Responses

Psychometric Proficiency Analysis

Reliability, validity and other tests were conducted in order to establish the psychometric proficiency of the adapted scale items in Botswana. This is to ensure that the data is suitable for inferential analyses. Results of the statistical analyses are presented below:

Table 5: Psychometric Nomenclature of the Scale Items

CONSTRUCT	Item	Cronbach Alpha	Factor loading	KMO	Bartlett's Test	Variance Explained	M	SD
Developing and Planning Performance	X ₁	0.85	0.620	0.552	500.305	76.62	2.16	1.098
	X ₂		0.705				2.58	1.170
	X ₃		0.684				2.71	0.895
	X ₄		0.767				3.76	1.135
	X ₅		0.887				4.11	0.964
	X ₆		0.755				4.13	0.823
	X ₇		0.719				4.03	1.163
	X ₈		0.783				2.48	1.455
	X ₉		0.812				4.36	0.656
	X ₁₀		0.860				4.03	1.060
	X ₁₁		0.758				4.01	1.048
	X ₁₂		0.843				4.18	0.643
Managing and Reviewing Performance	X ₁₃	0.72	0.560	0.554	455.749	71.03	2.24	0.945
	X ₁₄						2.85	1.270
	X ₁₅		0.695				2.02	1.213
	X ₁₆		0.918				2.33	1.387
	X ₁₇		0.810				4.12	1.161
	X ₁₈		0.644				3.53	1.046
	X ₁₉		0.693				2.85	1.244
	X ₂₀		0.828				3.89	0.902
Rewarding Performance	X ₂₁	0.75	0.907	0.630	345.603	74.68	4.20	0.642
	X ₂₂		0.826				4.43	0.497
	X ₂₃		0.841				3.77	1.297
	X ₂₄		0.900				3.73	1.171
	X ₂₅		0.775				2.43	1.448
	X ₂₆		0.831				4.05	1.177
Employee Performance	X ₂₇	0.78	0.851	0.586	1635.689	87.69	4.25	0.961
	X ₂₈		0.767				4.26	0.905
	X ₂₉		0.778				4.48	0.955
	X ₃₀		0.675				4.43	0.953
	X ₃₁		0.678				4.28	1.02

	X32		0.810				4.50	0.937
	X33		0.763				4.45	0.936
	X34		0.760				4.16	1.10
	X35		0.664				4.40	0.931

Source: SPSS Result of Analysis of Responses by Sample OAG Employees

i. Reliability Analysis

Cronbach alpha (α) coefficient was used to measure the reliability (internal consistency) of the sub-constructs; planning and developing performance appraisal, managing and reviewing performance, rewarding performance and employee performance. According to Naidoo (2011), Cronbach alpha values of 0.70 are deemed to be satisfactory and acceptable and as such, the required Cronbach alpha for this study was set at a minimum of 0.70. From Table 5 above, the results indicate that the Cronbach alpha coefficient for the sub-constructs were all above the acceptable lower limit of 0.70. Developing and planning performance had a coefficient of 0.85 measured against twelve items, managing and reviewing performance with a coefficient of 0.72 measured against eight items, rewarding performance with coefficient of 0.75 measured against six items while employee performance measured against nine items obtained a Cronbach alpha coefficient of 0.78. The implication is that these values were statistically acceptable as they exceeded the 0.70 minimum threshold (Fraenkel & Wallen, 2006). Hence, all variables were reliable to proceed for inferential analysis.

ii. Validity Analysis

Kaiser-Meyer-Olkin (KMO) Test

The Kaiser-Meyer-Olkin (KMO) measure of sampling adequacy was utilised to ensure that the sample used in the study was adequate. From the data analysis decision tree on Chapter 3 of this paper, (Naidoo, 2011) suggests that a KMO value between 0.5 and 1.0 are considered adequate, whereas values below 0.5 imply that the factor analysis may not be appropriate. As reflected on Table 5 above, KMO analysis was conducted for each variable and the psychometric nomenclature for the scale items indicates that KMO for developing and planning performance sub construct was (0.552). Similarly, the KMO for managing and reviewing performance sub-construct was (0.554) while the KMO for rewarding performance sub construct was (0.630). The Keiser Meyer-Olkin for employee performance sub construct was (0.586). Thus, the results of these statistical analyses indicate that all the research variables exceeded the minimum standard of Kaiser-Mayer-Olkin value of 0.5. This signifies that the sample size for this study was adequate.

Bartlett's Test of Sphericity (BTS)

A further test, Bartlett's Test of Sphericity (BTS), was used to determine if the data were suitable to employ multivariate statistical analysis. This study follows advice by Naidoo (2011) who sets a maximum value of 0.05. Values below 0.05 signify that the data is indeed suitable for multivariate statistical analysis. For this study, the analysis of the results indicates that, the BTS for the sub constructs; developing and planning performance was 500.305, managing and reviewing performance 455.749, rewarding performance 346.603 and 500.305 for employee performance sub-construct. From the analysis of the results, the Bartlett's Test of Sphericity was significant. Thus, from the results of the analysis, both the Keiser Meyer-

Olkin and Bartlett's Test of Sphericity confirmed construct validity of the data. Thus, the two test requirements were fulfilled and therefore, factorability was assumed (Coakes & Ong, 2011).

Exploratory Factor Analysis (EFA)

Due to the exploratory nature of this study, factor loadings of 0.4 and higher are considered to validate the items that measure the influence of each of the performance appraisal metrics on employee performance (Field, 2007). As shown in Table 5 above, the psychometric nomenclature of the scale items indicates that the factor loading for the sub constructs; developing and planning performance ranged from 0.620 to 0.887. Additionally, the factor loadings for managing and reviewing performance ranged from 0.560 to 0.918; rewarding performance ranged from 0.775 to 0.907 while factor loading for employee performance sub construct ranged from 0.664 to 0.851. The statistical analysis therefore, confirmed the validity and reliability of the measurement scales used for this study.

Cumulative Variance Explained

The variance explained by the factor analysis serves as an indicator to determine the importance of each of the constructs to measure employee performance. Field (2007) indicates that, a variance of 60% and higher is regarded to be a good fit to the data. This study aims to achieve a good fit to the data, by explaining at least 60% of the variance per factor. In the context of this study, the Variance Explained for the sub constructs; developing and planning performance was 76.62 %, managing and reviewing performance 71.03 %, rewarding performance 74.68 % while the Variance Explained for employee performance sub construct was 87.69 %. From this analysis, the factors returned high cumulative variances in excess of a 60% which is regarded to be a good fit of the data (Chummun, 2012; Shukia,

2004). Therefore, the results supported the undimensionality of the sub constructs in this empirical study in Botswana. Furthermore, the mean values of the sub-constructs explained the contribution of the scale items in explaining Employee Performance at the Office of the Auditor General.

Results of Correlation Analyses

After proving that the scales were reliable and sufficient to measure the data in this study, a further test to measure the relationship between the extracted constructs (factors) of developing and planning performance appraisal, managing and reviewing performance, rewarding performance and employee performance, the correlation coefficients were computed using Pearson's Correlation. The Pearson correlation was measured at the $p < 0.01$ level. The table below illustrate the results of the correlation analysis.

Table 6: Correlation Matrix

		DPP2017	MRP2017	RP2017	EP2017
DPP2017	Pearson Correlation	1	.558**	.778**	.156**
	Sig. (2-tailed)		.000	.000	.045
	N	122	122	122	116
MRP2017	Pearson Correlation	.558**	1	.422**	.013**
	Sig. (2-tailed)	.000		.000	.023
	N	122	122	122	116
RP2017	Pearson Correlation	.778**	.422**	1	.021**
	Sig. (2-tailed)	.000	.000		.025
	N	122	122	122	116
EP2017	Pearson Correlation	.156**	.013**	.021**	1
	Sig. (2-tailed)	.045	.023	.025	
	N	116	116	116	116
**. Correlation is significant at the 0.05 level.					

Source: SPSS Result of Analysis of Responses by Sample OAG Employees

From Table 6 above, the correlation results indicate that Developing and Planning performance appraisal (DPP2017) and Employee Performance (EP2017) are significantly and positively associated at $r = .156^{**}$, $p < .045$ among the sampled respondents. Thus, the correlation coefficient shows a positive value of $r = .156$ meaning a positive relationship exists between Developing and Planning Performance appraisal (DPP2017) and Employee Performance (EP2017). With a significant value of less than or equal to 0.05 at $p < .045$, one can conclude that the relationship which exists between Developing and Planning Performance appraisal (DPP2017) and Employee Performance (EP2017) is significant and true. This satisfies the first hypothesis that Developing and Planning Performance appraisal (DPP2017) and Employee Performance (EP2017) are significant and positively related. This is in line with the Goal Setting Theory assumes that there is a direct relation between the

definition of specific and measurable goals and performance: if managers know what they are aiming for, they are motivated to do their best to achieve the goals.

Similarly, the correlation results indicate that Managing and Reviewing Performance appraisal (MRP2017) and Employee Performance (EP2017) are significantly positively associated at $r = .013^{**}$, $p < .023$ among the sampled respondents. Thus, the correlation coefficient shows a positive value of $r = .013$ meaning a positive relationship exists between Managing and Reviewing Performance appraisal (MRP2017) and Employee Performance (EP2017). With a significant value of less than or equal to 0.05 at $p < 0.23$, one can conclude that the relationship which exists between Managing and Reviewing Performance appraisal (MRP2017) and Employee Performance (EP2017) is significant and true.

This satisfies the second hypothesis that Managing and Reviewing Performance appraisal (MRP2017) and Employee Performance (EP2017) are significant and positively related. This is supported by the Control Theory, which emphasises the importance of managing and reviewing performance in terms of providing feedback in order to enhance employee performance. The theory assumes that when people receive performance appraisal feedback with regards to their behaviour, they are in a way made to acknowledge the difference or divergence between their actual performance and the performance that is expected of them. By so doing, they will be able to take corrective actions where necessary. Thus, managing and reviewing performance is positively related to improved performance.

In addition, the correlation results indicate that Rewarding Performance (RP2017) and Employee Performance (EP2017) are significantly and positively associated at $r = .021^{**}$, $p < .025$ among the sampled respondents. Thus, the correlation coefficient shows a positive value of $r = .021$ meaning a positive relationship exists between Rewarding Performance (RP2017) and Employee Performance (EP2017). With a significant value of less than or equal to 0.05 at

$p < .025$, one can conclude that the relationship which exists between Rewarding Performance (RP2017) and Employee Performance (EP2017) is significant and true. This satisfies the third hypothesis that Rewarding Performance (RP2017) and Employee Performance (EP2017) are significant and positively related. This is in line with the Expectancy Theory which postulates that different people want different things from their organisation in order to increase performance. This ranges from a good salary to job security; to scopes for professional enrichment. This therefore, affirms that there is a positive relationship between rewarding performance and employee performance.

Results of Regression Analyses

Correlation does not mean causation and does not explain the rate of change in variable as a result of change in another variable. Hence, the study employed regression analyses to achieve the objective of analysing the effect of employees' perception of performance appraisal on employees' performance. Having done the reliability, validity and other tests in order to establish the psychometric proficiency of the adapted scale items in Botswana, regression analyses was deemed fit to be performed. Below is the regression equation that was estimated.

$$EP = \beta_0 + \beta_1DPP + \beta_2MRP + \beta_3RP + e$$

Where:

β_1 , β_2 and β_3 = regression coefficients

Y = employees' performance

β_0 = constant

e = error term

DPP = Developing and Planning Performance appraisal

MRP = Managing and Reviewing Performance appraisal

RP = Rewarding Performance

Below is a table showing the results of the regression analyses.

Table 7: Regression Analysis Results

	Unstandardised Coefficient (β) and SE	Standardised Coefficient (β) and SE	T. value	Significant value	Lower Bound	Upper Bound	Partial	Part	Tolerance	VIF
Constant	45.856 (4.747)		9.605	0.000	36.396	55.316				
DPP 2017	0.632 (0.190)	0.520	3.328	0.001	1.009	0.256	0.156	0.300	0.333	3.006
MRP 2017	0.207 (0.153)	0.147	1.352	0.179	0.096	0.510	0.013	0.127	0.692	1.445
RP 2017	0.677 (0.268)	0.363	2.528	0.013	0.147	1.208	0.021	0.232	0.394	2.541

Source: SPSS Result of Analysis of Responses by Sample OAG Employees

As it can be seen from Table 7 above, the value of β for variable, developing and planning performance appraisal ($\beta = 0.520$), which is positive and shows positive change in dependent variable, similarly the value of T ($t = 3.328$) is greater than the average value of 2 and p value is less than .05. So it shows that developing and planning performance appraisal and employee performance are significantly and positively related, hence our alternate hypothesis (H1) for developing and planning performance appraisal and employee performance is supported and accepted in this empirical study in Botswana. It shows that if developing and planning performance appraisal increases by 0.520 units, employees' performance will increase by 1 unit.

Managing and Reviewing performance ($\beta = 0.147$, $t = 1.352$) are also significantly and positively related to employee performance. Hence, Hypothesis (H2) is also supported and accepted in this study. As it can be seen from above Table 7 above, the value of β for variable managing and reviewing performance, ($\beta = 0.147$), that is positive and shows positive change in dependent variable, though the value of T ($t = 1.352$), as it is less than the average value of 2. The p value is less than .05 so it shows that, managing and reviewing performance and employee performance are significantly and positively associated, hence our alternate hypothesis for managing and reviewing performance and employee performance is supported and accepted in this empirical study in Botswana. This therefore, implies that, if managing and reviewing performance appraisal increases by 0.147 units, employees' performance will increase by 1 unit.

As it can be seen from Table 7 above, the value of β for variable rewarding performance, $\beta = 0.363$, which is positive and thus, shows positive change in dependent variable, similarly the value of T ($t = 2.528$) is greater than the average value 2 and p value is less than .05. So it indicates that, there is a significant and positive relationship between rewarding performance and employee performance, hence our alternate Hypothesis (H3) for rewarding performance and employee performance is supported and accepted in this empirical study in Botswana. It shows that if rewarding performance increases by 0.363 units, employees' performance will increase by 1 unit.

Additionally, the Tolerance and Variance Inflation Factor (VIF) values also demonstrate that multicollinearity assumptions were not violated in this study. Therefore, Developing and planning performance accounted for 5% variation in employee performance, while managing and reviewing performance account for 14.7% variation in employee performance. Additionally, rewarding performance accounted for 36.3% variation in the employee

performance of sampled respondents in this empirical study in Botswana. These tolerance values were more than the tolerance value of 0.20 (as a rule of thumb), indicating the variables were not affected by multicollinearity problem (Fox, 1991; Tabachnick & Fidell, 2001). These results therefore, imply that objective 1 which seeks to determine whether performance appraisal had any impact on employee performance at the OAG was achieved.

4.1.4. Analysis of the Interview Agenda Schedule

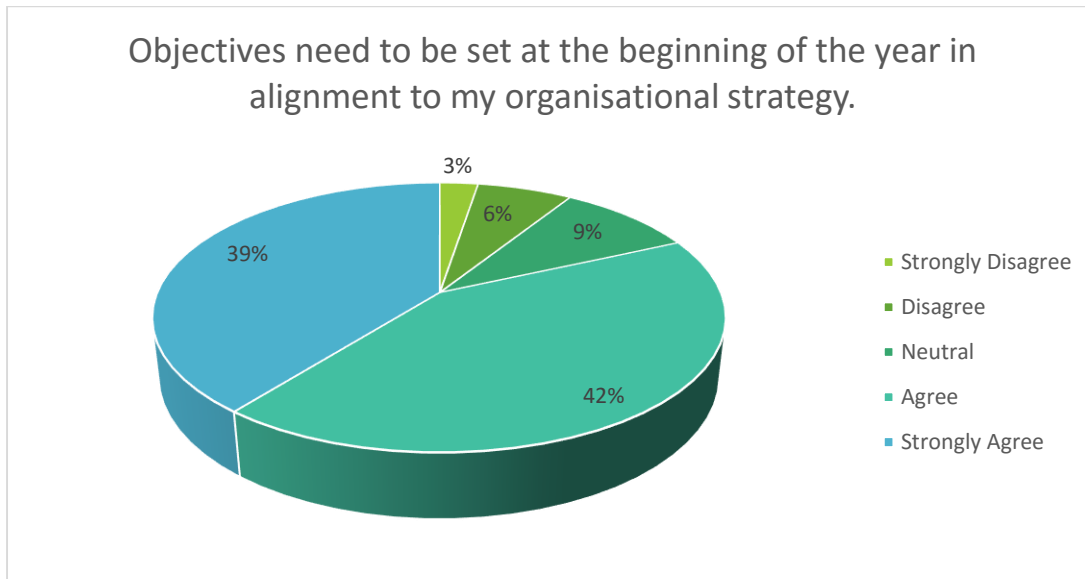
Performance appraisals at OAG is a similar undertaking as other government departments and nothing peculiar. The same Performance Development Plans forms used to appraise employee performance are used across the entire Government of Botswana workforce. This includes the evaluation criterion. However, OAG has its internal performance appraisals although based on the similar government requirements. Through the research questionnaire and interview agenda schedule, a variety of perspectives relating to the actual structure of the form, the relationship between the current appraisal system to employees' personal needs as well as the business needs were noted as per each objective.

Objective 1

To investigate employees' subjective views on performance appraisal and its impact on employee performance.

To address the research objective, respondents were asked questions that were related to developing and planning performance, managing and reviewing performance and rewarding performance. These questions were intended to solicit employees' views and perceptions regarding those attributes that can affect performance appraisal positively or negatively as reflected on the graphs below:

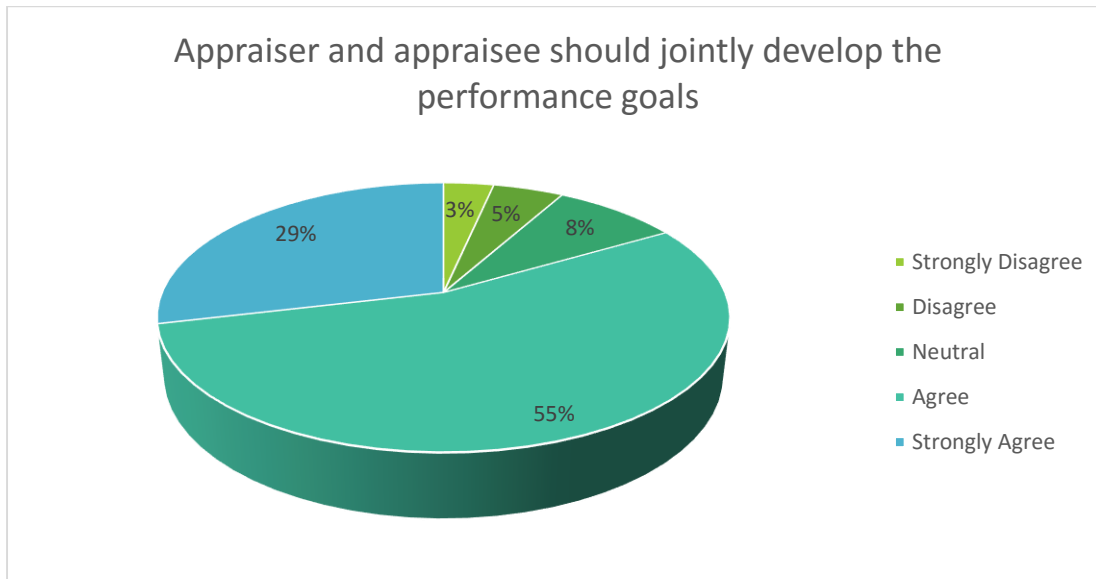
Figure 3: Setting and Alignment of Objectives to Organisational Strategy



Source: SPSS Result of Analysis of Responses by Sample OAG Employees

From the analysis of the results, 39% of the respondents strongly agree, 42% agree that objectives need to be set at the beginning of the year in alignment to the organisational strategy. However, 3% strongly disagreed, 6% disagreed while 9% of the respondents remained neutral. In view of the respondents, the main purpose of performance appraisal was to support HR decision such as promotions and trainings, which were highly dependent on performance reviews and reports of employees. However, the appraisees argued that, the performance appraisal system did not accurately record their performance. They further confirmed that, there was a discordant relationship between planning and employee appraisal. According to the respondents, this was so because the Performance Development Plans were not prepared regularly at the beginning of each year to record employees' performance during the year under review, therefore, this discrepancy ultimately affected promotion decisions of employees in the OAG.

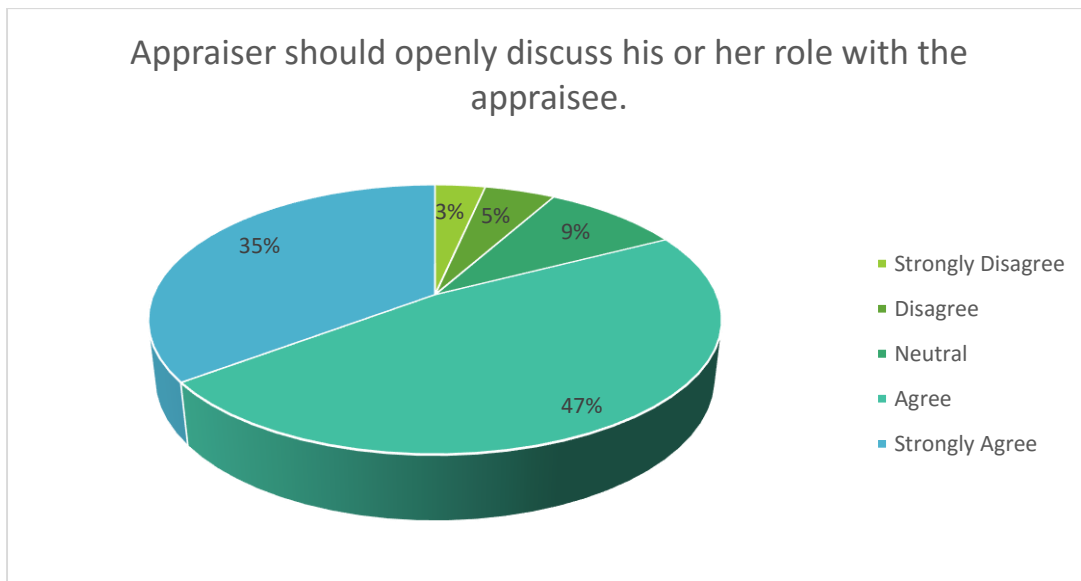
Figure 4: Development of Performance Goals



Source: SPSS Result of Analysis of Responses by Sample OAG Employees

From the pie chart, it could be deduced that, 29% of the respondents strongly agree while 55% agree that both appraiser and appraisee should jointly develop performance goals. On the other hand, 3% strongly disagree, 5% disagree with the statement while 8% of the respondents maintained a neutral position. The respondents acknowledged the importance of jointly developing goals as it encouraged ownership and accountability of the goals by both the appraiser and appraisee hence contributing to overall performance of the organisation. The implication was that most respondents were aware of the performance appraisal system, and only if it was well implemented or executed could it bring about improved employee motivation, productivity and performance in OAG. Due to the above inadequacy, it is critical for the OAG management to clearly disseminate information about the purposes and importance of performance appraisal in the OAG.

Figure 5: Role Clarity of appraiser and appraisee

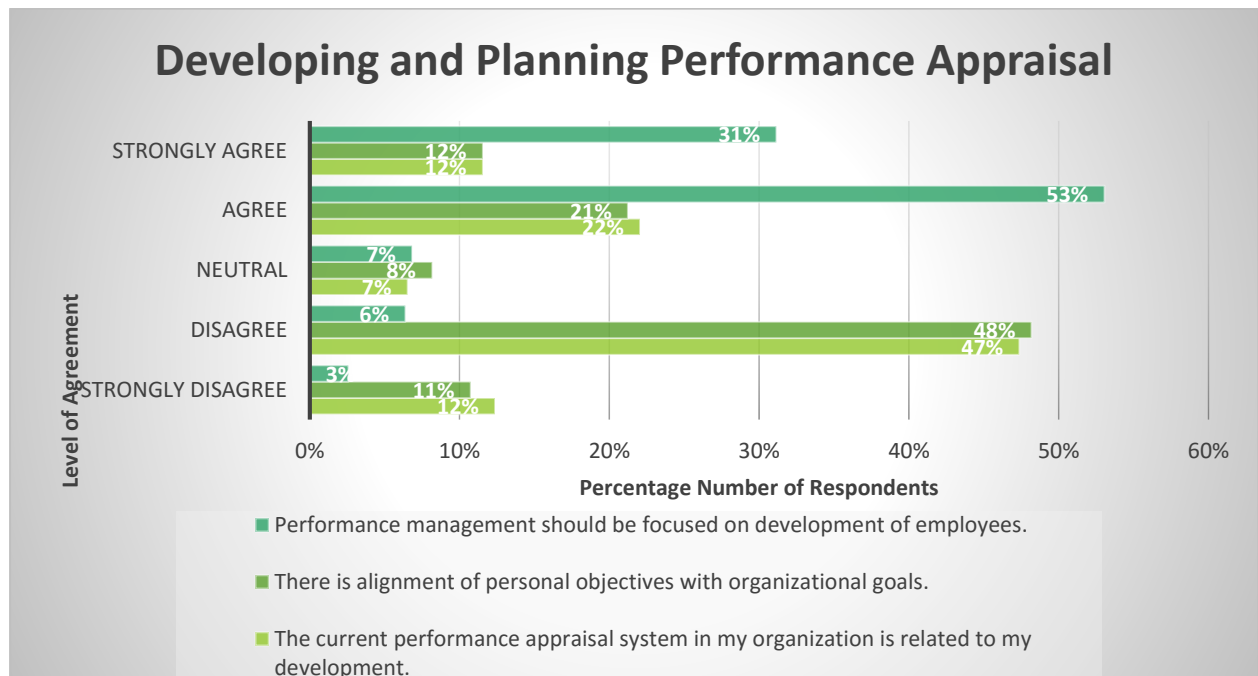


Source: SPSS Result of Analysis of Responses by Sample OAG Employees

The analysis of the result indicates that 35% of the respondents strongly agree and 47% agree that appraiser should openly discuss his or his role with the appraisee, thus there should be continuous communication and feedback between the two through the entire appraisal process. 3% strongly disagree, 5% disagree but 9% maintained a neutral position. The respondents confirmed that if they could understand the role of the appraiser and what is expected of them as well as get regular feedback about their performance; this would secure competitive positioning for the OAG. They highlighted that feedback would help them to identify their strengths and weaknesses, which could invariably produce opportunities or threats to their organisation. Thus, the respondents perceived feedback, as a crucial stimulus that affects motivation and performance, since behaviour that is rewarded (eliciting positive feedback), tends to be repeated while behaviour that is not being rewarded (eliciting negative, irrelevant or no feedback) tends not to be repeated (Aronson, Wilson & Akert, 2005). Furthermore, (Taderera & Migiro, 2010) confirms that lack of communication and

continuous feedback to employees on their performance impedes overall performance of an organisation. (For detailed analysis of figures 3, 4 &5 refer to Appendix 6).

Figure 6: Personal Objectives, Organisational Objectives & Employee Development



Source: SPSS Result of Analysis of Responses by Sample OAG Employees

The above graph illustrates that 31% of the respondents strongly agreed, 53% agreed that performance management should focus on development of employees. While 7% were neutral, 6% disagreed and 3% strongly disagreed. From the analysis, most of the respondents, about 84% believe that there has to be a direct link between performance management and development of employees. This is so because, an employee performance appraisal can act as motivation for an employee to improve his performance. When employee goals are clearly defined, performance challenges identified and career development strategies put in place to advance their careers, the effect will motivate the employee to achieve their goals. Basically, creating comprehensive plans for employee development and giving them achievements to strive for will inspire a higher level of efficiency.

Furthermore, the graph reflects that 12% of the respondents strongly agree and 21% agree that there is alignment of personal objectives with organisational objectives. A proportion of 8% of the respondents maintained a neutral position. Nonetheless, 48% disagree, while 11% strongly confirm that there is no alignment of personal objectives to organisational objectives at the OAG. Thus, a total of 59% opine that, it is critical that personal objectives be aligned to the organisational goals. This implies that when employees clearly understand their individual goals and how they relate to those of the organisation they tend to become more engaged with their work, which will ultimately increase employee performance.

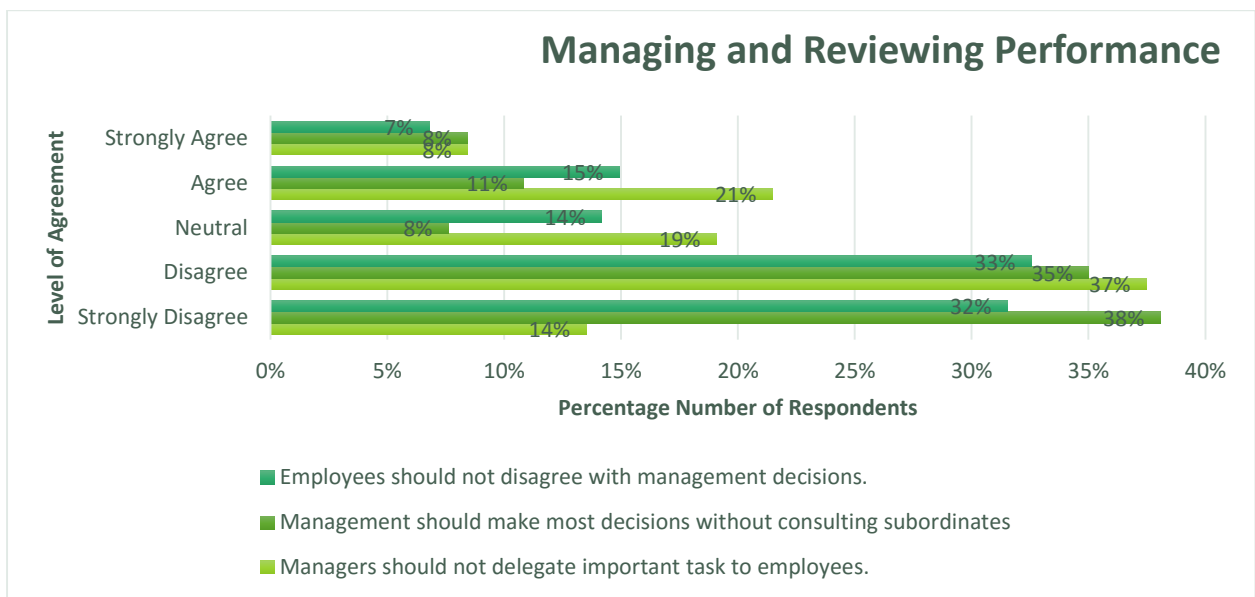
According to the above graph, 12% of the respondents agree and 22% strongly agree that the current performance appraisal system at the OAG is related to their development. While 7% of the respondents were neutral, 47% disagreed and 12% strongly disagreed that the system was related to their development. The majority of the respondents indicated that the system did not completely support HR decisions or fulfil those purposes for which it had been designed and implemented in the OAG.

Although, employees were given various trainings to develop them, the respondents were of the view that, the decisions were not based on any specific training needs assessment program, therefore, such trainings were unfocused. This therefore, implies that, practically there was a weak linkage between performance appraisal and HR decisions. This therefore, calls for the OAG management to explicitly link HR decisions with the organisation's performance appraisal system. This will resultantly, develop appraisees' perceptions that the performance appraisal system has some purposes for which it has been practiced in the entire public service.

The above contentions can be credited to the works of (Aronson, Wilson & Akert, 2005) in which they indicate that performance appraisals, more especially in service-oriented

organisation like OAG, have an incredible motivational impact on people. Performance appraisals deal with psychology that emotions are extracted from people’s evaluation. These emotions result from people’s interpretations and explanations of their circumstances even in the absence of physiological arousal (Aronson, Wilson & Akert, 2005).

Figure 7: Management Decisions, Consultation and Delegation



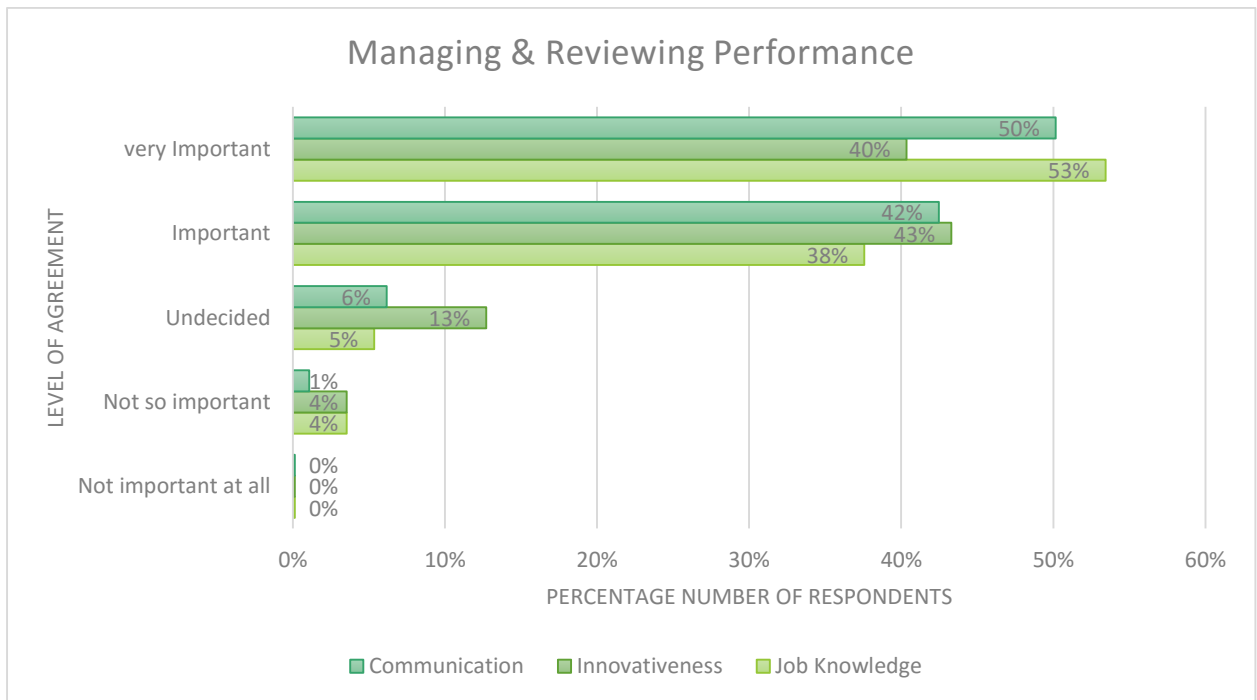
Source: SPSS Results of Analysis of Responses by Sample OAG Employees

From the analysis of the results, 7% strongly agree that employees should not disagree with management decisions, and 15% agree with this statement. While 14% were neutral, a proportion of 33% disagreed and 32% strongly disagreed that employees should not disagree with management decisions. This implies that, the majority of the respondents were of the view that employees do not necessarily have to agree with all management decisions. Thus, if employees are accorded the opportunity to question some of the management decisions, this will allow them to voice their grievances with confidence. This will show intuition and innovativeness thereby permitting for employee growth, which may ultimately improve performance.

Relative to management perspective and control, 8% strongly agree and 11% agree that Management should make most decisions without consulting subordinates. 38% strongly disagree and 35% disagreed with this statement. 8% of the respondents remained neutral. Consulting subordinates before making decisions is an important aspect of human resource management as it builds rapport and trust between both management and their subordinates and therefore, could positively contribute to overall organisational performance.

Moreover, 8% of the respondents strongly agree that managers should not delegate important tasks to employees whereas 21% agree. 19% of the respondents were neutral. Nonetheless, 37% disagreed and 14 % strongly disagreed that management should not delegate important tasks to employees. This signifies that management should delegate important tasks to employees in order to enhance both their leadership roles and managerial skills. Equally, important, delegating important tasks to employees will help prepare them for promotions so that appraising their performance will verify their readiness for higher. According to the Expectancy theory, a leader needs to present a reasonably challenging assignment to the employee. Research has shown that unchallenging work leads to boredom, frustration and marginal performance. Similarly, challenging work allows for self-confidence, education, ability development, training, skills and experience, among other things.

Figure 8: Importance of Communication, Innovation and Job Knowledge in Performance Appraisal



Source: SPSS Result of Analysis of Responses by Sample OAG Employees

From the above graph, it can be deduced that, 50% and 42 % of the respondents attested that, communications skills were very important and important respectively. 6% of the respondents were undecided while none of the respondents opined that communication skills were not so important at all.

The analysis of the results also indicated that, 40% and 43% of the respondents concurred that innovativeness in job improvement was very important and important respectively. 13% of the respondents answered undecided. Conversely, 4% of the respondents were of the view that innovativeness is not so important. However, innovation plays a pivotal role in improving performance as it offers employees the opportunity to utilise their creativity in undertaking their tasks.

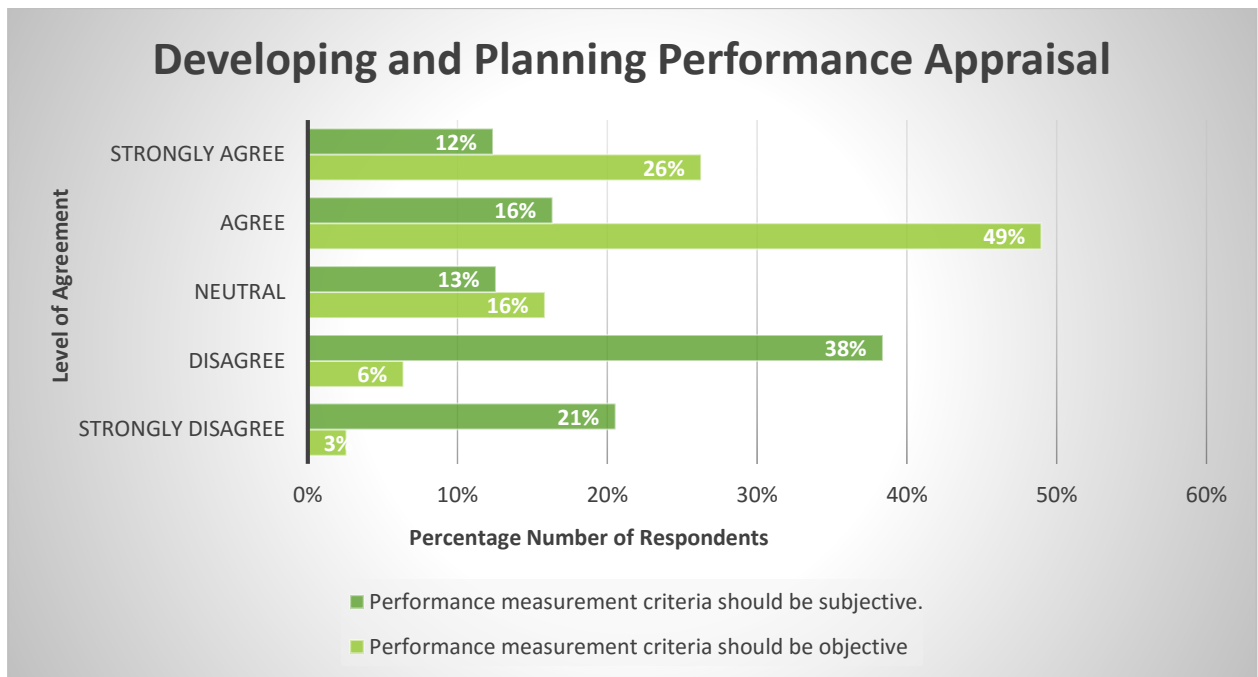
Furthermore, it could be noted that, 53% of the respondents were of the impression that review based on job knowledge is very important while 38% viewed it as important. 5% of the respondents were undecided whereas 4% confirmed that job knowledge was not so important. No respondent viewed job knowledge as being not important at all. This represents a greater understanding of the relationship between performance appraisal and job knowledge; hence, ratings should be awarded based on how well one knows their job. Employees' knowledge, expertise, and skills are central to the success of any job and contribute immensely to the efficacy with which employees do their job. **(For detailed analysis of figures 6, 7 & 8 refer to Appendix 6).**

Objective 2

Assess employees' perception about the existing performance appraisal system in the Office of the Auditor General-Botswana.

The research questions to address this objective were designed to get employees' reactions to the statements and issues about performance appraisal at OAG. The framework was designed to align statements and questions in such a way to assist in determining the reactions using a five-point Likert scale on a continuum from Strongly Agree, Agree, Neutral, Agree and Strongly Disagree. The results of the analysis are graphically presented on the next page:

Figure 9: Performance Measurement Criteria



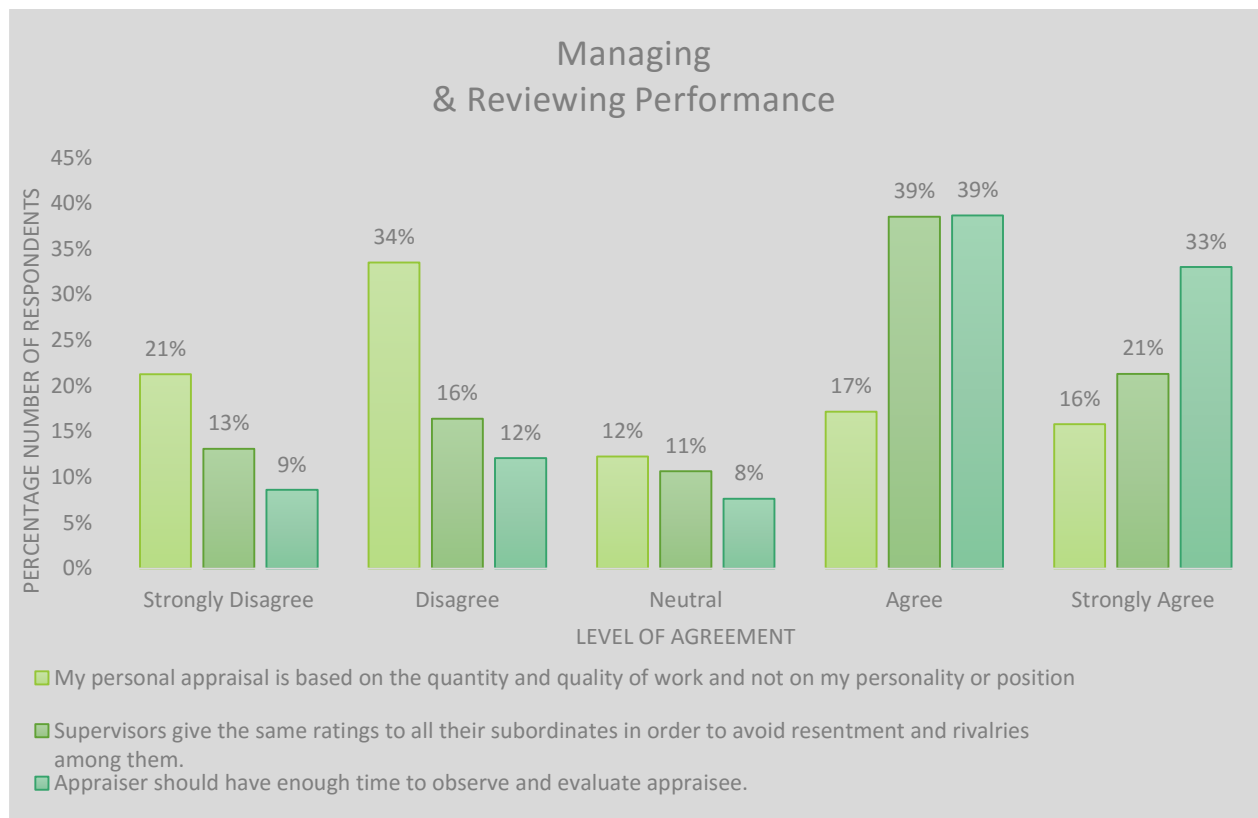
Source: SPSS Result of Analysis of Responses by Sample OAG Employees

It can be ascertained from the graph that 12% and 16% of the respondents strongly agree and agree that, performance measurement criteria should be subjective respectively. While 13 % of the respondents were neutral, 38% disagreed and 21% strongly disagreed that performance measurement criteria should be subjective. Thus, a combined total of 59% do not think that performance measurement criteria should be subjective while a meagre proportion of 28% think otherwise.

On the aspect of the performance measurement being objective, 26% strongly agreed, 49% agreed, 16% remained neutral while 6% and 3% disagreed and strongly disagreed with the statement respectively. The implication is that the majority of the respondents, that is 75%, opined that performance measurement criteria should be objective rather than being subjective. However, the majority of the respondents confirmed that this was not the case at the OAG, as they perceived the performance appraisal system to be ineffective and at times not based on equity. According to the respondents, the system was characterised by personal

influences occasioned by organisation’s preoccupation of being inconsistent and unsystematic in conducting appraisals, which hinders objectivity and fairness. This is in line with (Tadarera & Migiro, 2010) who indicate that, inconsistencies in conducting appraisals negate the effectiveness of a performance appraisal system in meeting the organisation’s objectives.

Figure 10: Personal Appraisal and Ratings



Source: SPSS Results of Analysis of Responses by Sample OAG Employees

From graph 5, 21 % of the respondents strongly disagree while 34 % disagree that employee personal appraisal is based on the quantity and quality of work rather than on their personality or position. A proportion of 12% of the respondents were neutral. While 17% agreed, 16% strongly agreed that personal appraisal is based on quantity and quality of work and not on personality or position. Although, performance appraisals should be based on the quality and quantity of work and not consider position or personality in order to improve

performance, the majority of the respondents indicated that appraisals were based more on personality and position. **(For detailed analysis of figures, 9 & 10 refer to Appendix 7).**

Furthermore, 13% strongly disagree that supervisors give the same ratings to all subordinates in order to avoid resentment and rivalries among them while 16% disagree. 12% of the respondents neither agreed nor disagreed. While, 39% agreed, 21% strongly agreed with this notion. Giving the same, ratings to employees in order to avoid resentment and rivalries negate employee performance, as this will mean the performance appraisal would now be a formality, hence would not encourage competition and growth amongst employees.

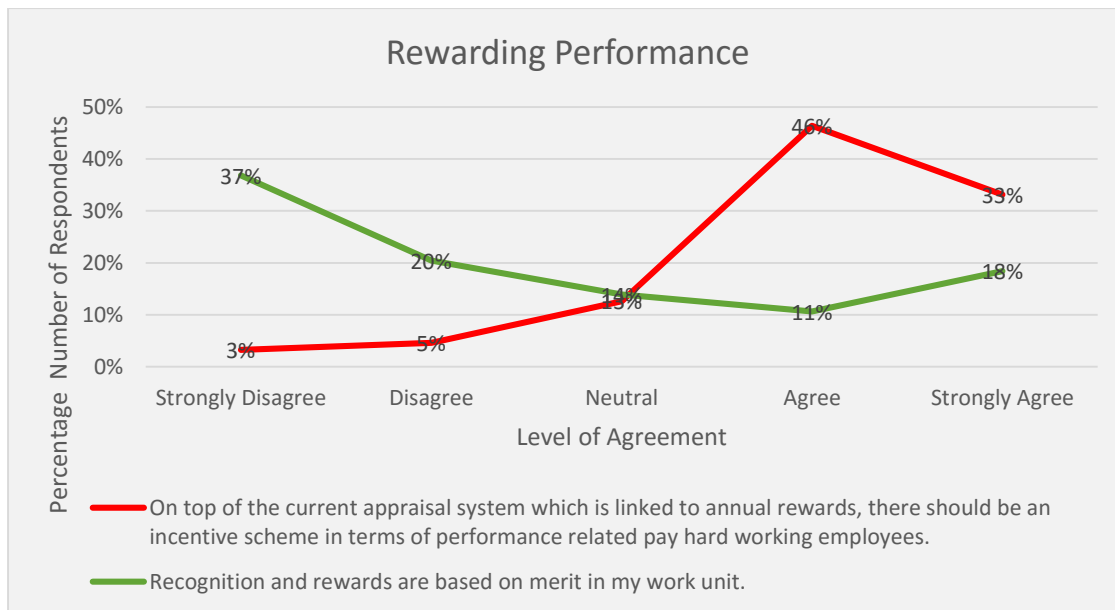
With regards to the time that has to be allocated to the appraisal process, 9% of the respondents strongly disagree that appraisers should have enough time to observe and evaluate appraisees and 12% disagree. 8% of the respondents were neutral. 39% agree and 33% strongly agree that they should be enough time given to observation and evaluation of employees as this will help reduce such factors as subjectivity and the related halo effects. Giving it enough time will also encourage the appraisee to improve to score better marks.

Objective 3

Determine the effectiveness of the current performance appraisal system in the Office of the Auditor General-Botswana with regards to improving employee performance.

Femi (2013) posits that, organisational performance and its resultant efficiency and effectiveness can only be achieved when individuals are continuously appraised and evaluated. Therefore, in order to assess the effectiveness and efficiency of performance appraisal, and further establish whether the respondents knew the rationale behind performance appraisal, the respondents were asked questions relating to attributes that can make appraisals effective or ineffective as per the graphs on the next page:

Figure 11: Current Performance Appraisal System, Recognition and Rewards



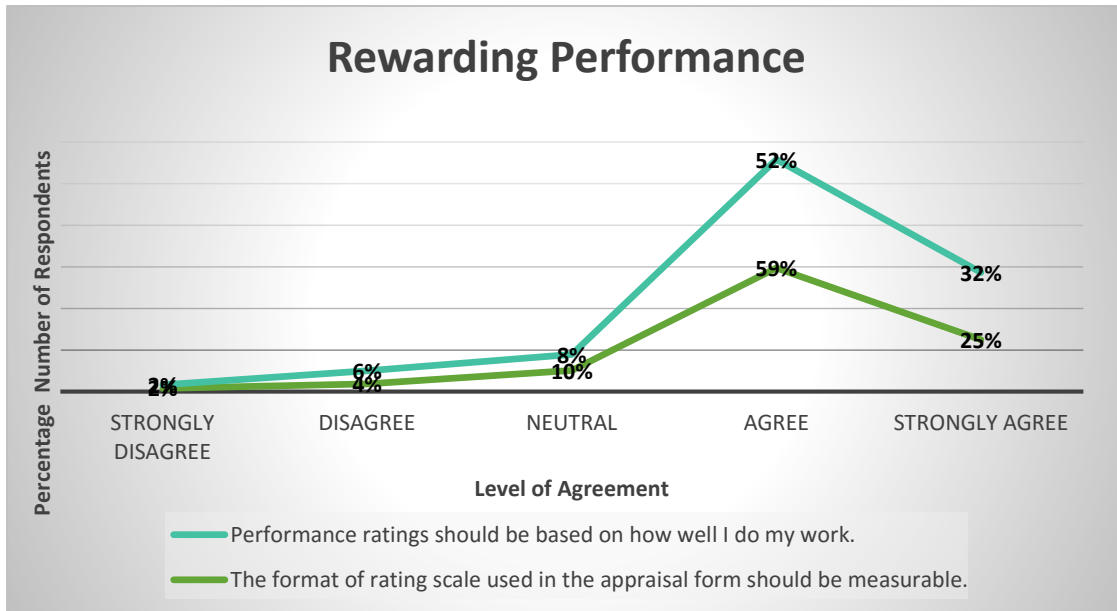
Source: SPSS Results of Analysis of Responses by Sample OAG Employees

From the graph, 3% of the respondents strongly disagreed, 5% disagreed that on top of the current appraisal system there should be an incentive scheme in terms of performance related pay to hard working employees. 13% of the respondents were neutral. Contrary to this, 46% of the respondents agreed and 33% strongly agreed that there is need for an incentive scheme. Thus, the results indicate that the majority of the respondents, that is, 79% felt that the system tends to favour and reward non-performers as opposed to high performers. Therefore, they viewed the system as ineffective hence, the need for a separate incentive scheme for paying hard working employees.

From the graph, 18% of the respondents strongly agreed, 11% agreed that the recognition and rewards were based on merit in their work units. A meagre 14% were neutral. However, 20% of the respondents disagreed and 37% strongly disagreed that recognition and rewards were based on merit in their work units. The implication was that majority of the respondents felt the non-performers were recognised and rewarded over their high performing counterparts

which they believed demoralised them and ultimately compromised overall employee performance.

Figure 12: Performance Rating and Format of Rating Scale



Source: SPSS Results of Analysis of Responses by Sample OAG Employees

On rewarding performance, 2% of the respondents strongly disagree that the performance ratings should be based on how well one does their work, 6% disagree and 8% were neutral. On the other hand, a proportion of 52% agreed and 32% agreed with this perspective. This therefore, implies that for performance appraisals to be relevant and objective, performance ratings should be based on merit.

Notwithstanding, 2% of the respondents strongly disagree and 4% disagree that the format of rating scale used in the performance appraisal form should be measurable. While 10% of the respondents were neutral, 59% agree, and 25% strongly agree that the rating scales used for appraising employees should be measurable. It is very critical for the rating scales to be measurable so as to have yardsticks, against which to measure performance for comparability purposes. This is in accordance with (Carlopio et al.) assertion that goals must include

targets, standards or desired performance indicators for objective job evaluation purposes. **(For detailed analysis of figures, 11 & 12 refer to Appendix 8).**

Generally, the study revealed that low management accountability was one of the difficulties associated with performance appraisal at the OAG. This is also supported by previous studies, (Monyatsi, Steyn & Mamper, 2006), who found that the appraisal system in Botswana required further improvement to ensure general professional acceptance and implementation. Low management accountability at the OAG undermines performance management reforms such as performance appraisal.

Conclusion

This study proposed a conceptual framework based on performance appraisal research literature. The results of the analysis pointed out that the performance appraisal system at the Office of the Auditor General was ineffective in that it was not explicitly linked to the organisation's HR decisions. Despite this indictment, the measurement scales used in this study satisfactorily met the standards of validity and reliability analyses. Moreover, the outcomes of testing research hypothesis confirmed that performance appraisal metrics; developing and planning performance appraisal, managing and reviewing performance appraisal and rewarding performance were significantly and positively related to employee performance in this empirical study in Botswana.

Chapter 5: Discussion, Conclusions, and Recommendations

5.0. Introduction

Chapter 4 was a presentation of the findings and results of the study. This chapter summarises the main findings and conclusions derived from this study. The chapter also presents research contributions and implications and then reports the limitations of the research process. Finally, the chapter concludes with critical recommendations and directions for future research, as well as the author's own personal reflections on this study.

The chapter proceeds as follows; sub section 5.1 is a summary of the research findings, while the research recommendations appear under sub section 5.2 followed by study limitations and implications of implications of the study to both Theory and Practice as sub sections 5.3 and 5.4 respectively. This is followed by directions for future research, as sub section 5.5 and finally, the overall conclusion.

5.1. Summary of the Research Findings

The objective of this study was to investigate employees' subjective views on performance appraisal and its impact on employee performance at the Office of the Auditor General-Botswana had any impact on employee performance. The findings of this study resonate with the proponents of performance appraisal pundits who argue that performance appraisals are useful and necessary for the life of organisations as they are a vital tool used to measure the frameworks set by any organisation to its employees (Daoanis, 2012). In today's competitive environment, performance appraisal rates the employees in terms of their performance.

The analyses of the results confirm that, developing and planning Performance ($\beta= 0.520$, $t=3.328$), managing and reviewing performance ($\beta = 0.147$, $t= 1.352$) and rewarding performance ($\beta= 0.363$, $t =2.528$) were significantly and positively related to employee

performance in this empirical study in Botswana. Thus, all the hypotheses were supported in this study. For this reason, the findings provide parallel support to (Suguna & Koshy, 2014) postulation in which they argued that performance appraisal mechanisms can foster positive relationships between performance management and employee performance. Therefore, in the context of this study, the tangible and intangible typologies of performance appraisal could provide an enduring platform for employee performance in the Office of the Auditor General-Botswana.

Additionally, it came to light that if the process of performance appraisal is formal and properly structured, it would help the employees to clearly understand their roles and responsibilities and give direction to the individual's performance. Based on the findings of this empirical study, the respondents affirmed that if they were accorded the opportunity to set their own individual goals, this would motivate them to perform better in the organisation because they would keep referring to those set goals. In situations where it seemed the goals could not be actualised, the goals would be continually reviewed and made more realistic.

These findings could be easily understood in light of Goal Setting Theory. The theory assumes that participation in goal setting is associated with increased goal understanding (Erez, Earley & Hulin; 1985), increased goal acceptance (Locke 1968; Erez & Kanfer; 1983), increased commitment to the goal (Lawler & Hackman, 1969) and more ambitious goal setting (Latham & Saari, 1979). In turn, all these reactions are related to increased task performance (Erez & Kanfer, 1983), thereby linking employee participation in goal setting to performance appraisal system effectiveness (Kleingld, Van Tuijl & Algera, 2004).

Akinbode, Omoniyi, Oludayo & Salau (2014) attest that, individuals' attitude towards work is influenced by the expected returns. The employees would respond either positively or negatively to organisational goals based on its anticipated satisfaction. In this regard, if

employees were accordingly rewarded and promoted for a job well done, it would increase their commitment and loyalty in the organisation. Most respondents in this study affirmed that promotion increased the level of satisfaction and productivity in the OAG.

In summary, a high level of relationship exists between performance appraisal and employee performance in the Office of the Auditor General, which relates to the perception of employees towards the performance appraisal process and it being a positive one.

5.2. Recommendations

Based on the empirical findings of this study, astute diagnosis of employee attitudes and orientations is vital for effectiveness of the performance appraisal system at the Office of the Auditor General. Thus, the researcher recommends that, the OAG management should ensure management and leadership accountability for performance appraisal and hence, enforce performance assessments at all levels in the organisation. Additionally, organisational goals and periodic targets should be made available to employees periodically and the needed revisions made within the context of relevance.

It is also recommended that management should liaise with the human resource unit to identify those parameters that have motivational instincts towards creating emotional and physical convenience for employees. Thus, the OAG management needs to develop an all-encompassing framework for proper planning and communication within the organisation. This will ensure recognition of the performance appraisal system as a central management process. This in turn will allow for review, rejuvenation and relaunching of the process taking into consideration regular audit, in order to realise the primary goals of performance appraisal in the organisation.

Furthermore, there is need for fair application of the whole process of performance appraisal in order to achieve the desired intentions which could thus, facilitate its effectiveness and realisation of the intended goals of the Office of the Auditor General. There is also need for collective ownership and engagements from the stakeholders who should view the performance appraisal system as a guidance for improved competitive edge for the service-based organisation. Lastly, and most importantly, the performance appraisal assessment should not be influenced by the appraiser's emotions. Hence, to minimise prejudice or bias, the rating system should be reviewed by a second level appraiser.

5.3. Limitations of the Study

The findings from this study have some limitations. Firstly, it is recognised that the role of the researcher in this study could be a potential limitation. The researcher is currently working at the Office of the Auditor General. This may have an influence on the outcome of this research in that it is not from the perspective of a fully independent researcher. However, it had been important to the researcher to ensure that personal bias in terms of the attitudes of participants to the proposed changes did not play a negative role in the research process. The researcher aimed to conduct the research according to sound principles and practices at all times. The researcher had tried to maintain the integrity of the data to ensure that personal opinion in the entire research process did not impede the reliability and validity of the data. More importantly, the results are based on perceptions rather than hard measures.

While the use of validated instruments and the pre-tests on survey experts and public managers at the OAG should prevent errors, additional research may be necessary in order to further validate the results from this study, which may be subjected to cognitive biases. In addition, the study is based on a cross sectional study, hence longitudinal study could be considered for future research in this regard. Factors such as mutual trust amongst

stakeholders and managers or financial stress that may affect performance appraisal mechanisms or practices have not been specifically considered in this study.

Furthermore, the survey concentrated on managerial tasks rather than looking into issues of political performance, which could also have a bearing on the performance appraisal processes at the OAG. In addition, the measures used in this study may not fully capture the various dimensions of employee perceptions on performance appraisal system. Furthermore, investigation towards understanding the dimensionality of this construct as well as validating a measure of the construct will be needed.

5.4. Implications of the Study to both Theory and Practice

There are three major implications of this study: theoretical contribution, robustness of research methodology, and practical contribution. With respect to the robustness of research methodology, the survey questionnaire data used in this study had satisfactorily met the standards of validity and reliability analyses. Therefore, more accurate and reliable findings were expected.

In terms of theoretical contribution, the present study is consistent with the theoretical framework that underpins it. The study qualifies the relationship between performance appraisal metrics and performance improvement. While the Expectancy Theory provides a more general framework, the Goal Setting Theory clarifies how the results-to-evaluations connection can be optimised. In addition, the Control Theory explicates how the action-to-results connection can be optimised.

The underlying premise of Goal Setting Theory is that conscious goals affect what is achieved (Latham, 2004). Goal setting theory attests that, people with specific and challenging goals perform better than those with vague goals, such as ‘do your best’, specific

easy goals or no goals at all. Thus, Goal Setting Theory assumes that there is a direct relation between the definition of specific and measurable goals and performance: if managers know what they are aiming for, they are motivated to do their best to achieve the goals. For effective performance appraisal, then, clear and specific goals need to be set (Carlopio, Andrewartha & Armstrong, 2001; Kaufman, 1988). Thus, the results of this study confirm that indeed developing and planning performance appraisal has a positive impact on employee performance.

To complement the GST, the Control Theory emphasises the importance of feedback in enhancing employee performance. When people receive performance appraisal feedback about their behaviour, they are in a way made to acknowledge the difference or divergence between their actual performance and the performance that is expected of them. By so doing, they will be able to take corrective actions where necessary. Thus, managing and reviewing performance is necessary in the performance appraisal process.

The Expectancy Theory assumes that individuals tend to allocate their limited amount of time and energy to actions of which they expect the consequences to maximise (DeNisi and Pritchard 2006; Buchner 2007). Firstly, the actions that individuals undertake create expectations about the results that their efforts will yield (i.e. the action-to-result connection). Secondly, based on the results that are produced, expectations are created regarding how well the results will be evaluated (i.e. the result-to-evaluation connection). Thirdly, the evaluation of the results is expected to lead to certain consequences or outcomes, for example receiving a bonus or promotion (i.e. the evaluation-to-outcome connection). Finally, these outcomes are expected to affect the level of satisfaction of the individual (the outcome-to-satisfaction connection) and ultimately improve performance as affirmed by (DeNisi & Pritchard 2006;

Buchner, 2007). This therefore, affirms that there is a positive relationship between rewarding performance and employee performance.

Based on the above results, it can be inferred that these findings validate the theoretical and conceptual framework that were developed for the purpose of this study. The findings also shed some light that performance appraisal metrics have a significant effect on employee performance at the Office of the Auditor General.

Regarding the practical contributions, the findings of this study may be used as guidelines by the Office of the Auditor General to improve the design and administration of their performance appraisal system. Improvements can be done in the following areas: firstly, choosing the proper performance appraisal method and rating system would create a platform for transparency and trust between the appraiser and appraisee. Hence, potentially transformative performance appraisal systems or processes could unravel better understanding from both the appraiser and appraisee in the entire performance appraisal process. This would allow management to map out employee perceptions regarding the effectiveness of the performance appraisal procedures in OAG. An effective performance appraisal system not only creates an atmosphere of trust and transparency, but also nurtures a spirit of participative culture, which is beneficial in helping managers and employees to identify gaps and crafting action plans which can become goal-specific for performance improvement and employee engagement in the OAG.

Secondly, the criteria adopted for appraisal need to be clearly stated to ensure congruence with the strategic goals of the organisation. Organisations like the OAG need to assess employees and create an enabling platform to develop employee competence, distribute economic and non-economic compensation to deserving employees in order to enhance performance.

Thirdly, the importance of performance appraisal needs to be effectively communicated to the employee by managers in order to explicate clarity and reduce the incidence of ambiguity that could create lack of trust. Lack of trust, which may result in dwindling productivity levels in the organisation. From the survey questionnaire, employees agreed that if they got regular feedbacks about their performance on respective tasks, it could secure competitive positioning for the OAG. This in turn, would help them to identify their strengths and weaknesses, which would invariably produce opportunities or threats to their organisation. As such, the Office of the Auditor General should endeavor to practice a consistent and efficacious feedback system to make the employees be involved in the appraisal system.

Fourthly, there is need for an interplay or a blend of the fulfilment of the implicit and explicit expectations of the supervisors and subordinates in order to create an effective performance appraisal system. This study pointed out that if employees were well rewarded and promoted for the work done, this would increase their commitment and loyalty towards the organisation. In the same vein, if employees were properly motivated with the necessary and adequate training needs, innovation would increase rapidly on the job and this would thereby lead to competitive positioning. Most respondents affirmed that promotion increases their satisfaction and level of productivity in the Office of the Auditor General.

5.5. Directions for Future Research

Future studies need to look into the interplay or nexus of a relationship between performance appraisal measurement and reward system as well as social and behavioral controls. Even though the findings are in line with the developed theory, future studies could look into issues of inferences due to causalities that are limited in this cross sectional study. Furthermore, future studies could also look into focusing on participants from more than one sub sector or

industry in order to have a holistic approach to performance appraisal systems and processes in the workplace of today.

CONCLUSION

The investigation of employees' subjective views on performance appraisal and its impact on employee performance at the Office of the Auditor General has derived meaning to the research questions. It was established from the data analysis, that, performance appraisal leveraged by employee assessment, feedback and benefits is a valuable tool for promoting employee performance including the enhancement of personal and organisational growth. However, the OAG employees' negative perceptions of the effectiveness of the performance appraisal system have very serious implications. According to (Schraeder, Becton, & Portis 2007), a formal performance appraisal system can be damaging if it is not utilised properly. Thus, OAG management should take serious steps to ensure that the system fulfills its purposes. Likewise, the performance appraisal system must provide support in making critical HR decisions in the Office of the Auditor General. Consequently, this will develop appraisees' perceptions that the system is used for accomplishing specified purposes. Moreover, appraisees will perceive that their on-job performance is being noticed and hard work never goes unrewarded. Ultimately, employees will have positive reactions towards performance appraisal system in the OAG.

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APPENDICES

APPENDIX 1: ENGLISH VERSION OF THE QUESTIONNAIRE AND INTERVIEW AGENDA SCHEDULE

Research Questionnaire & Interview Agenda Schedule: Performance Appraisal and its Impact on Employee Performance: A Case-study of the Auditor General- Botswana

Hello, my name is Phatsimo Seoleseng, an MBA student at the University of Botswana. I am conducting a research in partial fulfilment for the award of Masters in Business Administration Degree, on the topic **“Performance Appraisal and its Impact on Employee Performance: Case of the Auditor General-Botswana.”** The purpose of the study is to contribute to the general performance of the Office of the Auditor General.

Therefore, I kindly request you to participate in this survey by completing the attached questionnaire, which will require approximately 15-30 minutes to complete. You were selected as a possible participant in this study because of your knowledge and experience of the subject matter.

Participation in this study is voluntary. If you decide not to participate in this study, your decision will not affect your future relations with the University of Botswana, its personnel, and associated institutions. If you decide to participate, you are free to withdraw your consent and to discontinue participation at any time without penalty. However, I encourage you to participate in this study. The data from this investigation will be treated strictly as confidential and purely for academic purpose. None of these will be used for commercial use.

Researcher(s): PHATSIMO SEOLESENG

Email: phatsimoseoleseng@gmail.com

Contacts: 71894822

SECTION A: Performance Appraisal system at the Office of the Auditor General-Botswana:

Please tick the relevant option. (✓)

Demography

1. Age:

21-25 26-35 36-45 46-55 over 55

2. Gender:

Male Female

3. Unit/Department:

Central Government Local Government Performance/parastatal

IT Audit Others

4. Length of service:

0-5years 6-10years 11-15years 16-20years

21-25years ≥ 26

Employee Performance

5. In your current performance appraisal form, there are general criteria used in determining your performance. In your own opinion, how important is the following general criteria in evaluating your true performance?

General Criteria	Not important at all	Not so important	Undecided	Important	Very Important
Job Knowledge					
Attendance					
Work Management					
Decision Making					
Innovativeness					
Communication					
Reliability					
Leadership					
Commitment					

For questions, 6-8, please indicate with a tick the extent to which you agree with the following statements relating to the current performance appraisal in the Office of the Auditor General-Botswana.

6. Developing and Planning Performance

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
The current performance appraisal system in my organisation is related to my development.					
There is alignment of personal objectives with organisational goals.					
Goal setting and purposes are well laid out.					
An important aspect of performance management is the setting of goals.					
It is important to be aware of the purpose and objectives of the performance management system (PMS)					
Performance management should be focused on development of employees.					
Objectives need to be set at the beginning of the year in alignment to my organisational strategy.					
Performance measurement criteria should be subjective.					
Performance measurement criteria should be objective					
Appraisal should have enough time to observe and evaluate appraisee					
Appraiser and appraisee should jointly develop the performance goals					
Appraisee should openly discuss his or her role with the appraiser.					

7. Managing and Reviewing Performance

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
It is frequently necessary for a manager to use authority and power when dealing with subordinates.					
Managers should not delegate important task to employees.					
Management should make most decisions without consulting subordinates					
Employees should not disagree with management decisions.					
It is important to maintain harmony with peers, subordinates and workers in my organisation.					
My personal appraisal is based on quantity and quality of my work and not on my personality or position.					
Supervisors give the same ratings to all their subordinates in order to avoid resentment and rivalries among them.					
Appraiser should have enough time to observe and evaluate appraisee.					

8. Rewarding Performance

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
The format of rating scale used in the appraisal form should be measurable.					
Performance ratings should be based on how well I do my work.					
Group welfare is more important than individual rewards					
Group success is more important than individual success					
Recognition and rewards are based on merit in my work unit.					
On top of the current appraisal system which is linked to annual rewards, there should be an incentive scheme in terms of performance related pay hard working employees.					

Any Other comments about your current or future performance appraisal system (Please write them below):-----

SECTION B: INTERVIEW AGENDA SCHEDULE

CURRENT PERFORMANCE APPRAISAL SYSTEM:

9. Is there any form of performance appraisal system in your organisation? YES NO

9a. If YES: Are you using the appraisal system currently being used by Auditor General Botswana?

9b. If NO: why is there no appraisal system being used? Do you think the performance appraisal is not important? -----

10. In your own opinion, how effective is the current appraisal system in your organisation? -----

10a. If effective: In what ways is the current appraisal system effective with regard to measuring employee performance and achieving organisational goals? -----

10b. If not effective: In your experience, what are the issues and challenges that undermine the current appraisal system? -----

11. Are you an appraiser or an appraisee or both? -----

11a. If appraiser: As an appraiser, do you think the current general criteria used to measure employee performance in the appraisal form is a true measure of employee performance?-----

11b. If appraisee: As an appraisee, do you think the current general criteria used to measure employee performance in the appraisal form is a true measure of employee performance?-----

11c. If both: What's your take? -----

12. Do you think the current appraisal system is a true reflection of employee performance?

YES NO

12a. If YES Can you explain a bit more? -----

12b. If NO: Would you like to have a proper rating scale format in the appraisal system? -----

13. Do you think the current appraisal system need change? YES NO

13a. If YES in what ways? -----

-----13b. If NO: Why Not? -----

PERCEPTION ON PERFORMANCE MANAGEMENT SYSTEM:

14. In your own opinion, what is your perception of an effective performance management system and how do you measure an effective system? -----

15. What do you think are the key factors in the determination of the accuracy of performance ratings? -----

15. Do you think a performance appraisal system should be objective or subjective or a combination of both? -----

16. If objective: Do you think an objective measure of performance can easily be measured? -----

17. If subjective: Do you think the subjective measure of performance can easily be measured? -----

18. On top of the current appraisal system which is linked to annual rewards, do you think that there should be an incentive scheme in terms of performance related pay for those who achieve excellence in their annual appraisal? -----

19. Any other additional comments about the effectiveness of an appraisal system-----

APPENDIX 2: SETSWANA VERSION OF THE QUESTIONNAIRE AND INTERVIEW AGENDA SCHEDULE

POTSOLOTSO

Seabe sa mokgwa wa go kala go dira ga bodiredi mo go tokafatseng maduo mo ofising ya modupa dibuka tsa ga goromente wa Botswana”.

Leina lame ke Phatsimo Seoleseng, moithuti wa dithuto tse dikgolwane tsa Masters in Business Administration mo Yunibesithing ya Botswana. Jaaka bontlha bongwe jwa dithuto tse ke dira tshekatsheko ka “**Seabe sa mokgwa wa go kala go dira ga bodiredi mo go tokafatseng maduo mo Ofising ya Modupa Dibuka tsa ga Goromente wa Botswana**”. Maikaelelo a tshekatsheko e ke go tokafatsa maduo a Ofisi ya Modupa Dibuka tsa ga Goromente wa Botswana.

Ka jalo ke ne ke kopa gore o tseye karolo mo potsolotsong e, e ka tsayang sebaka sa metsotso e ka nna masome a mabedi go ya ko go a mararo. O tlhophilwe go nna mongwe wa batsaya karolo ka ntlha ya kitso le boitemogelo jwa gago mabapi le setlhogo se. Re go solofetsa gore kitso epe fela e o ka tswang o e arogane le mosekaseki e sireletsegile ebile e tla dirisiwa fela e le bontlha bongwe jwa dithuto eseng ka mabaka a tsa papadi.

Mosekaseki: PHATSIMO SEOLESENG

Maranyane a Inthanete: phatsimoseoleseng@gmail.com

Mogala: 71894822

KAROLO YA NTLHA:

Mokgwa wa go kala go dira ga bodiredi mo Ofising ya Modupa dibuka tsa ga Goromente wa Botswana:

Tshwaya karabo e e tshwanetseng (✓)

Dintlha ka yo o botsolotswang:

1. Dingwaga:

21-25 26-35 36-45 46-55 over 55

2. Bong:

Rre Mme

3. Lephatana:

Central Government Audit Local Government Audit Performance/Parastatal

Audit

IT Audit A mangwe

4. Sebaka sa go dira ka Dingwaga:

5 6-10 11-15 16-20 21-25 ≥26

Go dira ga bodiredi:

1. Mo fomong e e dirisiwang go kala go dira ga gago, go na le Mokgwa o o dirisiwang go tlhomamisa se. Go ya ka wena, mekgwa e e farologanyeng e e supilweng fa tlase e botlhokwa go le kae mo go kaleng go dira ga gago mo tirong?

Mokgwa wa go kala	Ga go botlhokwa gotlhelele	Ga go botlhokwa	Ga ke itse	Go botlhokwa	Go botlhokwa thata
Go itse tiro ga gago					
Go tla tirong ga gago					
Go rulaganya tiro ya gago sentle					
Go tsaya ditshwetso					
Go dira ka bokgabane					
Puisano le therisano					
Go tshephahala					
Boiteledipele					
Boineelo					

Go tswa mo potsong ya borataro go ya kwa go ya borobabobedi supa karabo ya gago ka go tshwaya go a ka fa o dumalaneng kgotsa o sa dumalaneng le diele tse di latelang tse di itebagantseng le Mokgwa wa go kala go dira ga bodiredi mo Ofising ya Modupa Dibuka tsa ga Goromente wa Botswana.

6. Go rulaganyetsa mokgwa wa go kala go dira ga bodiredi le go baya tlogamaano ya go fitlhelela dieelo tse lephata le di ipeileng pele.

	Ga ke dumalane thata	Ga ke dumalane	Ga ke itse	Ke a dumalana	Ke dumalana thata
Mokgwa o o dirisiwang go kala go dira ga badiri o tsamaelana le tlabololo dikitso kgolo yame mo tirong					
Dieo tsa badiri ka bongwe ka bongwe di tsamaelana le tsa Ofisi					
Dieo le maikemisetso ke tse di maleba					
Dieo ke karolo e botlhokwa ya go ntsha maduo a nametsang					
Go botlhokwa go itse ka maitlamo le maikemisetso a go kalwa ga go dira ga badiri mo tirong					
Maikemisetso a go ntsha maduo mo tirong a tshwanetse go tsamaelana le go tlabololwa ga dikitso le go gola ga modiri					
Maitlamo le maikemisetso a badiri a tsamaelanang le a lephata a tshwanetse go bewa badiri pele fa ngwaga o simologa					
Mokgwa wa go kala go dira ga badiri ga o a tshwanela go fekeediwa ke maikutlo					
Mokgwa wa go kala go dira ga badiri e tshwanetse go nna o o					

tlhomameng.					
Mokgwa wa go kala go dira ga badiri o tshwanetse go fiwa nako e maleba gore o ntshe maduo a kgotsofatsang					
Yo o kalang le yo o kalwang ba tshwanetse go tshwaraganela lenaneo la tloga maano ya go tokafatsa maduo					
Yo o kalwang o tshwanetse go gololesega go bua ka seabe sa gagwe le yo o mo kalang mo thulaganyong e					

7. Go diragatsa le go kala maduo mo tirong ya badiri:

	Ga ke dumalane thata	Ga ke dumalane	Ga ke itse	Ke a dumalana	Ke dumalana thata
Go botlhokwa gore nako tsotlhe Mookamedi a dirise dithata le maemo a gagwe mo tirong fa a dira le ba a ba okametseng					
Bogogi ga bo a tshwanelo go fa badiri ditiro tse di botlhokwa ebile di le ha godingwana go di dira					
Bogogi bo tshwanetse go nna bo tsaya ditshwetso ntle le go batla maikutlo a badiri					
Badiri ga ba tshwanelo go					

ganetsa ditshwetso tsa Bogogi					
Go botlhokwa go rotloetsa mowa wa popagano mo badiring ba lephata					
Go kalwa ga go dira game go amanngwa thata the selekanyo le boleng jwa maduo a ke a ntshang go na le maemo le setho same.					
Fa Baokamedi ba kala tiro ya badiri, ba ba fa maduo a tshwanang go hema dikgotlhang gareng ga bone le bodiredi					
Mookamedi o tshwanetse go ipha nako ya go lebelela le go kala go dira ga yo o kalwang.					

8. Go lemoga le go leboga tiro ya bodiredi:

	Ke dumalana thata	Ga ke dumalane	Ga ke itse	Ke as dumalana	Ke dumalana thata
Mokgwa o o dirisiwang go kala go dira ga bodiredi e tshwanetse go nna le selekanyetso					
Sekale sa go dira game mo tirong se tshwanetse go amana thata le bokgoni jwa me mo tirong.					
Go tihomamisa mabaka a tiro a siameng ka go a soboka go ya ka ditlhophana go botlhokwa go na le go fa bodiredi dieetsele ka bongwe ka bongwe.					
Katlego ya setlhophana e botlhokwa go na le katlego ya bodiredi ka bongwe ka bongwe					
Go lemoga le go abela bao ba ba dirileng sentle dieetsele mo lephataneng lame go tsamaelana le bokgoni jwa modiri.					
Mo godimo ga mokgwa o o dirisiwang go lemoga le go leboga bodiredi ka go ba abela dieetsele ngwaga le ngwaga, go tshwanetse					

go nna le mananeo a mangwe a go leboga bao ba ba dirileng ka bokgabane ka dituelo.					
---	--	--	--	--	--

A go na le sengwe se o batlang go tlatsa ka sone mabapi le thulaganyo e ya go kala go dira ga bodiredi. Kwala fa tlase.:

KAROLO YA BOBEDI: PUISANO

MOKGWA O O DIRISIWANG GO KALA GO DIRA GA BODIREDI:

9. A go na le mokgwa mongwe o o dirisiwang go kala go dira ga bodiredi mo lephateng la gago?

EE NNYAA

9a. Fa o arabile EE, a o dirisa mokgwa o le mongwe o dirisiwang ke Ofisi ya ga Modupa Dibuka tsa ga Goramente wa Botswana -----

9b. Fa o a arabile NNYAA, o akanya gore ke eng go sena mokgwa wa go kala go dira ga bodiredi? A o akanya gore ga go bothokwa go nna le thulaganyo ya go kala go dira ga bodiredi? -----

10. Go ya ka wena o akanya gore mokgwa o wa go kala go dira ga bodiredi o ntsha maduo go le kae mo Ofising ya Modupa Dibuka? -----

10a. Fa o ntsha maduo: O ntsha maduo go le kae re itebagantse le go kala go dira ga bodiredi le go fitlhelela maitlamo le maikemisetso a lephata? -----

10b. F o sa ntshe maduo: Go ya ka boitemogelo jwa gago dikgwetlho le mabaka e ka tswa e le eng a a kgoreletsang go atlega ga mokgwa o wa go kala go dira ga bodiredi mo tirong? ----

11. A wena o yo o kalwang kgotsa o yo o kalang go dira ga ba bangwe? -----

11a. Fa o le yo o kalang ba bangwe: Jaaka mokadi wa tiro ya ba bangwe, a o akanya gore ditsetlana tse di dirisiwang mo fomong e e kalang tiro ya bodiredi di supa boammaruri ka se modiri a se fitlheletseng? -----

11b. Fa o le yo o kalwang: A o akanya gore ditsetlana tse di dirisiwang mo fomong e e kalang tiro ya bodiredi di supa boammaruri ka se modiri a se fitlheletseng?-----

11c. Fa o kala tiro ya bodiredi ebile le wena o kalwa o ka reng? -----

12. A o akanya gore ditsetlana tse di dirisiwang mo fomong e e kalang tiro ya bodiredi di supa boammaruri ka se modiri a se fitlheletseng?

EE NNYAA

12a. Fa o arabile EE, a o ka tthalosa go ya pele? -----

12b. Fa o arabile NNYAA: Ke ditsetlana dife tse o akanyang gore di ka tlabololwa mabapi le sekale se se dirisiwang go kala tiro ya bodiredi e e mo tirisong? -----

13. A o akanya gore mokgwa o o mo tirisong wa go kala go dira ga bodiredi o tlhoka go fetolwa?

EE NNYAA

13a. Fa o arabile EE, O ka fetolwa ka tsela e ntseng jang? -----

13b. Fa o arabile NNYAA: Go reng o sa tshwanelo go fetolwa? -----

MAIKUTLO A BODIREDI MABAPI LE MOKGWA GO GO KALA GO DIRA GA BODIREDI

14.Go ya ka wena, maikutlo a gago ke a fe ka mokgwa o o dirisiwang go kala tiro ya bodiredi re lebile katlego ya one mo go ntshe maduo? -----

15.A o akanya gore mokgwa wa go kala go dira ga badiri e tshwanetse go nna o thamaletseng, o fekeediwa ke maikutlo kgotsa o o kopantseng tse tsotlhe?-----

16.Fa e le gore e tshwanetse go nna o thamaletseng, a o akanya gore go kala go ntsha maduo go ka lekanyediwa motlhofo? -----

17.A o akanya gore fa go kala go ntsha maduo go fekeediwa ke maikutlo go ka lekanyediwa motlhofo? -----

18. Mo godimo ga mokgwa o o teng wa go lemoga le go leboga bodiredi ka go ba abela dieetsele ngwaga le ngwaga, go tshwanetse ga nna le mananeo a mangwe a go leboga bao ba ba dirileng ka bokgabane ka dituelo? -----

19. A go na le sengwe se o batlang go tlatsa ka sone mabapi le go ntsha maduo ga mokgwa wa go kala go dira ga bodiredi? -----

APPENDIX 3: PERMISSION TO CONDUCT RESEARCH- UB OFFICE OF RESEARCH AND DEVELOPMENT



Office of the Deputy Vice Chancellor (Academic Affairs)

Office of Research and Development

Corner of Notwane
and Mubutu Road,
Gaborone, Botswana

Pvt Bag 00708
Gaborone
Botswana

Tel: [267] 355 2900
Fax: [267] 395 7573
E-mail: research@mopipi.ub.bw

Ref: UBR/RES/IRB/SOC/GRAD/060

30th January 2018

The Auditor General
Office of the Auditor General
Private Bag 0010
Gaborone, Botswana

RE: PERMISSION TO CONDUCT RESEARCH

TITLE: "Performance Appraisal and its Impact on Employee Performance: Case of the Auditor General of Botswana"

RESEARCHER(S): Phatsimo Seoleseng

I am writing this letter in support of an application by Ms Phatsimo Seoleseng, who intends to conduct a research in your organisation. Ms Seoleseng is a graduate student at the Faculty of Business at the University of Botswana and has proposed to conduct a study titled "Performance Appraisal and its Impact on Employee Performance: Case of the Auditor General of Botswana". The overall objective of the proposed study is to determine the impact of performance appraisal on employee performance at the Office of the Auditor General (OAG). It is hoped that this study will help the OAG identify weaknesses in conducting its performance appraisals and hence fill the gap in the literature of performance appraisals which had not been taken into account in existing literature. This research work shall therefore, be of great benefit to the management of OAG as it will offer solutions through its recommendations, which when applied will improve the role performance appraisal plays in, increasing employee performance, as well as explicate the perception and effectiveness levels in a public service domain like OAG Botswana.

The Office of Research and Development is satisfied with the process for data collection, analysis and the intended utilization of findings from this research and is confident that the project will be conducted effectively and in accordance with local and international ethical norms and guidelines.

This letter does not however give permission to collect data from the selected organisations without approval from management. Consent from the identified individuals should be obtained at all times.

The research should be conducted as outlined in the approved proposal. Any changes to the proposal must be submitted to the Office of Research and Development.

Sincerely,

Dr M. Kasule

Assistant Director, Research Ethics, Office of Research & Development



**APPENDIX 4: PERMISSION TO CONDUCT RESEARCH- OFFICE OF THE
AUDITOR GENERAL**

TELEPHONE: (+267) 3617100/3951050
FAX NO: (+267) 3188145/3908582
Plot: 53357
Vasha House
Central Business District
Email: oag@gov.bw



Office of the Auditor General
Private Bag 0010
Gaborone
Botswana

REPUBLIC OF BOTSWANA

OFFICE OF THE AUDITOR GENERAL

REF: PF M.3 I 382128704(170)

02 February 2018

Ms Phatsimo Seoleseng
Private Box 4321
Gaborone

Dear Madam

PERMISSION TO CONDUCT RESEARCH

Your letter on the captioned subject refers;

Permission is hereby granted for you to conduct a research here in the Office of the Auditor General on the approved research entitled: **"Performance Appraisal and its impact on employee performance: Case of the Office of the Auditor General – Botswana"**

We trust this piece of work will comply with your code of ethics and that the use will be for academic purpose only.

Yours Sincerely


K. Mhaphi
For/Auditor General



APPENDIX 5: CONSOLIDATED RESPONSES TO QUESTIONNAIRE AND INTERVIEW AGENDA SCHEDULE

Total Number of Responses per Questionnaire distributed to OAG Employees

	Not important at all	Not so important	Undecided	Important	Very Important	Responded
Job Knowledge	0	4	7	46	65	122
Attendance	2	5	11	59	45	122
Work Management	0	4	9	57	52	122
Decision Making	0	2	10	58	52	122
Innovativeness	0	4	16	53	49	122
Communication	0	1	8	52	61	122
Reliability	0	2	14	52	54	122
Leadership	0	3	16	52	51	122
Commitment	2	1	13	50	56	122

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	Responded
The current performance appraisal system in my organisation is related to my development.	15	58	21	27	14	122
There is alignment of personal objectives with organisational goals.	13	59	25	26	14	122
Goal setting and purposes are well laid out.	11	28	25	46	12	122
An important aspect of performance management is the setting of goals.	5	12	18	60	27	122
It is important to be aware of the purpose and objectives of the performance management system (PMS)	3	8	16	63	32	122
Performance management should be focused on development of employees.	3	8	8	65	38	122
Objectives need to be set at the beginning of the year in alignment to my organisational strategy.	3	8	11	52	48	122
Performance measurement criteria should be subjective.	25	47	15	20	15	122
Performance measurement criteria should be objective	3	8	19	60	32	122
Appraisal should have enough time to observe and evaluate appraisee	3	8	14	64	33	122
Appraiser and appraisee should jointly develop the performance goals	4	6	10	67	35	122
Appraisee should openly discuss his or her role with the appraiser.	4	6	11	58	43	122

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	Responded
It is frequently necessary for a manager to use authority and power when dealing with subordinates.	25	41	24	23	9	122
Managers should not delegate important task to employees.	17	46	23	26	10	122
Management should make most decisions without consulting subordinates	47	43	9	13	10	122
Employees should not disagree with management decisions.	39	40	17	18	8	122
It is important to maintain harmony with peers, subordinates and workers in my organisation.	11	13	17	39	42	122
My personal appraisal is based on the quantity and quality of work and not on my personality or position	26	41	15	21	19	122
Supervisors give the same ratings to all their subordinates in order to avoid resentment and rivalries among them.	16	20	13	47	26	122
Appraiser should have enough time to observe and evaluate appraisee.	11	15	9	47	40	122

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	Responded
The format of rating scale used in the appraisal form should be measurable.	2	5	12	73	31	122
Performance ratings should be based on how well I do my work.	2	8	9	64	40	122
Group welfare is more important than individual rewards	5	12	33	38	35	122
Group success is more important than individual success	4	14	20	52	33	122
Recognition and rewards are based on merit in my work unit.	45	25	17	13	22	122
On top of the current appraisal system which is linked to annual rewards, there should be an incentive scheme in terms of performance related pay hard working employees.	4	6	15	57	41	122

Average Response Rate	Questionnaire distributed				150
	Questionnaire returned				122
	Response Rate				81%

APPENDIX 6: DETAILED ANALYSIS OF RESPONSES TO OBJECTIVE 1

This section of the questionnaire was used to understand how various performance appraisal attributes may impact employees' performance.

Developing and Planning Performance

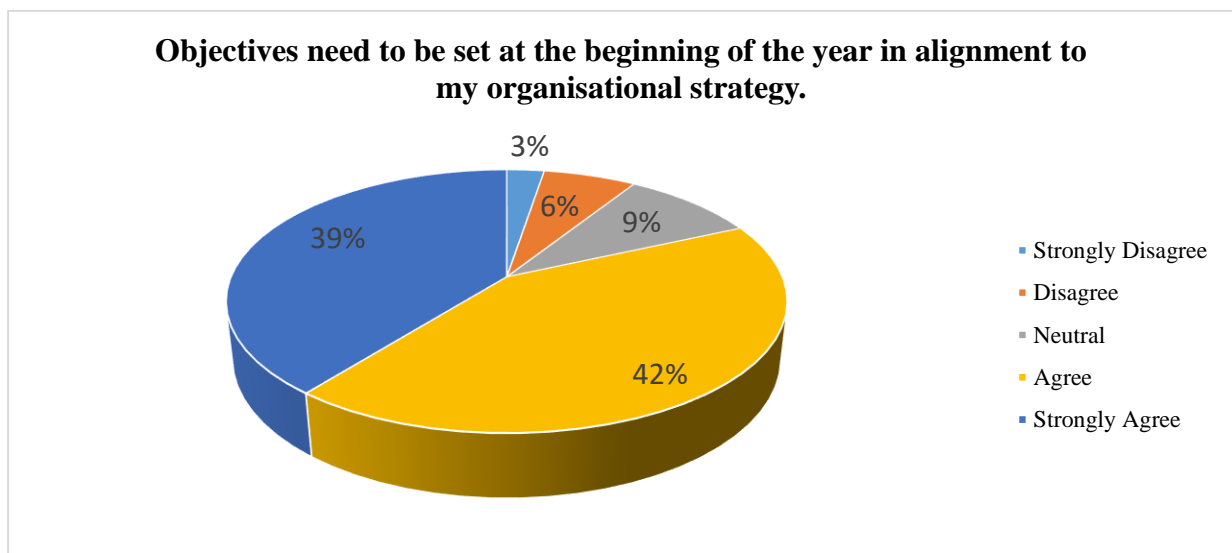
Number of Responses Based on 3 Variables

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	Total
Objectives need to be set at the beginning of the year in alignment to my organisational strategy.	3	8	11	52	48	122
Appraiser and appraisee should jointly develop the performance goals	4	6	10	67	35	122
Appraisee should openly discuss his or her role with the appraiser.	4	6	11	58	43	122

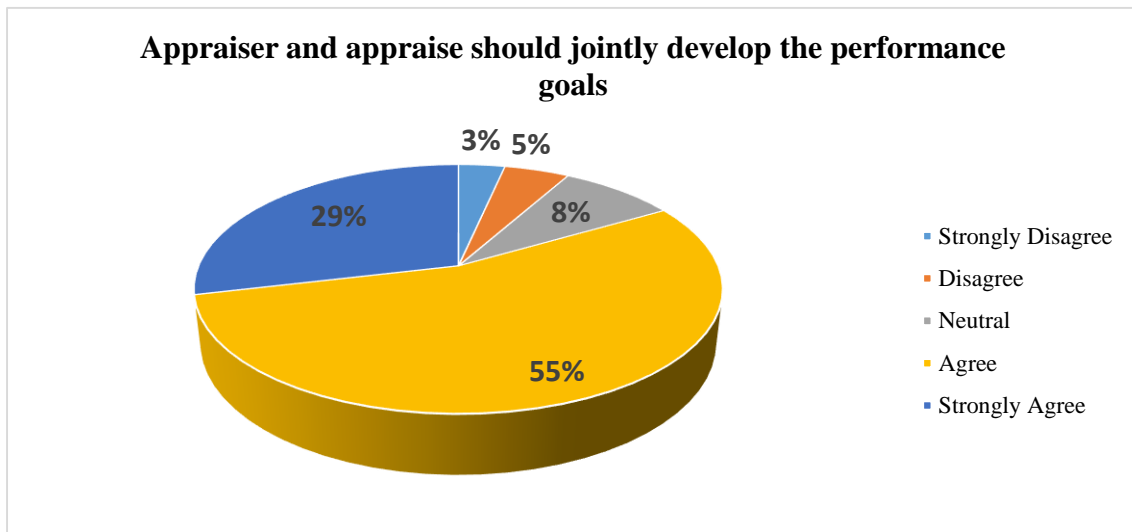
Number of Responses in Percentage as Per Item

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
Objectives need to be set at the beginning of the year in alignment to my organisational strategy.	3%	6%	9%	42%	39%
Appraiser and appraisee should jointly develop the performance goals	3%	5%	8%	55%	29%
Appraisee should openly discuss his or her role with the appraiser.	3%	5%	9%	47%	35%

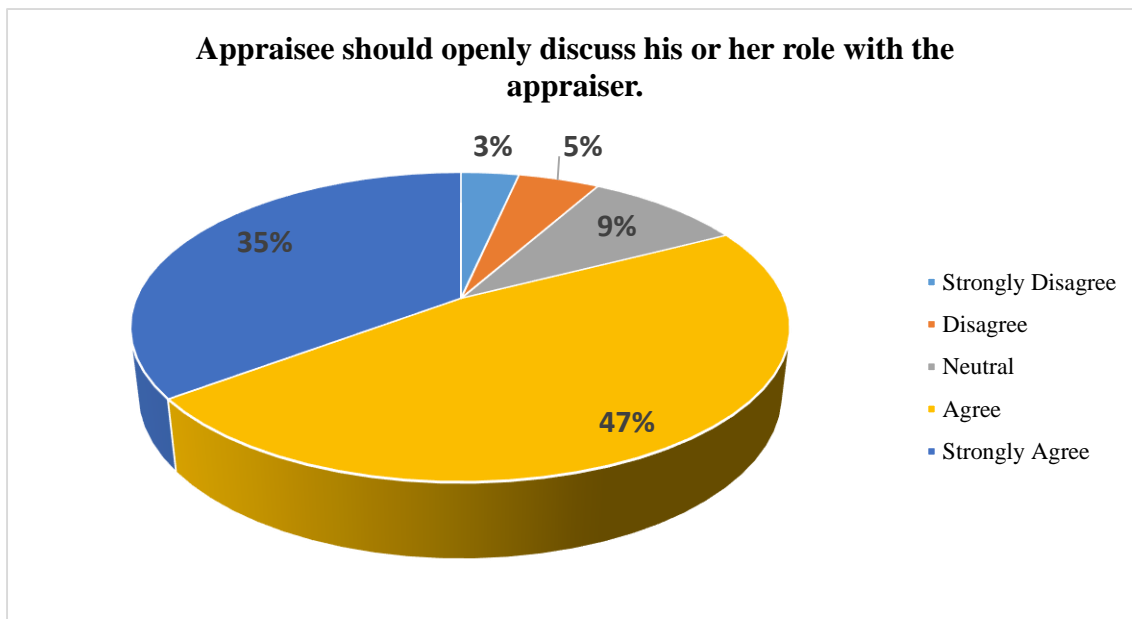
Percentage Number of Responses



Percentage Number of responses



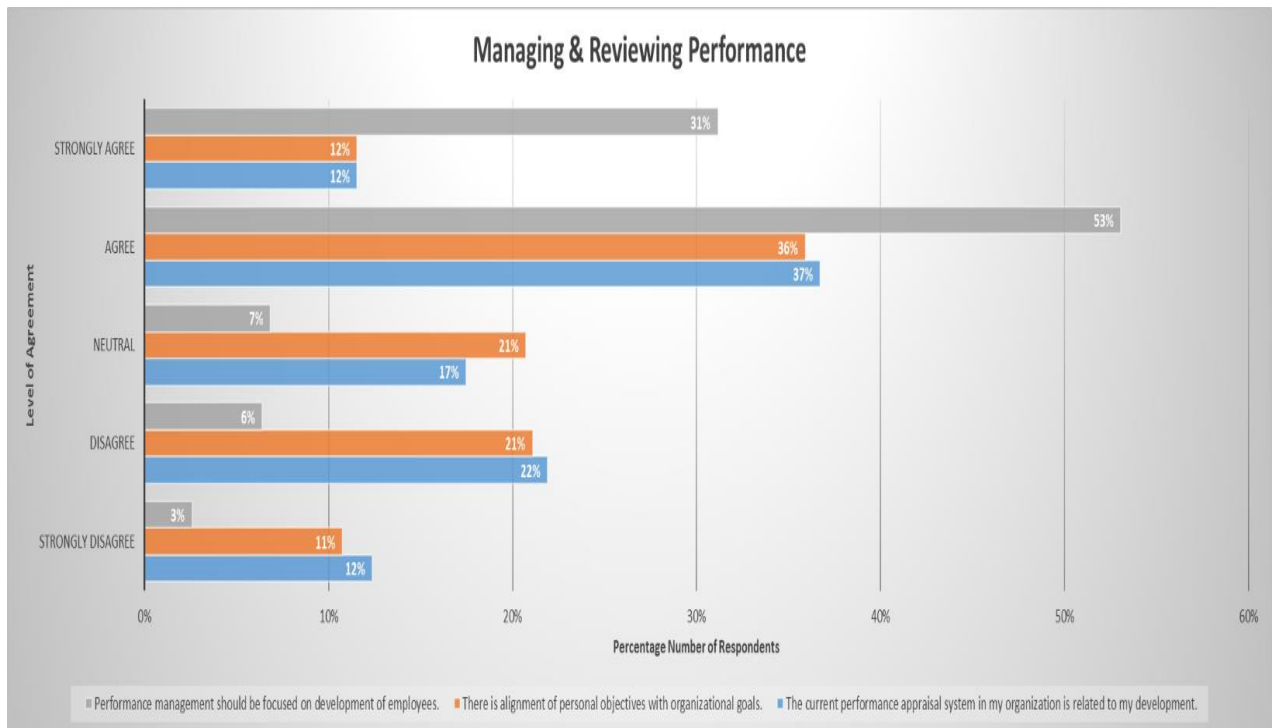
Percentage Number of responses



Managing and Reviewing Performance

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	Total
The current performance appraisal system in my organisation is related to my development.	15	27	21	45	14	122
There is alignment of personal objectives with organisational goals.	13	26	25	44	14	122
Performance management should be focused on development of employees.	3	8	8	65	38	122

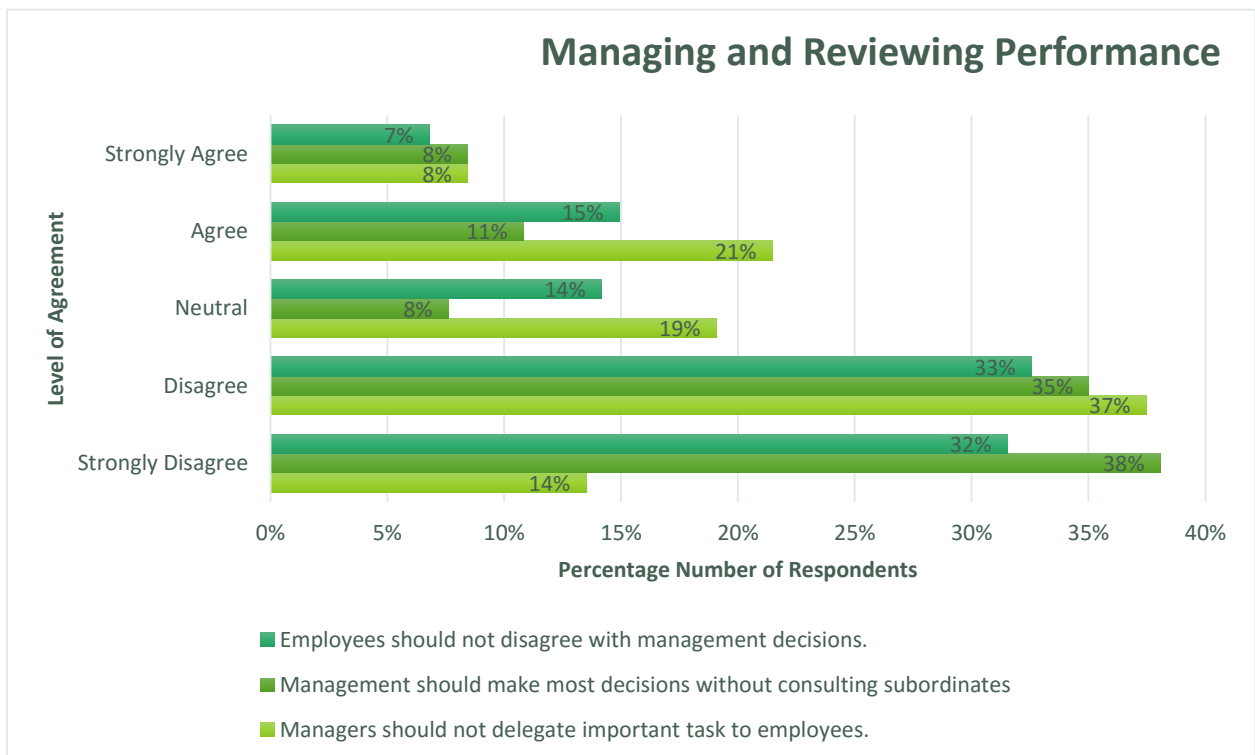
	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
The current performance appraisal system in my organisation is related to my development.	12%	22%	17%	37%	12%
There is alignment of personal objectives with organisational goals.	11%	21%	21%	36%	12%
Performance management should be focused on development of employees.	3%	6%	7%	53%	31%



Managing and Reviewing Performance

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	Total
Managers should not delegate important task to employees.	17	46	23	26	10	122
Management should make most decisions without consulting subordinates	47	43	9	13	10	122
Employees should not disagree with management decisions.	39	40	17	18	8	122

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
Managers should not delegate important task to employees.	14%	37%	19%	21%	8%
Management should make most decisions without consulting subordinates	38%	35%	8%	11%	8%
Employees should not disagree with management decisions.	32%	33%	14%	15%	7%



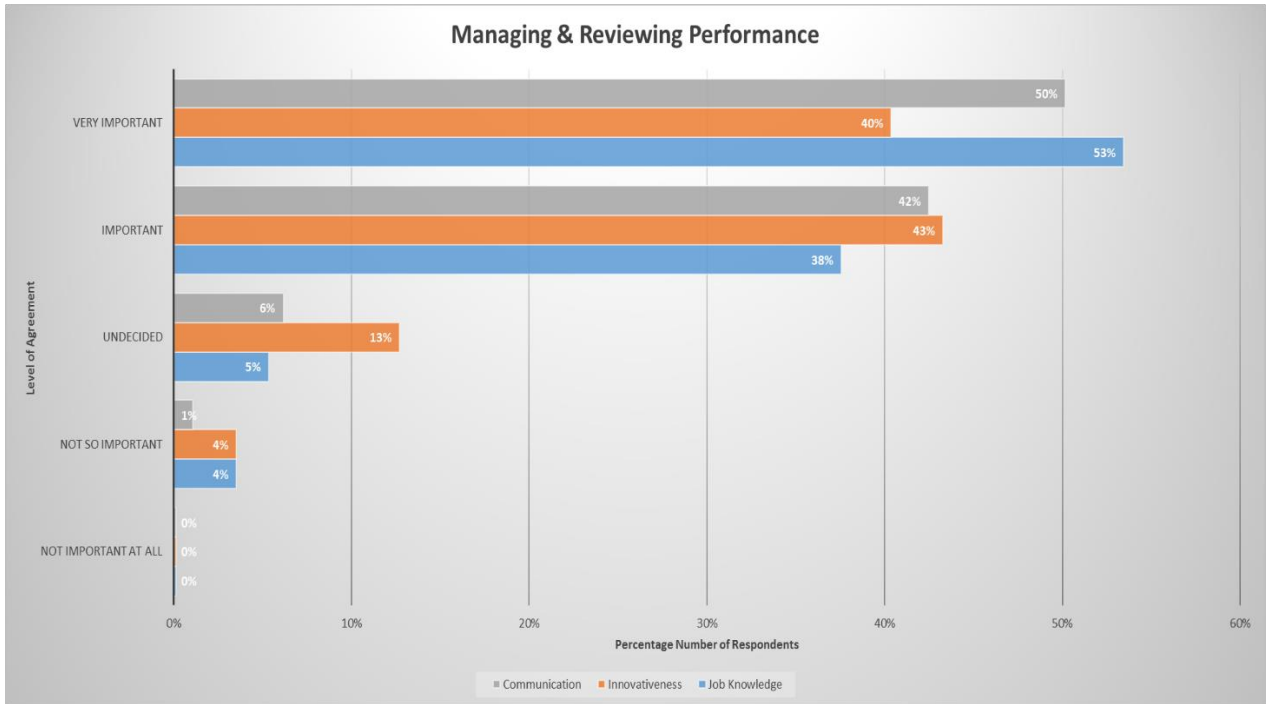
Managing and Reviewing Performance

Number of Responses as per Item

	Not important at all	Not so important	Undecided	Important	Very Important	Total
Job Knowledge	0	4	7	46	65	122
Innovativeness	0	4	16	53	49	122
Communication	0	1	8	52	61	122

Percentage Number of Responses

	Not important at all	Not so important	Undecided	Important	very Important
Job Knowledge	0%	4%	5%	38%	53%
Innovativeness	0%	4%	13%	43%	40%
Communication	0%	1%	6%	42%	50%



APPENDIX 7: DETAILED ANALYSIS OF RESPONSES TO OBJECTIVE 2

This section of the questionnaire was used to ascertain how employees perceive performance appraisal in the Office of the Auditor General?

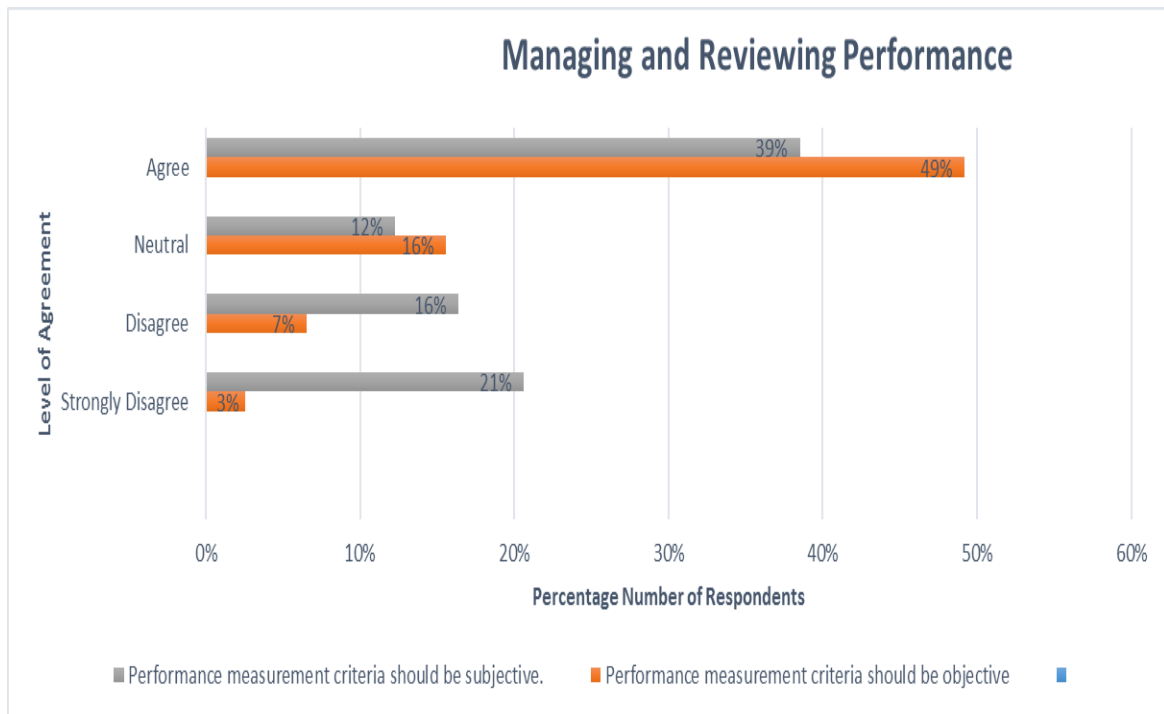
Managing and Reviewing Performance

Number of Responses as Per Item

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	Total
Performance measurement criteria should be objective	3	8	19	60	32	122
Performance measurement criteria should be subjective.	25	20	15	47	15	122

Percentage Number of Responses as Per Item

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
Performance measurement criteria should be objective	3%	7%	16%	49%	26%
Performance measurement criteria should be subjective.	21%	16%	12%	39%	12%



Managing and Reviewing Performance

Number of Responses as Per Item

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	Total
My personal appraisal is based on the quantity and quality of work and not on my personality or position	16	21	15	21	19	122
Supervisors give the same ratings to all their subordinates in order to avoid resentment and rivalries	26	42	14	47	26	122

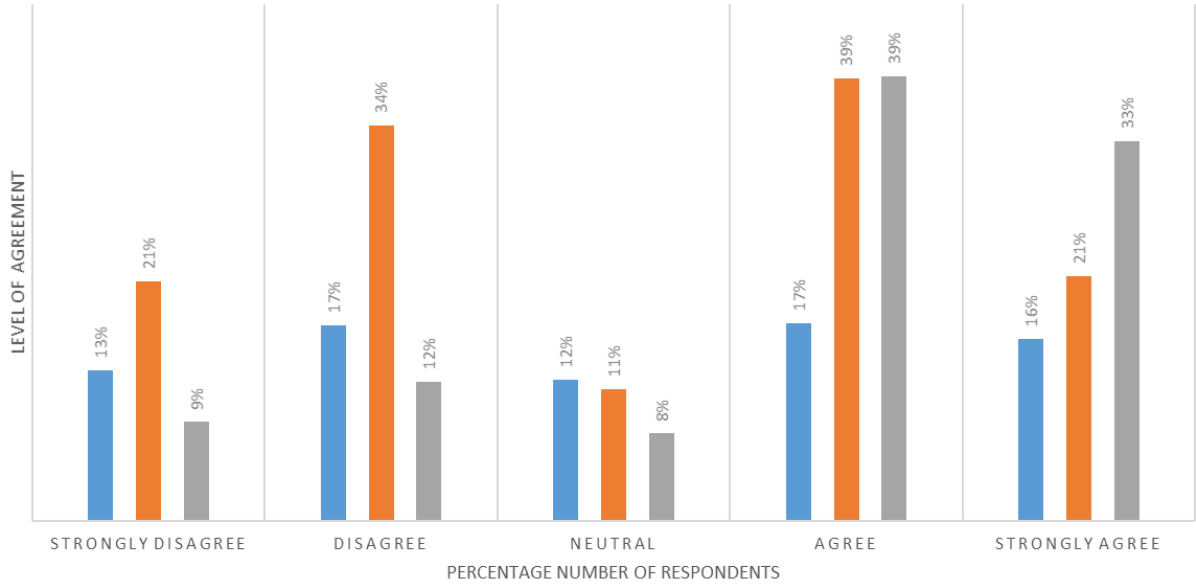
among them.						
Appraiser should have enough time to observe and evaluate appraisee.	11	15	9	47	40	122

Percentage Number of Responses as per Item

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
My personal appraisal is based on the quantity and quality of work and not on my personality or position	13%	17%	12%	17%	16%
Supervisors give the same ratings to all their subordinates in order to avoid resentment and rivalries among them.	21%	34%	11%	39%	21%
Appraiser should have enough time to observe and evaluate appraisee.	9%	12%	8%	39%	33%

MANAGING AND REVIEWING PERFORMANCE

- My personal appraisal is based on the quantity and quality of work and not on my personality or position
- Supervisors give the same ratings to all their subordinates in order to avoid resentment and rivalries among them.
- Appraiser should have enough time to observe and evaluate appraisee.



APPENDIX 8: DETAILED ANALYSIS OF RESPONSES TO OBJECTIVE 3

This section of the questionnaire was used to determine the effectiveness of the current performance appraisal system at OAG.

Rewarding Performance

Number of Responses Based on the Following Issues

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	Total
On top of the current appraisal system which is linked to annual rewards, there should be an incentive scheme in terms of performance related pay hard working employees.	4	6	15	57	41	122
Recognition and rewards are based on merit in my work unit.	45	25	17	13	22	122
The format of rating scale used in the appraisal form should be measurable.	2	5	12	73	31	122
Performance ratings should be based on how well I do my work.	2	8	9	64	40	122

Percentage Number of Responses

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
On top of the current appraisal system which is linked to annual rewards, there should be an incentive scheme in terms of performance related pay hard working employees.	3%	5%	13%	46%	33%
Recognition and rewards are based on merit in my work unit.	37%	20%	14%	11%	18%
The format of rating scale used in the appraisal form should be measurable.	2%	4%	10%	59%	25%
Performance ratings should be based on how well I do my work.	2%	6%	8%	52%	32%

