

A NORMATIVE MODEL FOR EVALUATING  
LECTURING PERSONNEL AT TERTIARY  
EDUCATIONAL INSTITUTIONS WITH SPECIAL REFERENCE TO THE  
PORT ELIZABETH TECHNIKON

By

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DISSERTATION

Submitted in fulfilment of the requirements for the degree of  
Magister Administrationis in the Department of Public  
Administration in the Faculty of Commerce and Administration  
at the University of Durban-Westville

Supervisor: Dr M.S. Bayat

Joint supervisor: Dr H.F. Wissink

Date submitted: January 1993

IN HUMBLE SUBMISSION TO ALMIGHTY GOD

## ACKNOWLEDGEMENTS

The following people are thanked for their assistance, encouragement and contributions to the completion of this dissertation:

**Dr M.S. Bayat**, Department of Public Administration, University of Durban-Westville, for his professional mentorship.

**Dr H.F. Wissink**, Departmental Head, Department of Public Administration and Law, Faculty of Marketing, Port Elizabeth Technikon, for his motivation and leadership.

**Members of the Rectorate** of the Port Elizabeth Technikon, for their support.

**Mr J.N.C. van Zyl**, Dean, Faculty of Marketing, for his support.

**Members of the Research Committee** of the Port Elizabeth Technikon for their recommendation for financial assistance in respect of various costs involved with the dissertation.

**Mr C. Bosma**, Statistician, Port Elizabeth Technikon, for his professional advice and assistance.

**Mrs H. Boshoff**, Bureau for Staff Development, Port Elizabeth Technikon, for her advice and support.

**The administrative and academic staff** of the Port Elizabeth Technikon for their valued assistance.

**All the respondents** to the questionnaire, for their sincerity, and willingness to respond.

**My wife, Alta, and our three children** for their continued love and support.


**My late parents**, who gave me life.

**My three brothers, Chris, Tom and Jannie**, for their encouragement.

I.W. Ferreira  
Port Elizabeth  
January 1993

D E C L A R A T I O N

I hereby declare that except as acknowledged previously, this research is entirely my own work, that all sources used or quoted have been acknowledged and that this dissertation has not previously been submitted for a degree or diploma at another tertiary educational institution.



Ignatius Wilhelm Ferreira  
January 1993

(1)

**A NORMATIVE MODEL FOR EVALUATING LECTURING PERSONNEL AT  
TERTIARY EDUCATIONAL INSTITUTIONS**

By

Ignatius Wilhelm Ferreira

**SUMMARY**

Supervisor : Dr M.S. Bayat  
Joint supervisor: Dr H.F. Wissink  
Degree : Magister Administrationis  
Faculty : Commerce and Administration  
University : University of Durban-Westville

In this dissertation a study is undertaken of personnel evaluation of lecturing personnel at tertiary educational institutions. References are made to other tertiary educational institutions, but for reasons of confidentiality specific references are made to the Port Elizabeth Technikon in the text of the research document.

This dissertation is based on the assumption that no uniform method exists for personnel evaluation for lecturing personnel at the Port Elizabeth Technikon. This assumption was strengthened during conversations with various academic

(ii)

personnel members on different post levels on the subject of personnel evaluation for lecturing personnel at tertiary educational institutions and during which a degree of negativity was detected about this subject. As it is known that various authors in the field of Personnel Administration regard personnel evaluation as an essential part of the personnel administration process, it was decided to embark on a research project on the subject of personnel evaluation for lecturing personnel at tertiary educational institutions.

The complexity of the subject of personnel evaluation of professional employees, such as lecturing personnel, was duly recognised from the outset, and as a result thereof it was decided in consultation with the supervisors to do a normative study only, and to design and propose a normative model for evaluating lecturing personnel at tertiary educational institutions.

In view of the importance of personnel evaluation in the development and motivation of personnel in organisational structures, it was decided to utilise the potential respondents currently available at the Port Elizabeth Technikon for an empirical study in order to research current attitudes on personnel evaluation at the Port Elizabeth Technikon. Firstly, however, a literature search was

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embarked upon, describing a theoretical framework for personnel evaluation.

Certain normative criteria were extracted from the literature surveyed, and those were used in the empirical survey among lecturing personnel at the Port Elizabeth Technikon that followed the literature search.

The research findings of the empirical survey were statistically analysed and reported, and a normative model for evaluating lecturing personnel at tertiary educational institutions was constructed.

Certain recommendations were made regarding the research, and possibilities for further study into the subject under discussion were pointed out.

The recommendations mentioned above include:

- i) Further research into a practical model for personnel evaluation for lecturing personnel at tertiary educational institutions has to be done.
- ii) The professionalism, academic status, and level of expertise of lecturing personnel at tertiary educational institutions should be recognised.



(iv)

- iii) The key elements of the definition for personnel evaluation for lecturing personnel at tertiary educational institutions, as posed in this dissertation, should be accepted as a basis for an approach to personnel evaluation for lecturing personnel at tertiary educational institutions.
  
- iv) The basic normative criteria used in this dissertation should be adopted as the foundation for the design, formulation, implementation, and maintenance of an acceptable and effective personnel evaluation method for lecturing personnel at tertiary educational institutions.
  
- v) The utilising of lecturers to assist with faculty administration should be kept to an absolute minimum.
  
- vi) The criteria for a personnel evaluation method as used in questions six and seven of the questionnaire should be utilised for the development and implementation of a personnel evaluation method for lecturing personnel at tertiary educational institutions.
  
- vii) The characteristics against which lecturing personnel will be evaluated as used in question eight of the questionnaire, should be utilised for the development of individual characteristics for the purposes of evaluating lecturing personnel at tertiary educational institutions.

- viii) The normative model for personnel evaluation as proposed in this dissertation should be used as a frame of reference for the design and implementation of a personnel evaluation method for lecturing personnel at tertiary educational institutions.
- ix) Serious consideration should be given by the technikon top management to the review of the present impasse position regarding personnel evaluation for lecturing personnel at this technikon.
- x) The personnel department of the Port Elizabeth Technikon should be instructed to design, and to propose to the Rectorate, a personnel evaluation method for lecturing personnel in terms of the various foundations and guidelines as expounded in chapters four, five and six of this dissertation.

(vi)

**'N NORMATIEWE MODEL VIR EVALUERING VAN DOSERENDE PERSONEEL BY  
TERSIËRE OPVOEDKUNDIGE INSTELLINGS**

Deur

Ignatius Wilhelm Ferreira

**OPSOMMING**

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In hierdie verhandeling word 'n studie van personeevaluering van doserende personeel by tersiëre opvoedkundige instellings onderneem. Verwysings word na ander tersiëre opvoedkundige instellings gemaak, maar weens die vertroulikheidsaspek word spesifieke verwysings na die Port Elizabethse Technikon in die teks van hierdie navorsingsdokument gemaak.

Hierdie verhandeling is gebaseer op die aanname dat daar geen eenvormige metode vir personeevaluering van doserende personeel

by die Port Elizabethse Technikon bestaan nie. Hierdie aanname is versterk tydens gesprekke met verskeie doserende personeellede op verskillende posvlakke oor die onderwerp van personeevaluering van doserende personeel by tersiëre opvoedkundige instellings. Tydens die genoemde gesprekke is 'n graad van negatiewiteit oor die onderwerp bespeur. Aangesien dit bekend is dat verskeie skrywers op die gebied van Personeeladministrasie personeevaluering as 'n noodsaaklike onderafdeling van die personeeladministrasieproses beskou, is besluit om 'n navorsingsprojek te onderneem oor personeevaluering van doserende personeel by tersiëre opvoedkundige instellings.

Die komplekse aard van personeevaluering van professionele personeel, soos doserende personeel, is uit die staanspoor erken, en gevolglik is besluit, in ooreenstemming met die promotors, om die navorsing tot 'n normatiewe studie te beperk. Daar is ook besluit om 'n normatiewe model vir die evaluering van doserende personeel by tersiëre opvoedkundige instellings te ontwerp en voor te stel.

In die lig van die belangrikheid van personeevaluering vir die ontwikkeling en motivering van personeel in organisatoriese strukture, is besluit om die potensiële respondente tans werksaam en beskikbaar by die Port Elizabethse Technikon te benut vir 'n empiriese studie ten einde bestaande houdings oor personeevaluering by die Port Elizabethse Technikon na te vors.

(viii)

'n Literatuurstudie is eerstens gedoen, waarop 'n beskrywing van die teoretiese raamwerk vir personeeëvaluering gevolg het. Bepaalde normatiewe kriteria is vanuit die literatuur wat ondersoek is, ge-ekstraheer en hierdie kriteria is tydens die empiriese opname onder doserende personeel by die Port Elizabethse Technikon wat op die literatuurstudie gevolg het, gebruik.

Die navorsingsbevindings van die empiriese opname is statisties ontleed en gerapporteer, en 'n normatiewe model vir evaluering van doserende personeel by tersiëre opvoedkundige instellings is gekonstrueer.

Bepaalde aanbevelings is aangaande die navorsing gemaak en moontlikhede vir verdere studie in die onderwerp onder bespreking is uitgewys.

Die aanbevelings hierbo genoem sluit die volgende in:

- i) Verdere navorsing met die oog op 'n praktiese model vir personeeëvaluering vir doserende personeel by tersiëre opvoedkundige instellings moet gedoen word.
- ii) Die professionalisme, akademiese status en vaardigheidsvlak van doserende personeel by tersiëre opvoedkundige instellings moet erken word.

- iii) Die sleutelemente van die omskrywing van personeevaluering van doserende personeel by tersiëre opvoedkundige instellings soos in hierdie verhandeling genoem, moet aanvaar word as 'n basis vir 'n benadering tot personeevaluering van doserende personeel by tersiëre opvoedkundige instellings.
  
- iv) Die basiese normatiewe kriteria soos in hierdie verhandeling verklaar moet aanvaar word as die grondslag vir die ontwerp, formulering, implementering en instandhouding van 'n aanvaarbare en effektiewe personeevalueringsmetode vir doserende personeel by tersiëre opvoedkundige instellings.
  
- v) Die gebruikmaking van doserende personeel vir fakulteitsadministrasie moet tot die uiterste minimum beperk word.
  
- vi) Die kriteria vir 'n personeevalueringsmetode soos in vraes en sewe van die vraelys gebruik, moet vir die ontwikkeling en implementering van 'n personeevalueringsmetode vir doserende personeel by tersiëre opvoedkundige instellings benut word.
  
- vii) Die eienskappe waarteen doserende personeel evalueer word soos in vraag agt van die vraelys gebruik, moet benut word

(x)

vir die ontwikkeling van individuele eienskappe vir die doeleindes van personeevaluering van doserende personeel by tersiëre opvoedkundige instellings.

- viii) Die normatiewe model vir personeevaluering van doserende personeel soos in hierdie verhandeling aanbeveel moet gebruik word as 'n verwysingsraamwerk vir die ontwerp en implementering van 'n personeevalueringsmetode vir doserende personeel by tersiëre opvoedkundige instellings.
- ix) Ernstige oorweging moet deur die Port Elizabethse Technikon se topbestuur aan die hersiening van die huidige doelepunt oor personeevaluering van doserende personeel by hierdie technikon geskenk word.
- x) Die personeeldepartement van die Port Elizabethse Technikon moet opdrag gegee word om 'n personeevalueringsmetode vir doserende personeel, geskoei op die inhoud van hierdie verhandeling, te ontwerp en aan die Rektorat voor te lê.

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## INTRODUCTION

The background to the study of a personnel evaluation method for tertiary educational institutions with specific reference to the Port Elizabeth Technikon relates to an ongoing debate about the criteria used for personnel evaluation of lecturing personnel at tertiary educational institutions.

An interview with the Director: Personnel of the Port Elizabeth Technikon (De Witt:1992) revealed that whilst an elaborate personnel evaluation system exists for administrative personnel, no such system is currently in use for lecturing personnel at the Port Elizabeth Technikon.

The point of departure of this study on personnel evaluation for lecturing personnel at tertiary educational institutions, is vested in an address by the Rector of the Port Elizabeth Technikon at the Barlow Rand 1991 Technology Conference, on tertiary technical education (Snyman, 1991). The Rector indicated at that conference that productivity and competitiveness depend on, *inter alia*: continuous innovation, research and development, high levels of education, and efficient technology transfer.

From the above statements it is inferred that the importance of tertiary technical educational institutions is paramount

in the realisation of high-quality tertiary education in South Africa. In terms of the above normative objectives it is envisaged that the mission of the Port Elizabeth Technikon would have to include references to the terms "innovation", "research", "high levels of education", and "efficient technology transfer".

The Rector's address, as mentioned above, further emphasises an innovative approach to the very latest technology and services of high quality (Snyman, 1991:10).

Snyman (1991:10 - 11) further proposes the realisation of the above-mentioned goals through staff exchange programmes and co-operative research development projects. He further reinforces this concept by stating that technology transfer is best achieved by the transfer of people. Snyman qualifies this concept by stating that:

"...At our technikon we now have the policy of actively encouraging staff to spend sabbaticals in industry and regularly make use of lecturers and welcome research promoters from industry. We are already benefitting from this policy, but programmes will have to be extended further...".

Furthermore, in the same reference, Snyman indicates that personnel should keep pace with the increasing complexities in the industrial sector (Snyman, 1991:11).

From the foregoing it is inferred that the Rectorate of the Port Elizabeth Technikon attaches an imperative value, not only to the people working at the technikon, but also to the aspect of research and development of its personnel in order to "...keep pace with the increasing complexities in the industrial sector...". This is understood to imply that the continued **overall development of academic personnel** in particular, is of primary concern to the Rectorate of the Port Elizabeth Technikon. Confirmation of the Rectorate's attitude in this regard is found in the central theme of the management philosophy of the Rectorate expounded in a set of documents issued during 1990. In these documents the central theme of the Rectorate's management philosophy is identified as "...that the people of the technikon are indeed special...". Aspects like **personnel unity** within departments, **professionalism** and **respect for others** are emphasised. Another important aspect is given as the **personal sense of commitment and dedication** by the personnel to their **professions, students** and their **colleagues**. **Communication** is specifically mentioned. The hierarchy of authority should not inhibit effective communication. The technikon should strive to meet the demands of **quality education** through the **optimum utilisation of resources** (Port Elizabeth Technikon, management philosophy documents:1990).

A circular distributed on 2 November 1992, in the then School of Marketing, Port Elizabeth Technikon, by the Director of



that School, reads as follows:

"...MANAGEMENT PHILOSOPHY : SCHOOL OF MARKETING

THE SCHOOL OF MARKETING practises a participative management style based on the twin pillars of management by objectives and small group activities, which harness the talents and abilities of academic and administrative staff at all levels towards a common goal to improve quality and productivity in teaching, research and administration.

PARTICIPATIVE MANAGEMENT ensures that all staff members are involved effectively in making decisions which will continuously improve their own performance.

The SCHOOL OF MARKETING recognises that cost-effectiveness at all levels is the key to survival and competitiveness and that its continued existence as a SCHOOL OF MARKETING offering career opportunities to all staff members is dependent on its competitiveness..."

The inferral is made from the above statements that the Rectorate and its management cadres are conscious of the fact that the quality of academic personnel is closely linked to certain primary considerations regarding the contribution of technikons to education and training of the community at large.

The foundations of any personnel evaluation method for lecturing personnel at the Port Elizabeth Technikon can be found in certain primary considerations as advocated by the management cadres of the Port Elizabeth Technikon. These primary considerations are interpreted as follows -

- i) Continued **research** because of the present incomplete state of available knowledge.
- ii) Compliance with the universal principle of **respect for the rights and the dignity of the individual** (Snyman, 1991:2).
- iii) **Efficient production of quality products and services** (outputs).
- iv) **High levels of education.**
- v) **Customer satisfaction** (students, sponsors of students, employers and the community at large).
- vi) **Effective decision making involvement by personnel on a participative management style basis that will continuously improve personnel performance.**

The above-mentioned set of primary considerations for technikon education is accepted for the purposes of this research as normative values for personnel evaluation for lecturing personnel at the Port Elizabeth Technikon. These primary considerations are now taken into consideration for

the development of a normative model for personnel evaluation for lecturing personnel at the Port Elizabeth Technikon. This introduction outlined the background to and need for this study to investigate personnel evaluation for lecturing personnel at tertiary educational institutions with specific reference to the Port Elizabeth Technikon.

#### LIMITATIONS OF THE STUDY

This study is limited to an investigation of a personnel evaluation method for lecturing personnel at tertiary educational institutions. In this dissertation the words "method" and "system" will be used as synonyms when the usage pertains to the evaluation of academic personnel at tertiary educational institutions, including the Port Elizabeth Technikon.

For practical reasons, and because of its suitability for the empirical research, the lecturing personnel at the Port Elizabeth Technikon were utilised for the empirical survey of personnel evaluation. For that reason many of the findings and recommendations are made with specific reference to the Port Elizabeth Technikon. Various references are made in the text to other technikons, but, for the purposes of confidentiality, all findings and recommendations will be discussed with particular reference to the Port Elizabeth Technikon.

**CHAPTER 1**  
**RESEARCH METHODOLOGY AND ORGANISING OF CHAPTERS**

**1.1 INTRODUCTION**

It was decided, in the light of the background described in the introduction, to formulate the following definition of personnel evaluation for lecturing personnel derived from the literature on the subject which could simultaneously serve as a point of departure for the study:

**Personnel evaluation for lecturing personnel is a process that serves to determine institutional effectiveness; a basis for reward for lecturers, and communicating to the lecturer his or her levels of academic ability and functional performance and, ideally, implementing a plan of improvement.**  
(Adapted from Byars and Rue (1991:248).

It was further decided to set a broad research goal that a study be undertaken to investigate the development of and proposal for an acceptable and efficient personnel evaluation system for lecturing personnel at tertiary institutions with specific reference to the Port Elizabeth Technikon. The mission of the technikon and the declared management style practised at the technikon are seen as a frame of reference for the proposed study.

## 1.2 RESEARCH METHODOLOGY

The above broad research goal was executed by setting the following study objectives -

- i) To define personnel evaluation for lecturing personnel at tertiary institutions.
- ii) To describe the existing theory for personnel evaluation with reference to personnel management in particular and public administration in general.
- iii) To extract and describe criteria from existing theory that can be utilised in evaluating methods for personnel evaluation at tertiary institutions.
- iv) To describe existing methods for personnel evaluation at tertiary institutions.
- v) To develop and to propose a normative model for personnel evaluation for lecturing personnel at the Port Elizabeth Technikon with reference to existing criteria and proposed empirical research at the Port Elizabeth Technikon.
- vi) To draw conclusions and make recommendations that may contribute to the improvement of this function at tertiary educational institutions.

It is intended to answer the following key questions in this research -

- i) What are the existing major criteria in existence for the evaluation of lecturing personnel at the Port Elizabeth technikon?
- ii) What are the preferences of lecturing personnel at the Port Elizabeth technikon in terms of the above criteria?
- iii) Is there a difference in preferences between different categories of lecturing personnel?
- iv) Is there a difference in the approach followed in evaluating different categories of lecturing personnel?
- v) Can a comprehensive model be constructed to accommodate evaluation of lecturing personnel at the Port Elizabeth technikon?
- vi) Can arguments be constructed for the general application of this model for all tertiary educational institutions in South Africa?

The research consists of the following three aspects -

Theory search and research model construction, empirical survey, and data interpretation. These aspects are explained as follows -

**1.2.1 Theory search and case analysis**

A literary study of available texts comprising of a study of relevant books, journals, training manuals, papers, staff codes, theses and training courses.

A critical content analysis of selected cases of the practice of personnel evaluation at various institutions.

**1.2.2 Research model construction**

Development of a normative research model of criteria derived from the literary search and the critical content analysis of cases as well as from the empirical survey.

**1.2.3 Empirical survey and data interpretation**

A survey of attitudes on the criteria established during the development of the normative model amongst lecturing personnel at the Port Elizabeth technikon (the lecturing personnel were categorized in three levels) -

i) Lecturer.

ii) Senior lecturer.

iii) Associate director (Departmental head)/Director(Dean).

The survey was conducted by distributing questionnaires designed to measure attitudes of lecturing personnel with reference to selected criteria.

The responses were recorded on a five-point Likert scale by utilising a structured-self-administered questionnaire. The same questionnaire was used for all three categories of lecturing personnel.

The data interpretation consisted of the following:

- i) Determining relative values pertaining to the established criteria that emerged from the survey and transferring the data in codified form to a computer data-base (statgraphics).
- ii) Interpreting the data obtained utilising statistical methods of analysis, such as frequency distribution, median, mode and skewness.

A proposed organising of the chapters is as follows:

### **1.3 ORGANISING OF CHAPTERS**



## INTRODUCTION

An introduction that will include the background to, reasons for, and objectives of the study.

## **CHAPTER 1 - DEFINITION, DEMARCATION OF STUDY FIELD AND RESEARCH METHODOLOGY**

A definition of personnel evaluation, a demarcation of the field of study, the research methodology to be used and a formulation of the research objective and study goals as well as an outline of the proposed study.

## **CHAPTER 2 - A THEORETICAL BASIS FOR PERSONNEL EVALUATION**

In this chapter the theoretical bases for public administration, personnel management, and personnel evaluation are discussed. A suitable point of departure for the research into the evaluation of lecturing personnel at tertiary educational institutions is pursued.

## **CHAPTER 3 - NORMATIVE CRITERIA FOR PERSONNEL EVALUATION**

In this chapter the right of existence, as well as the ethical foundations of the subject, having been researched, are discussed.

Certain legal considerations are investigated, and an attempt is made to formulate basic normative criteria for personnel evaluation.

#### **CHAPTER 4 - IN SEARCH OF COMMON CRITERIA FOR PERSONNEL EVALUATION**

In this chapter selected existing systems for personnel evaluation are reviewed with a view to determining certain common criteria for personnel evaluation. Personnel evaluation methods at various tertiary and other institutions are described and analysed in this chapter.

#### **CHAPTER 5 - EMPIRICAL SURVEY OF LECTURING PERSONNEL AT THE PORT ELIZABETH TECHNIKON**

In this chapter certain common criteria, inferred from the literature study and the investigation of existing methods of personnel evaluation are identified and proposed. A suitable questionnaire was designed in terms of certain common criteria.

A survey of attitudes on the determined criteria amongst lecturing personnel at the Port Elizabeth technikon was conducted, analysed, and interpreted as described under 1.2.3.

#### **CHAPTER 6 - DEVELOPMENT OF A NORMATIVE MODEL FOR PERSONNEL EVALUATION OF TERTIARY PERSONNEL**

After the preceding literature study and empirical investigation the model proposed in the previous chapter was developed and described as a normative model for personnel evaluation for lecturing personnel in general.

## CHAPTER 7 - CONCLUSION AND RECOMMENDATIONS

In this chapter summaries of the preceding chapters are briefly synthesised. A number of recommendations are made. The research methodology is described, consisting of a theory search, empirical survey and the construction of a provisional model.

Data interpretation and the development of a theoretical normative model are discussed, and, finally the organising of the seven chapters is outlined.

In the next chapter a theoretical basis for personnel evaluation is determined, inferred from the available literature. A funnel approach will be followed, where firstly, the theoretical basis for public administration will be described. Secondly, a theoretical basis for personnel administration as a component of public administration will be described as inferred from the literature. Finally, a theoretical basis for personnel evaluation will be discussed.

## CHAPTER 2

### A THEORETICAL BASIS FOR PUBLIC PERSONNEL EVALUATION

#### **2.1 INTRODUCTION**

Public personnel evaluation is a sub-section of public personnel administration (Andrews, 1988:10-12), and in order to determine a theoretical basis for public personnel evaluation, it is essential to determine a theoretical point of departure for the study of public administration and/or public management.

Andrews (1988:10) holds that disagreement exists concerning the use of the concepts "management" and "administration". According to Andrews, Nigro and Nigro view management and administration as synonymous concepts. Notwithstanding Robbins' (1980:6) view of the two concepts being of equal status, he favours the use of the concept "administration" within a public sector context because generally the concept "management" is usually linked to profitmaking institutions (Andrews, 1988:11).

Bayat (1991:4) holds that public management is only a part of the broader phenomenon of public administration and that care should be taken not to reduce public administration to public management. This view is

upheld by Schwella (1991:2-3) when he refers to IASIA's argument (1978:17) in which the curricula for public administration are listed to include " ... administrative processes with particular emphasis on **managerial** functions ...".

The above references imply a subordinate view of public management in relation to public administration. Schwella, in Fox et al (1991:v), groups leadership and motivation under the heading "Public Management Functions". The aspect of "appraisal" is also mentioned in the chapter on leadership and motivation (Fox et al 1991:113). According to Stahl (1983:563) performance **appraisal** and performance **evaluation** are synonymous terms and forms part of the broader concept of personnel management. It is therefore inferred that the public management functions, while subordinate to the concept "public administration", can structurally be seen to include personnel management, which, in turn, includes personnel evaluation.

The theories in public administration need to be evaluated in terms of all the requirements that theory have to meet. Attention must also be devoted to the approaches that are followed in the construction of theories in public administration. This is necessary because theories constructed in the other social

sciences have been adapted and modified to find application with varying degrees of success in the study of public administration. The available fundamental theoretical basis for public administration will be used as a point of departure to develop theories for personnel management as a component of public administration.

Subsequent to the establishment of the theoretical bases certain basic theoretical approaches to personnel evaluation as a sub-component of personnel management will be explored.

## **2.2 A THEORY FOR PUBLIC ADMINISTRATION**

Stillman (1976:3-4) argues that it is pointless to pin down an exact definition of public administration simply because the many variables and complexities of public administration make almost every administrative situation a unique event, eluding any highly systematic categorization.

According to Coetzee (1988:134) different phases and paradigms in the development of the study field Public Administration are suggested by different authors on the subject.

Coetzee, (1988:134) defines paradigm as "...a model or table for the inflection of a class of words, as of a particular declension and/or conjugation". Coetzee further refers to a pattern, a tradition, a school or style of science that has concrete historical significance, as well as clear assumptions, methods and research schemes (Coetzee, 1988:134).

From Coetzee's definition it is deduced that the term paradigm refers to the status-orientated framework within which the relevant subject is viewed for the purpose of conceptualising its theoretical and practical substance pertaining to a particular continuance or time-frame.

For the purposes of this dissertation, the exposition of Hanekom (1988:70-79) will be used as a basis of a summary of the different phases and paradigms in the development of public administration as an academic discipline of Public Administration.

The following is a brief discussion of five paradigms according to Hanekom, (1988:70-79):

**Phase 1 - separation of politics and administration  
(1900 - 1926)**

The dichotomy between politics and administration can be traced to 1900, when Frank J. Goodnow published his book "Politics and administration: a study of government". Goodnow shows a separation between political processes and administrative processes. The view was held that public administration concentrated on executive governmental institutions, and not on the policy-making processes that precede the executive function.

Formal training programmes in public administration was started at American universities between 1914 and the late 20's. White's work , "Introduction to the study of Public Administration", provided further stimulus to the development of the subject. Policy-making was seen as the function of politicians, rather than of administrators (Hanekom, 1988:70).

**Phase 2 - scientific management (1927 - 1937)**

Willoughby's book titled "Principles of administration" was published in 1927. He saw the legislature as a board of directors and the chief executive as a general manager. F.W. Taylor and others influenced Willoughby's thinking.



Gulick and Urwick published "Papers on the science of administration" wherein they formulated the anagram POSDCORB, which stands for Planning, Organising, Staffing, Directing, Coordination, Reporting, and Budgeting. These recognisable steps were seen as the principles of administration. These steps were also seen as the functions of those engaged in administration.

In this second phase the subject matter of public administration was identified for the purpose of study.

The "scientific management" view of public administration resulted in a need for trained public administrators (Hanekom, 1988:70).

### **Phase 3 - identity crisis (1938 -1970)**

The principles expounded in phase 2 were criticised by Chester I. Barnard in his book "Functions of the Executive". Morstein-Marx continued with this approach in 1946 with his book "Elements of Public Administration". He questioned the premise that politics and administration could be separated.

During this phase creative writers left the field and Public Administration was deprived of an own identity. Students of Public Administration returned to the fold of Political Science. The place where public

administration operates was redefined as the "executive government institutions". Public administration was threatened by absorption into other branches of administrative sciences, such as business administration (Hanekom, 1988:71).

#### **Phase 4 - synthesis (1970 to the present)**

According to Hanekom (1988:73) the "how" and "why" of public administration were already defined at the start of this phase.

The place (locus) where public administration takes place is presently still under debate, but, as Hanekom (1988:73) states, "...it is possible to identify specific public activities as social phenomena..."

Public administration is now identified as a process that cannot be separated from politics. Particular administrative processes or functions and auxiliary activities have been described by various writers on the subject (Hanekom, 1988:73). Hanekom (1988:73) however points out that "...an internationally acceptable theoretical framework to serve as a model for analytical purposes has yet to be formulated".

In Henry's description (1989:45) of the different paradigms of public administration he concludes that "Public Administration does appear to be emphasizing such areas as state and local government, executive management, administrative ethics and all those questions that seek to explain the 'public interest' phenomenon in a technobureaucratic 'Big Democracy'.

Henry (1989:46) further states that core curricula for Public Administration education appears to concentrate on the **environment** of public administration, the role of bureaucracy in a democracy, quantitative methods, public budgeting and financial management, organisation theory and **personnel administration**.

Fox **et.al.** (1991:2) defines public administration as -

"that system of **structures** and **processes**, operating within a particular society as **environment**, with the objective of facilitating the formulation of appropriate **governmental policy**, and the **efficient execution** of the formulated policy".

There would be no sense in discussing the need for and the construction of a sound theoretical base in public administration without briefly outlining the development of the subject.

Henry (1989:21) and Stillman (1976:5) write that Woodrow Wilson largely set the tone for the early study of public administration in an essay entitled "The Study of Administration" published in the Political Science Quarterly in 1887. Wilson observed that it was "getting harder to run a constitution than to frame one", and called for the "bringing of more intellectual resources to bear in the administration of the state" (Henry, 1989:21). Marais (1990:13) points out, however, that the claim that the academic discipline Public Administration originated as a result of Woodrow Wilson's article, is an overrated one.

He argues that because the American federal civil service became politicised, the Americans never managed to achieve their ideal of separating the powers of government. However, towards the end of the previous century the Americans realised this and had made an unsuccessful effort to depoliticise their federal civil service, and it is against this background that the article of Wilson must be understood. In his article Wilson advocated both the depoliticisation of the federal civil service as well as the study of public administration as an identifiable phenomenon. In spite of Wilson's espousal, however, Marais (1990:24) insists that the article referred to had no influence on the depoliticisation of the federal civil service. The

inferred that the academic discipline Public Administration originated as a specific result of Wilson's article, would therefore, according to Marais (1990:27), be incorrect.

Despite the fact that Wilson's article has been widely criticized by later scholars and that even today disagreement exists on the interpretation of his statements, Wilson posited one unambiguous thesis in his article which has had a lasting impact: **the subject of public administration needs to be studied** (Henry, 1989:21).

Henry's view about Woodrow Wilson's role in the establishment of public administration as an academic discipline is reiterated by Wissink (Fox et al., 1991:34), when he points out that the rise of Public Administration as an academic discipline is commonly ascribed to Wilson's article. Wissink argues that Wilson's article was the cause of the rejection of policy-making as a vital role of government officials. Wissink, in the quoted reference, cites Woll (1966:28), who wrote that Wilson stated in his article that the operational field of administration can be compared to the running of a "business". The implication is that administration was taking place on the more organised management level, distant from the hectic political

arena. The view is held that, in his article, Wilson originated the spontaneous dichotomy between politics and administration.

Wilson's presumed dichotomy of politics and administration appears to have initiated the work of Frank Goodnow, Politics and Administration, which was published in 1900. Hanekom et al (1983:44) states that Goodnow's book is regarded as one of the cornerstones of the Public Administration movement and later also of the politics-administration dichotomy.

In his work Goodnow tried to make a definite separation between the then so-called corrupt and degraded political processes in the United States and the administrative processes, the latter of which was accepted could be executed with the integrity and precision of a science.

According to Bozeman (1979:41), Political Science is generally recognized as the mother discipline of Public Administration.

The early public administrationists were almost all political scientists, and political science journals served almost exclusively as the vehicle for public administration theory until the Public Administration

Review was first published in 1940. It was during the influential behaviouralism period of the late 1950's and early 1960's that Public Administration came to be estranged from Political Science. Bhambhri (1975:27) writes that public administration takes the state for granted and concerns itself with the study of the nature of problems involved in implementing the will of the state and implementing the decisions of government so that the objectives set by the state may be achieved. Self (1972:149) refers to the writings of Goodnow who wrote that politics is concerned with policies or expressions of the state and public administration with the execution of those policies.

Wilson states in his aforementioned article that administration is far removed from the hurry and strife of politics and that politics is to administration as machinery is to the manufactured product (Stillman, 1976:275).

At public administration level, the theories are mainly descriptive and positivistic and studiously objective in that, following behaviouralism, they stick to the facts and describe public administration as it really is, not what it purports to be or should be (Caiden 1971:226). Thornhill and Hanekom (1983:110) are of the opinion that the generic administrative processes, identified by

Cloete, namely policymaking, organising, financing, personnel provision and their maintenance, determining of work methods and procedures and lastly, the exercising of control, is an example of an effort to develop a theory of public administration.

This framework allows for a clear understanding and explanation of phenomena but falls short of being able to predict. It does not, therefore, meet all the requirements of a theory for public administration. Marais (1984:28) is of the belief that it would be a mistake to limit oneself to the six generic processes when trying to formulate a theory of public administration.

Environments, ethics, values and politics also need to be taken into account in the development of a theory of public administration. In conclusion, Bhambhri (1975:21) states that instead of a universally valid theory of administration, there is a growing variety of part theories. Theories of business administration, public administration, hospital administration and numerous other types of administrations.

The subject of public administration is at the moment rather sparsely provided with any kind of theory of its own, old or new. As a basis of training in the public



services it tended to be a patchwork of descriptions of institutions and bits of often undigested doctrine of business management, some of it outdated (Baker 1972:15-16).

Botes (1973:13) writes that the real problem in the study of public administration is the actual determination of the various sub-fields of study. If public administration is to be accepted as a fully-fledged discipline, it will have to be founded on a sound theoretical base. The reason for this is that what constitutes a science is the ability to produce satisfactory explanations of the type of events which it investigates rather than its success or lack of success in getting results by the methods of natural science (Hanekom and Thornhill 1983:70).

The study of public administration cannot claim the title of a "science". Science, properly so called, must always include the formulation of systematic hypotheses. It should also link the hypotheses with controlled experiments which can be independently replicated and tested (Baker:1972:17).

Bhambhri (1975:21) is of the opinion that the scientific study of the "facts" of administration is possible and, therefore, to this extent Public Administration is a

science. No science of public administration is possible unless -

the place of normative values is made clear;

man's role in the field of public administration is better understood (Marais 1984:26); and

there is a body of comparative studies from which it may be possible to discover principles and generalities that transcend national boundaries and peculiar historical experience (Bhambhri, 1975:20).

Morrow (1980:49-50) and Chandler and Plano (1982:2) identify a number of theories that public administration should be concerned with:

- i) Descriptive theory - describes what actually happens in administrative agencies and postulates possible causes for the behaviour it observes. Theorists suggest that we should apply the insights of the humanities and the social sciences to the study of public administration, because sociology, psychology, economics, and history can help explain why administrators act as they do.

- ii) Prescriptive theory - prescribes changes in the direction of public policy by exploiting the bureaucracy's expertise and political clout. Once descriptive theory has described the cause of an administrative disease, prescriptive theory can prescribe its cure. According to prescriptive theory, administrative theory exists to reform, to correct, and to improve the processes of government.
  
- iii) Normative theory - is concerned with questions of whether the public bureaucracy should be assuming the roles it is assuming in politics and policy development, and whether or not such roles should be stabilized, extended or restricted. Normative theories are associated with the 'value goals' of the field.
  
- iv) That is what public administrators ought to be given in their realm of decision alternatives, and what public administrationists (the scholars) ought to study and recommend to the practitioners in terms of policy.
  
- v) Assumptive theory - focuses on improving the quality of administrative practices by attempting to understand the nature of human beings as they interact with bureaucratic political institutions.

Every public administrator has operating assumptions about human nature and about institutional tractability. But few public administration theorists have refined and articulated their own assumptive propositions. Lasting improvement in administrative practice will depend in large measure upon the ability of social and behavioral theorists to formulate a consistent and focused image of man's personal and institutional capacity.

- vi) Instrumental theory - conceptualizes ways to improve techniques of administrative management to make policy goals more realisable. Instrumental theory is 'pay off' theory. It is about the tools, techniques and timing necessary for the efficient and effective attainment of public objectives.

If instrumental wisdom does not exist, and if a reliable delivery system for policy decisions is not in place, any other elements of administrative theory are incapable of application. The "how" and "when" of administrative theory are as important as the "why".

It becomes clear, therefore, that the focus on any one of these theories depends on the political climate.

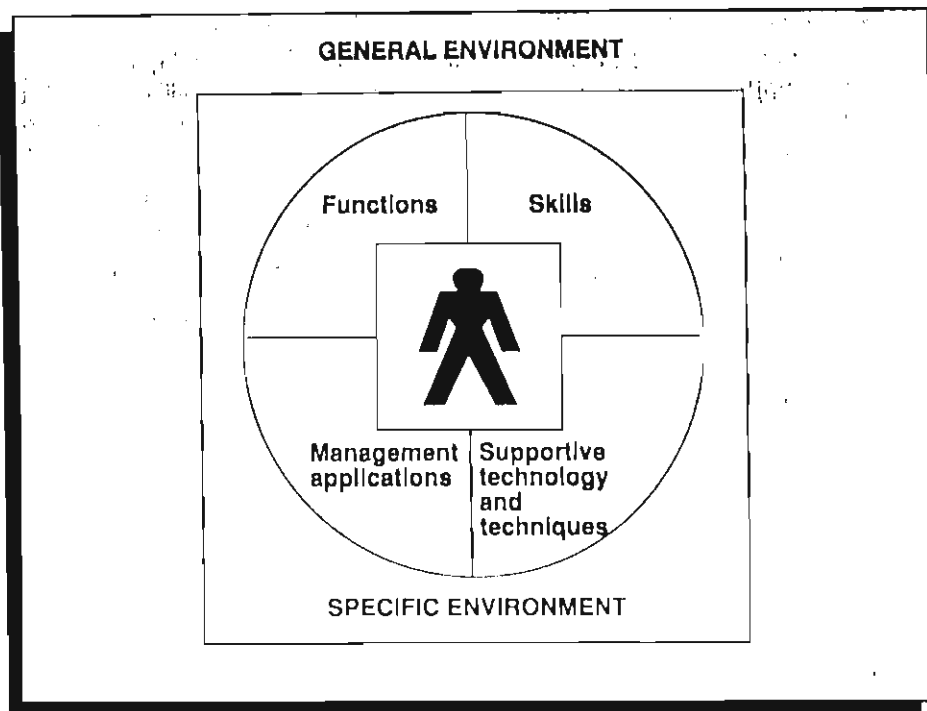
South Africa, at present, would need to call upon descriptive theories to provide the necessary explanatory evidence on which to base its reform. Pending on the evidence revealed, policy reform would have to take place in the form of any one of the other theories. In a democratic and civilised society the importance of normative theory as one of the bases for reform should not be overlooked. If no normative theory for what "should" be done exists, the execution of policies will have to take place in terms of natural laws, that includes, for instance, survival of the fittest.

Chandler and Plano (1981:6) write that normative theory concerns itself with questions such as the role the public sector should assume. Related to this is the manner in which public officials should execute their tasks.

Public administration is recognised as a distinctive field of work because of the requirement that those who practice public administration, that is, the political office-bearers and public officials have to respect specific guidelines that govern their conduct in the execution of their work (Cloete, 1981:8). When the different points of view about the nature and extent of public management is considered, it becomes necessary to

attempt to identify an analytic model for public management. Two models for public management will be considered, those of Fox et al (1991:3-6) and Easton (1979:29-30). (See figures 1 and 2).

**Figure 1 -**  
The public management model of Fox et al (1991:8)



**GENERAL ENVIRONMENT**  
Political • Social • Economic • Technological • Cultural

**SPECIFIC ENVIRONMENT**  
Suppliers • Competitors • Regulators • Consumers

FUNCTIONS	SKILLS	APPLICATIONS
Policy-making Planning Organising Leading Control and evaluation	Decision-making Communication Management of change Management of conflict Negotiation	Policy analysis Strategic management Organisation development
		<b>SUPPORTIVE TECHNOLOGY AND TECHNIQUES</b>
		Computer technology and information management Techniques for public management

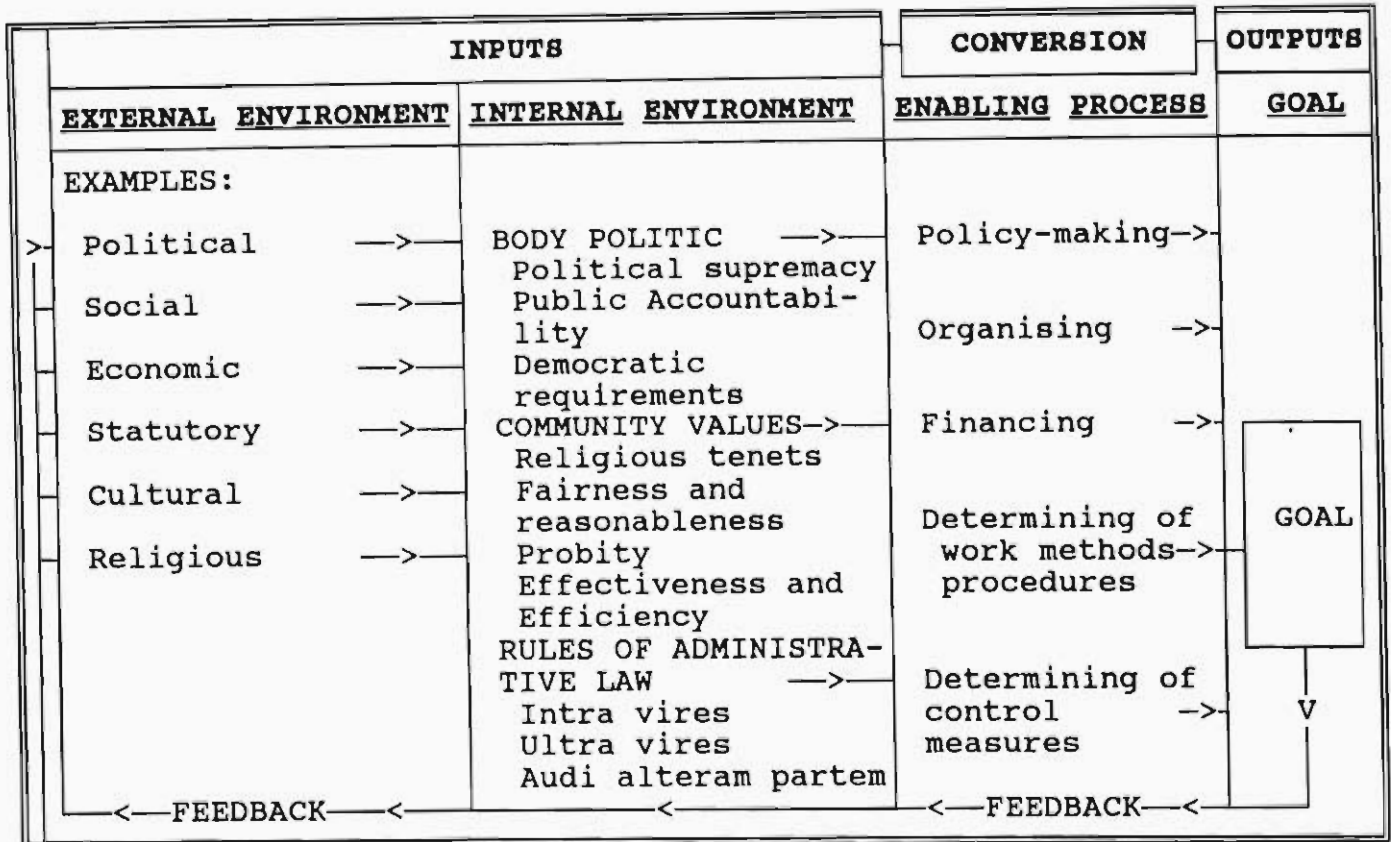
The model of Fox et al (1991:3) takes as its point of departure a perceived general environment. This general environment consists of various sub-environments, namely political, social, economic, technological, and cultural. These sub-environments are only examples of possible environments. Those mentioned are taken as being representative of most facets of contemporary human societal existence and its need-generating elements.

Fox et al (1991:3-4) shows a specific environment, within the general environment, that consists of suppliers, competitors, regulators and consumers. The interaction between the components of the general environment and the factors of the specific environment are then regulated by certain functions, skills and applications.

The above model can be transposed as a framework for personnel evaluation for lecturing personnel at tertiary educational institutions with specific reference to the Port Elizabeth Technikon.

The model of Fox et al (1991:3) has many similarities to Easton's input-output analytical transformation model, illustrated in figure 2 on the next page.

**Figure 2:** The analytical input-output transformation model of Easton.



The dynamic response model of a political system of Easton (1979:29-30) (also known as the analytical input-output transformation model) emphasises need generation from total external environments. These serve as the "inputs". The total external need-generating environments are listed, among others, as the ecological system, the biological system, personality systems, social systems, international political systems, international ecological systems, and international social systems (Easton, 1979:30).



The generated needs can only be satisfied by goal-setting, the reaching of which will be considered the "outputs".

The process of need satisfaction has to move through an internal environment, consisting of different "foundations and guidelines", and which serve as "filters" to maintain norms and standards in terms of the current body politic, community values and legal requirements. Then an administrative (or management) process, consisting of various functions (processes) has to be utilised in order to enable the institution faced with the task of satisfying the need, to proceed with the various steps of the enabling process. After the goal has been reached and the need accordingly been satisfied, feedback occurs to the original environment to check whether the need has been optimally satisfied. Should the goal be reached, the original environment will be found to have changed, to a new environment, which, in its turn, proceeds to generate new needs that have to be satisfied by goal reaching, and the process commences again. (Easton, 1979:30).

Comparable functions as expounded by a number of other authors on the subject of public management, will be explained.

The management process can consist of any number of

enabling processes or functions. Robbins (1980:61-415) identifies five enabling, administrative or management processes, namely decision-making, planning, organising, leading, and controlling.

Dubrin (1990:67-485) identifies five processes, namely planning and decision making, organising, leading, controlling, and managing for personnel effectiveness.

Easton's model (1979:30) only makes mention of a "conversion of demands into outputs" and apparently leaves the door open for any suitable enabling process to be utilised for the conversion function.

Fox et al (1991:5) identifies five enabling functions or processes, namely policy-making, planning, organising, leadership and motivation, and control and evaluation. The model of Fox et al, as referred to above, is specifically suited for this research, as it is more descriptive by nature, and therefore more readily understood.

The model of Fox et al (1991:5) nevertheless communicates the very same concepts as comprehensively as the model of Easton. Another reason which makes it suitable for this research is the fact that one of the enabling functions (processes) specifically makes mention of "evaluation", such as programme evaluation, as part of the control process. Because of this it

could therefore readily accommodate the subject under discussion in this study, namely personnel evaluation as a component of personnel management.

Before proceeding to an analysis of theories of personnel evaluation, theories for personnel management, as the major management process that includes the concept of personnel evaluation, will be investigated.

### **2.3 A THEORY FOR PUBLIC PERSONNEL MANAGEMENT**

Klingner et al (1985:xi) states that public personnel management, as a field of public administration, has undergone considerable development in the last fifty years.

Various authors have formulated definitions for public personnel administration. Stahl (1983:28) defines public personnel administration as "...the performance of all managerial functions involved in planning for, recruiting, selecting, developing, utilizing, rewarding, and maximizing the potential of the human resources of an organization". Stahl continues to state that this definition "was devised with private enterprise in mind, but it fits the public sector just as well".

Bearing Stahl's comment above in mind about the universal nature of personnel administration, the description of Dessler (1984:1) also deserves mentioning here; "... in order to understand what personnel management is, we have to first ask what it is that managers do...", and "... most experts agree that there are five basic functions all managers perform: planning, organising, **staffing**, leading, and controlling...". "...in total, they represent what is often called the management process...". Dessler (1984:2) explains that the function **staffing** consists of the following concepts and techniques:

- i) Job analysis.
- ii) Planning manpower needs and recruiting candidates.
- iii) Orienting and training new employees.
- iv) Wage and salary management.
- v) Providing incentives and benefits.
- vi) **Appraising performance.**
- vii) Face-to-face communicating.
- viii) Developing managers.

Andrews (1988:3) states that the personnel function consists of a network of functions and functional activities. These functions and activities, with the aid of defined analytical methods and auxiliary aids and with the recognition of specific normative guidelines,

are exercised in order to provide, utilise, remunerate, train, develop, and maintain a motivated corps of personnel for the public sector.

On the other hand, Ivancevich et al (1989:7) briefly defines personnel/human resources management as "...the function performed in organizations that facilitates the most effective use of people (employees) to achieve organizational goals and individual goals".

Carrell et al (1986:3) defines personnel management as "...a set of programs, functions, and activities designed to maximise both personal and organizational goals".

From the quoted definitions and descriptions of (public) personnel administration (also referred to as personnel management) at least four distinctive requirements for the effective execution of personnel management functions can be identified:

staff has to be **provided**.

staff has to be **maintained**.

staff has to be **trained, developed and evaluated**.

staff has to be effectively **utilised**.

Andrews (1988:16) describes these requirements as the functional activities of the personnel function. The following is a brief description of the four components:

**Provision of personnel** - According to Andrews (1988:16), the provision of personnel "... is made possible by executing the processes of human resource planning, position determination and job classification, recruitment, selection and placement.

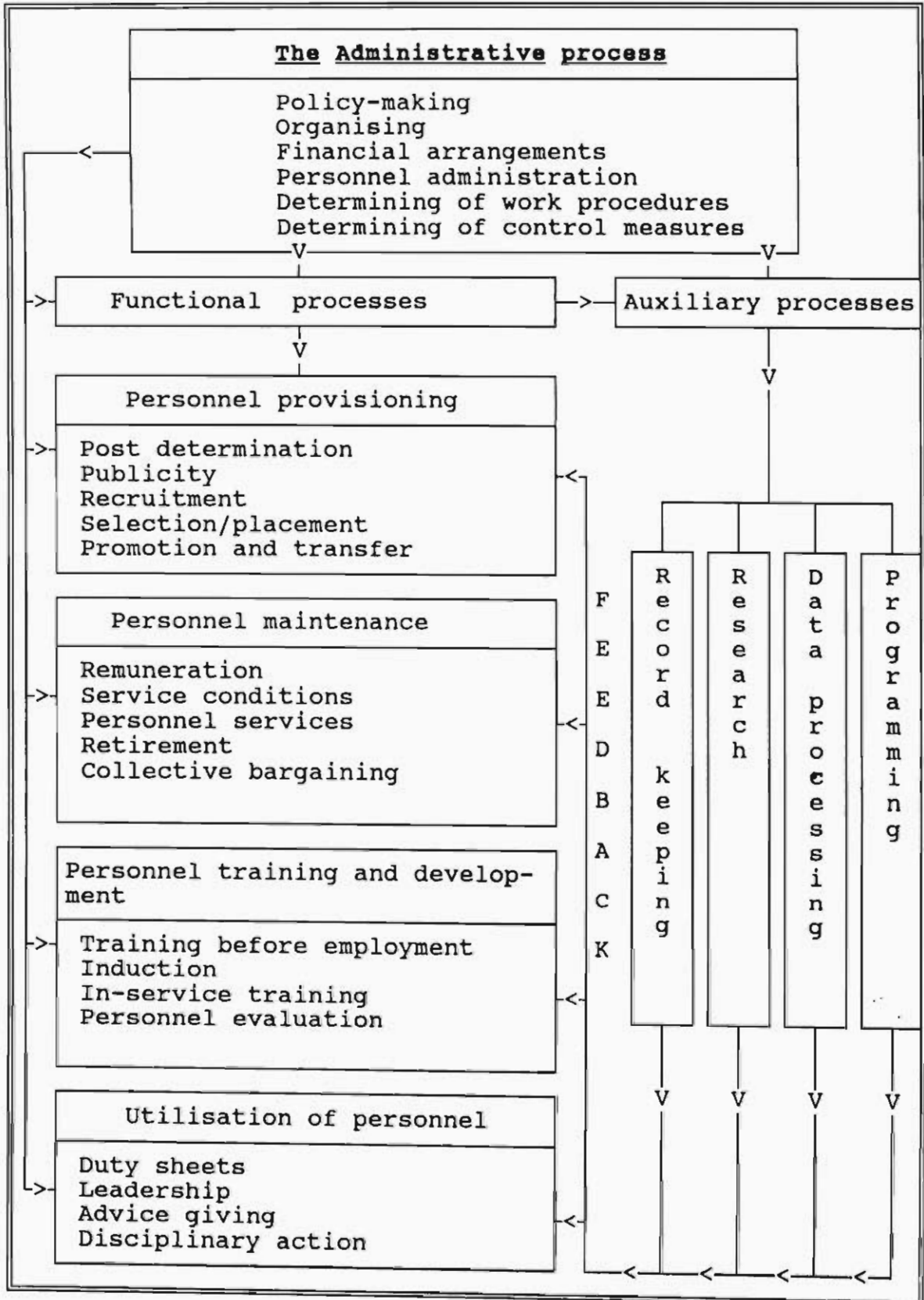
**Maintenance of personnel** - Once the personnel has been provided via the provision of personnel function, steps have to be taken to maintain the presence of the appointed human resources.

Andrews (1988:157) mentions "compensation packages" which can be construed as to include both a salary and various service conditions. Of these Andrews (1988:159) include certain ergonomic factors, such as an attractive work environment.

**Training, development and evaluation of personnel** -Stahl (1983:iv) group the issue of staff development, training and performance evaluation under the heading "developing top performance".

Figure 3 on the next page is an illustration of personnel management.

**Figure 3: PERSONNEL MANAGEMENT**



According to Stahl (1983:275) training and development of personnel is the very essence of supervision.

Concerning personnel evaluation, Stahl (1983:259) states that "no organized enterprise can escape making judgements about the behavior and effectiveness of its staff".

Stahl (1983:260) lists the following requirements of a personnel evaluation system:

- i) Clarification of what is expected (the setting of standards).
- ii) Fortifying and improving employee performance.  
Refinement and validation of personnel techniques.  
Establishment of an objective base for personnel actions.

**Utilisation of personnel** - The inferral is made that once personnel has been provided via the personnel provision process, maintained with acceptable compensation packages, trained, developed and effectively evaluated, a process of optimal utilisation of personnel has to be executed to ensure that the work is carried out effectively and efficiently.



Cloete (1975:101) holds that a system of work programming is the most efficient vehicle for effective and efficient utilisation of personnel.

Andrews (1988:19) regards optimal utilisation of personnel as possible through transfers and promotion, discipline and punishment, guidance and motivation.

#### **2.4 A THEORY FOR PERSONNEL EVALUATION**

It is assumed that one of the reasons why work is performed is for rewards. According to Gibson et al (1982:476) the main objectives of rewarding people for work performed are firstly to attract people to join the institution, secondly to ensure that people will return to the work-place, and, thirdly, to motivate people to achieve high levels of performance. The last-mentioned instance implies the aspect of measurement, as it would be impossible to determine a high or a low level of performance without measuring the performance in question. From this argument the assumption is made that in order to measure performance, performance would firstly have to be categorised, and secondly, evaluated.

Beach (1980:288) states the following in the above regard:

"...The supervisor must frequently make decisions pertaining to the pay treatment of his employees, as well as employee placement, transfer, promotion, and individual development...". "...Shall these personnel actions be based upon spur-of-the-moment decisions, or shall they be based upon carefully thought-out judgements made by a supervisor in collaboration with others and formulated in a systematic manner...?"

Beach defines personnel evaluation as the systematic evaluation of the individual with respect to his performance on the job and his potential for development (Beach, 1980:290). From this definition is deduced that systemisation of the evaluation method is regarded as important by Beach, as well as the particular level of performance, and the employee's potential for development.

Mondy et al (1990:382) states that top producers in work groups become discouraged if they receive the same salary increases as workers that render lower levels of performance. The major incentive to perform superior work is destroyed in such cases. According to Mondy the development of effective personnel evaluation methods are most difficult. In a survey of 3500 institutions it was found that among managers the major concern about human resources was their displeasure with the personnel

evaluation method used in their respective institutions (Mondy et al, 1990:382). Personnel evaluation data, according to Mondy et al can be useful in a variety of ways. They indicate that at least 50% of respondents in a survey done by Fombrun and Laud (Mondy et al 1990:383) use personnel evaluation in areas related to compensation such as merit salary increases, communication, human resources planning, career planning, and internal employee administration.

Hayes et al (1984:302) states that personnel evaluation have three basic functions:

- i) To provide **feedback** to employees regarding their performance.
- ii) To serve as **a basis for modifying or changing behaviour toward more desirable work habits.**
- iii) To **provide data to managers** that may be used to make future internal personnel decisions.

Griffin et al (1986:418) defines personnel evaluation as "the process of evaluating work behaviors by measurement and comparison to previously established standards, recording the results, and communicating them back to the employee".

All the sources consulted provide extensive descriptions of personnel evaluation systems which are aimed at personnel engaged in functional work.

Theoretical descriptions of personnel evaluation systems for lecturing personnel are in most cases limited to systems designed for teachers at schools, and which could not be applied to personnel evaluation for lecturing personnel at tertiary educational institutions. However, Minzberg (1983:189-213), in describing aspects of professional bureaucracy, specifically indicates the particular difficulty that exists with personnel evaluation for lecturing personnel at tertiary educational institutions. He states that "...not only is his (the professional's) work too complex to be supervised by managers or standardized by analysts, but also his services are typically in great demand..."; a condition which could imply that personnel evaluation may not be regarded as an important function on the professional level.

Despite Minzberg's theory, however, Stahl's (1983:259), statement, that "...no organized enterprise can escape making judgements about the behavior and effectiveness of its staff..." Stahl (1983:259), appears to be more realistic, as it is clear that any **employee**, in the sense of a certain master and servant relationship, would have to meet a certain standard of performance in whatever sphere of employment, professional or otherwise, in order to qualify for the agreed-upon compensation package.

This study is approached with the above background as a point of departure.

It is possible that the investigation may reveal that the design of a suitable personnel evaluation system for lecturing personnel at tertiary educational institutions would not be realistic. However, the opposite may also be true. This research will attempt to investigate and find answers to the following questions:

- i) What are the major criteria in existence (theory and practice) for the evaluation of lecturing personnel at the Port Elizabeth technikon?
- ii) What are the preferences of lecturing personnel at the Port Elizabeth technikon in terms of criteria identified in #1?
- iii) Is there a difference in preferences between the three categories of lecturing personnel identified?  
Is there a difference in the approach followed in evaluating different categories of lecturing personnel?
- iv) To what extent are existing systems for lecturing personnel evaluation at tertiary educational institutions consistent with the norms and criteria set in the current theory?
- v) To what extent does the evaluation of lecturing personnel at tertiary educational institutions pose specific problems and require specific approaches?
- vi) Can a comprehensive model be constructed to accommodate evaluation of lecturing personnel at the Port Elizabeth technikon?

- vii) Can arguments be constructed for the general application of this model for all tertiary educational institutions in South Africa?

Investigation into the available literature led to the following definition for personnel evaluation for lecturing personnel at tertiary educational institutions:

**Personnel evaluation for lecturing personnel is a process that serves to determine institutional effectiveness; a basis for reward for lecturers, and communicating to the lecturer his or her levels of academic ability and functional performance and, ideally, implementing a plan of improvement.**  
(Adapted from Byars and Rue (1991:248).

## **2.5 SUMMARY**

This chapter briefly investigated, in a funnel approach, theories about the science and discipline of public administration, public personnel management, and personnel evaluation as a sub-discipline of both public administration and public personnel management.

From this chapter it is concluded that the above definition is a fair and reasonable point of departure, and that the key elements of the definition can, in fact, be applied to personnel evaluation for lecturing

personnel at tertiary educational institutions.

In the following chapter normative criteria for personnel evaluation will be described and proposed in terms of the literature study.

**CHAPTER 3**  
**THE SEARCH FOR NORMATIVE CRITERIA**  
**FOR THE EVALUATION OF LECTURING PERSONNEL**

**3.1 INTRODUCTION**

When human behaviour in the work situation is observed, the extent to which such behaviour can be predicted as a response to particular circumstances, is often questioned.

It is suggested that the complicated composition of the human psyche, in terms of predictability of behaviour, could be a cause of the difficulty supervisors experience in the work-place when determining guidelines for personnel evaluation. Although such difficulties have been addressed in the science and practice of personnel administration in work spheres related to functional activities in industry and in the public sector, evidence of evaluation systems to assess the work performance of lecturing staff at tertiary institutions is still relatively scant. Elton (1988:216) declares in this respect that the evaluation of the work performance of academics has always been a foreign concept. He gives the reason for this as the freedom with which academics have traditionally been allowed to carry out their work (Elton, 1988:216).



The evaluation of performance of personnel in any organisational structure appears on the one hand to be an important instrument whereby management can control the level of performance of the human resource towards achieving organisational goals. On the other hand, the people in the different posts that were created to achieve the aims of the organisational structures may expect a measure of feedback about their performance in the work situation, the results that they may have attained, as well as the measure whereby their individual performance may have contributed to the realisation of the goals of the institution. Personnel evaluation systems for lecturing personnel at tertiary educational institutions have not developed comparably with evaluation systems for other fields of employment. This view is substantiated by the fact that literature about personnel evaluation for lecturing personnel at tertiary educational institutions are relatively scarce, when compared to the availability of literature about personnel evaluation in other work spheres.

Before the question of particular normative criteria for personnel evaluation for lecturing personnel at tertiary educational institutions can be considered, it may be necessary to describe, as a point of departure, general guidelines for public administration. Then, general guidelines for public personnel administration will be

discussed, and finally, derived from the general guidelines established for both public administration and public personnel administration, normative criteria applicable to personnel evaluation for lecturing personnel in tertiary educational institutions will be proposed. The guidelines mentioned above would have to be universally applicable to personnel evaluation in general, and also should be able to serve as a basis for developing particular criteria for personnel evaluation for lecturing personnel at tertiary educational institutions.

This chapter aims to propose universally acceptable criteria from the existing literature on the subject of personnel evaluation for lecturing personnel at tertiary educational institutions.

Firstly, the foundations and guidelines of public administration, of which personnel administration is an integral part, will be researched. Derived from these guidelines, proposed guidelines of personnel evaluation as part of personnel administration will be described. Secondly, the reason for existence of personnel evaluation will be discussed. Then certain legal considerations of personnel evaluation, as derived from the available literature, will be described.

Finally, basic normative criteria for personnel evaluation for lecturing personnel at tertiary educational institutions, derived from the general guidelines as described in the available literature, will be proposed.

### **3.2 GUIDELINES FOR PUBLIC ADMINISTRATION**

Bayat (1990:132) proposes the following normative guidelines for public administration -

- i) Democracy.
- ii) Representativeness and responsibility.
- iii) Rule of Law concept.
- iv) Response to public demands.
- v) Participating in Public Policy- and decision-making.
- vi) Religious doctrine.
- vii) Culture and value systems.
- viii) Administrative responsibility for Programme Effectiveness.

ix) Guidelines and Standards for Values and Ethics.

x) Degree of Openness.

It is inferred from the above list that all aspects of normative guidelines as expounded by Bayat need to be kept in mind in terms of personnel evaluation.

Fox et al (1991:15) identifies the following five guidelines whereby public organisational structures should operate -

i) Morality.

ii) Fairness.

iii) Responsiveness.

iv) Accountability.

v) Honesty.

Gildenhuis (1991:2) describes public managers as "...well educated and well qualified persons with unquestionable integrity who preserve high ethical standards under all circumstances; professional public managers are persons who -

are sensitive to the values of individual citizens...".

"...assure program efficiency and effectiveness in an open system...".

"...strive for social equity and justice...".

"...do not infringe upon the basic liberties of individuals...".

"...provide means to resolve ethical impasses...".

"...act according to a professional code of conduct that would require a commitment to social equity".

The guidelines for public administration outlined above could be construed as being the minimum normative guidelines for the actions of public functionaries. As public personnel administration and its sub-component, personnel evaluation, are integral parts of public administration, it is inferred that the guidelines explained above would apply to all facets of public administration, including public personnel administration and also personnel evaluation. However, different writers view the aspect of normative guidelines for personnel evaluation from different

perspectives than those outlined above. Alternative views on the subject of normative guidelines for personnel evaluation in general and for personnel evaluation for lecturing personnel at tertiary institutions in particular, will be researched in the following paragraphs.

### **3.3 THE RIGHT OF EXISTENCE OF PERSONNEL EVALUATION**

Behr (1988:21) furnishes a list of the main purposes of the practice of personnel evaluation. The list include the following purposes -

- i) To clarify an organisation's objectives.
- ii) To evaluate the final outcomes from an organisation's activities.
- iii) To indicate areas of potential cost savings by comparing patterns of inputs and outputs.
- iv) As a trigger to raise questions concerning the organisation of resources.
- v) As an input to staff incentive schemes.
- vi) To help determine the most cost-effective level of service for attaining a given target.

vii) To indicate standards in the licensing of services and to monitor the fulfillment of these standards.

viii) To indicate how far different service activities contribute towards a single policy goal.

ix) To provide staff with feedback designed to enable them to improve their practice (Behr, 1988:21).

Dubrin (1990:241-243) furnishes the following purposes of personnel evaluation -

i) Deciding who should receive merit increases and deciding the relative size of the increases.

ii) Identifying employees with potential for promotion.

iii) Identifying areas of weaknesses in the organisation.

iv) Providing documentation for discharging and demoting employees who are not meeting performance standards.

v) Increasing productivity.

- vi) Serving as a natural setting for communicating compliments and concerns to employees.
- vii) Helping employees identify their needs for self-improvement and self-development.
- viii) Motivating employees by providing feedback on performance.
- ix) Giving employees a chance to express their ambitions, hopes, and concerns.
- x) Helping employees to develop their careers (Dubrin, 1990: 241-243).

Stahl (1983:259-260) goes further and states that no "...organized enterprise can escape making judgements about the behaviour and effectiveness of its staff. Assignment, advancement, reward, utilization, motivation, and discipline - all depend upon such judgements, whether they are formalized and recorded or whether they are simply implicit in the actions of management...".

According to Stahl (1983:260) the following are the objectives of personnel evaluation -



- i) Clarification of what is expected.
- ii) Fortifying and improving employee performance.
- iii) Refinement and validation of personnel techniques.
- iv) Establishment of an objective base for personnel actions.

Holden, (1986:250-251) mentions Brown and Larson who state the following aspects as being basic reasons for personnel evaluation:

- i) A clear understanding of the goals of the post.
- ii) Agreement on performance standards for the post.
- iii) Continuous observation and discussion about the measure in which the original goals of the post are reached by the incumbent, with suggestions for course adjustments, if necessary.
- iv) Preparing and reviewing the periodic evaluation report with the incumbent of the post.
- v) Discussing and developing plans for the growth and development of the incumbent (Holden, 1986:250).

Behr (1988:22) questions the relevance of the above purposes of personnel evaluation to tertiary institutions. He suggests that these purposes are primarily designed to eliminate waste and inefficiency, but would not achieve the desired ends in tertiary institutions (Behr, 1988:22).

According to Behr (1988:22) the emphasis of personnel performance at tertiary institutions should be on quality and effectiveness rather than efficiency. It is assumed that Behr in the above assumption links efficiency with productivity. Behr (1988:23) also states that a standardised form of appraisal is questionable in a tertiary educational environment. The reason put forward for this assumption is that tertiary educational institutions cannot be equated with business undertakings that pursues the profit motive as its reason for existence.

Tertiary educational institutions also differ from one another in management styles, philosophies and structures (Behr, 1988:23).

On the question of personnel evaluation for lecturing personnel at tertiary educational institutions Strydom (1989:13) quotes Seldin (1984) who wrote that in "...their rush to make judgements on tenure, promotion, and retention - accelerated in recent years due to

increased costs, shortages of funds, dropping enrolments, and incipient competition from large corporations entering higher education - many colleges and universities are embracing seriously flawed faculty evaluation programs. Inadequate, biased, or worse, such programs yield a harvest of faculty resistance and, not infrequently, court challenges that reverse improper administrative decisions."

Strydom (1989:13) emphasises that the **primary** goal of lecturer evaluation is that of development by giving feedback to lecturers on their performance, and therefore to provide continuous opportunities for improvement, where possible and desirable. The **secondary** goal is seen by him as the provision of a basis for appointments, promotions and even the dismissal of lecturers.

The basic points of departure for academic staff evaluation according to Strydom (1989:14) is the following:

- i) Institutions have the right to evaluate an individual's performance. Academic freedom does not indemnify lecturers from evaluation.

- ii) The individual lecturer has the right to be informed beforehand about what is expected of him, the purpose of the evaluation, which aspects of his performance will be evaluated, who will gather the information, the nature of the information to be collected, and who will have access to the report.
  
- iii) Personnel evaluation for lecturing staff at tertiary educational institutions must be geared at the future and must be designed to benefit the individual.
  
- iv) An after-evaluation service must be rendered to the individual concerned to promote any changes or improvements in the individual's performance and behaviour, if necessary.
  
- v) The lecturer must have the opportunity to furnish information for the purposes of the evaluation.
  
- vi) The lecturer whose performance is evaluated must have initial access to the evaluation report and be able to comment on it before it is referred elsewhere.

The above basic points of departure may constitute the fundamental reasons for existence of an acceptable

personnel evaluation system for lecturing personnel at tertiary educational institutions.

### **3.4 GUIDELINES FOR PUBLIC PERSONNEL ADMINISTRATION**

Various writers have published their views on guidelines for public personnel management. It will be investigated whether the guidelines for public personnel administration from which criteria for personnel evaluation can be inferred, can also be applied to personnel evaluation for lecturing personnel at tertiary educational institutions.

Klingner and Nalbandian (1985:22) propose four basic guidelines for public personnel management -

- i) Individual rights.
- ii) Administrative efficiency.
- iii) Political responsiveness.
- iv) Social equity.

These guidelines are briefly explained as follows -

Individual rights, according to Klingner and Nalbandian (1985:23), entails that the individual should be shielded from injudicious and arbitrary governmental judgments.

Administrative efficiency is desired in the execution of government policy; at the implementation level efficiency is at its most needed level (Klingner and Nalbandian, 1985:23)

Political responsiveness assumes a foremost ethical characteristic. The efficient representation of the people by the government is a prime yardstick of assessment by the voters. However, an important characteristic for a legislative body is to be **responsive** to public needs, rather than **efficient** (Klingner and Nalbandian, 1985:23).

Social equity requires that public services and opportunities be fairly apportioned. People who have been disallowed opportunities to enter the intrinsic competition arena for societal rewards should be appropriately compensated (affirmative action) (Klingner and Nalbandian, 1985:23).

Elliot (1985:3) lists the following major forces forming the contemporary face of public personnel administration:

- i) Elitism - control by a small and privileged group.
- ii) Spoils - rewards by politicians in exchange for partisan support.
- iii) Sexism - prejudice based on a person's sex. This implies unwarranted advantage between sexes.
- iv) Merit - rewards for excellence. Reaction against the spoils system.
- v) Protectionism - disregard by politicians of the merit system.
- vi) Political neutrality - where public officials are expected to remain nonpartisan and continue to be the objective implementers of the policies of whatever party is in power.
- vii) Rationalism - a personnel system based on rationalism would apply systematic procedures based on research. A part of the scientific management approach.
- viii) Efficiency - optimal utilisation of the available resources.

- ix) Executive leadership - the personnel function as an aid to the chief executive.
- x) Political responsiveness - an attitude of co-operation and to be creative in finding acceptable grounds for conduct to enable the official to accomplish policy objectives.
- xi) Equity - to be just, impartial and fair.
- xii) Social representativeness - decision-making by government institutions should reflect the heterogeneous nature of the population.
- xiii) Professionalism - association to a professional body of standards in personnel administration (Elliot, 1985:3-6).

Andrews, (1988:29) describes the following normative guidelines:

- i) Supreme political authority.
- ii) Public accountability.
- iii) Public efficiency.
- iv) Compliance with Administrative Law.



The five guidelines for public administration expounded by Fox et al (1991:15) could mutatis mutandis be made applicable to personnel administration in general and public personnel evaluation in particular (see page 55).

From the foregoing it is clear that public administration has to take place within a framework of certain general foundations and guidelines.

It is clear from the literature that various processes have to be applied when public administration is practiced (Cloete, 1989:2, Andrews, 1988: 6-10, Fox et al, 1991:5). The nature and extent of these processes are presently under debate. Presently it is widely accepted that public administration could be executed in terms of a policy, an appropriate organisational structure, sufficient resources, quality human material that work according to proper work methods and procedures, and control measures whereby the implementation of the original policy can be monitored, and adjusted, if necessary.

The guidelines described above are the point of departure for the application of any processes in the execution of public policy. From the literature it is inferred that public policy should have only one main aim, that is the establishment and maintenance of the general welfare.

The existence of specific foundations and guidelines for public administration implies that the extent to which the formulation and implementation of public policy will succeed in attaining the general welfare will depend on the adherence by the public functionaries to the foundations and guidelines of public administration.

It is accepted that public personnel administration is one of the processes in terms of which public administration takes place. It is also accepted that personnel evaluation is a sub-component of personnel administration (Andrews, 1988:22).

True to the distinct character of public administration it is accepted that all public actions have to take place in terms of basic foundations and guidelines (Cloete, 1989:8). These guidelines also have to be applied to public personnel administration (Andrews, 1988:33). From these guidelines, particular criteria for personnel evaluation can be derived.

Bearing in mind the specified nature of the lecturing profession, the general criteria for personnel evaluation can then be taken as a point of departure to arrive at normative criteria for personnel evaluation for lecturing personnel at tertiary educational institutions.

### 3.5 CERTAIN LEGAL CONSIDERATIONS FOR PERSONNEL EVALUATION

Dubrin (1990:243-244) describes the legal requirements of personnel evaluation as follows, that such methods "...must meet the same stringent legal requirements faced by selection methods. The courts are more closely examining these systems (methods) to ensure that they are non-discriminatory. One area of investigation is whether performance-appraisal (personnel evaluation) systems (methods) have a disproportionately negative impact on classes of people, for example, employees over fifty have lower average ratings than people under age fifty. An employer using this system (method) would then have the burden of demonstrating the following issues:

- i) "...The performance-appraisal (personnel evaluation) system (method) is valid; it measures the aspects of job performance that it is designed to measure...".
- ii) "...Those aspects in dispute of performance actually distinguish levels of job performance from one another...".
- iii) "...There is no less discriminatory way to measure performance...".

The basic requirements for personnel evaluation systems to comply with legal parameters are according to Carrell et al (1986:180):

- i) Documentation of all personnel evaluations.
- ii) Use of a standardised process for personnel evaluation.
- iii) A performance orientated approach as against a biased approach.

Klingner et al (1985:255) wrote that in the United States Title VII of the Civil Rights Act, as amended (1972) (researcher's note: details of this Act as supplied by the authors) requires employers to validate any personnel technique that affects an employee's chances for promotion. Performance evaluation is included in this requirement.

Klingner et al (1985:255) suggest that personnel managers adopt a performance-orientated technique. According to Latham and Wexley (1981:28-30) Federal agencies are required by the Act to:

- i) Develop an appraisal system that encourages employee participation in establishing performance standards.

- ii) Develop standards based on critical job elements.
- iii) Assess employees against performance standards rather than against each other or against some statistical guide like a bell curve.

Carrel et al (1986:179) warn employers on the possible discriminating consequences of certain personnel evaluation practices. The onus of proof of the validity of the criteria that may be in force for the particular personnel evaluation system rests on the institution that practices the system. Personnel evaluation practices are likely to be illegal if -

- i) reporting officers are not in possession of specific instructions about the relevant personnel evaluation system; and if
  - ii) general and vague criteria are used for evaluation; and personnel do not receive direct feedback from their supervisors on their evaluation and they are therefore prevented to improve their shortcomings.
- (Carrell et al, 1986:180).

The legal constraints of personnel administration are similarly applicable to personnel evaluation for all employees of organisational structures.

It is important that the institution be safeguarded against unnecessary litigation.

In personnel evaluation the human factor is of cardinal importance. Because of the inherent shortcomings in most personnel evaluation systems the objectivity factor coupled with certain ethical considerations should be borne in mind by all managers of human resources within organisational structures. As legal requirements have to be met in the personnel evaluation process, and as all organisational structures are dependent upon the human material occupying the different posts in the structures, it is essential that normative criteria based on sound ethical foundations be set for the formulation and implementation of personnel evaluation systems. This includes personnel evaluation systems for lecturing personnel in tertiary educational institutions.

### **3.6 ETHICS OF PERSONNEL EVALUATION**

The question of ethics of personnel evaluation are often described by authors of works about personnel administration.

Kellogg (1975:10) questions in this regard whether the supervisor possesses the ethical right to judge the work

performance of his subordinates and where the line should be drawn between control over the employer's interests and infringement of the privacy of the individual (Kellogg, 1975:10).

Carrel et al (1986:180) refer to aspects like prejudice by the supervisor, the "halo"-effect, permissiveness by the supervisor and autocratic supervision as particular problem areas that face the supervisor with the evaluation of personnel.

McGregor (1957:90) states in this regard that with the conventional approach to personnel evaluation the rapporteur enters a dangerous area where he may be injuring the human dignity and integrity of the evaluatee. Likert (1959:75) states in this regard that the danger exists that the rapporteur's handling of the personnel evaluation system may serve as a demotivating factor for the personnel corps.

Another problem area is that the supervisor's own ability to function effectively may be also impaired as a result of the subjective application of the personnel evaluation system (Likert et al, 1959:75).

Ivancevich et al (1989:11-13) discusses the normative aspects of organisational effectiveness as follows

(it is assumed that these aspects are similarly applicable to a personnel evaluation system):

- i) Helping the organisation to reach its goals.
- ii) Employing the skills and abilities of the work force efficiently.
- iii) Providing the organisation with well-trained and well-motivated employees.
- iv) Increasing to the fullest the employees' job satisfaction and self-actualisation.
- v) Developing and maintaining a quality of work life that makes employment in the organisation a desirable personal and social situation.
- vi) Effective communication of institutional policies to employees.
- vii) Maintaining normative policies and behaviour.
- viii) Managing change to the mutual advantage of individuals, groups, the organisation and the public.



Kellogg (1975:20) mentions the following normative considerations that the supervisor should keep in mind to ensure ethical behaviour during personnel evaluation:

- i) The reason for the evaluation must be sound.
- ii) The information must be representative.
- iii) The information must be sufficient.
- iv) The information must be relevant.
- v) The evaluation must be honest.
- vi) The evaluation must be consistent.
- vii) The evaluation must be submitted as a debatable opinion.
- viii) Other evaluators' evaluations must not be accepted without having been substantiated.
- ix) The evaluation must be in writing and at the disposal of the evaluatee.
- x) An appeal mechanism should exist for use by the evaluatee.

- xi) The personnel corps should be able to submit their inputs regarding the personnel evaluation system.

A manager within an organisational structure manages various categories of resources. Among these are financial resources, physical resources and personnel resources. It is widely accepted that no organisational structure can function or reach organisational goals without dedicated and capable human resources.

It follows therefore that managers in general, and public managers in particular, should be trained in the human sciences. In order to organise, motivate and inspire the personnel corps, and reach institutional and organisational goals, public managers should be, according to Gildenhuis (1991:1) persons who:

- i) are aware of individual and group values and act accordingly;
- ii) attain programme efficiency in an open system, where the organisational unit is in equilibrium with the environment and functions in harmony with the general and particular values and conceptions of the community (and the employees);
- iii) endeavor to attain social equity and justice with an ethical content and direct their efforts on behalf of each individual;

- iv) do not violate or offend the basic rights and liberties of each person;
- v) arrange for resolving of ethical difficulties; and
- vi) perform in terms of a professional code of conduct that would require a commitment to social fairness.

From the foregoing it can be deduced that lack of ethics in the execution of operational policy in organisational structures may only have long term disadvantages. Failure to observe ethical values and foundations and guidelines outweighs its short term benefits and may be detrimental to the subordinate, the supervisor as well as the institution at large. Should ethics not be observed during personnel evaluation it is foreseen that staff morale, and ultimately productivity, will suffer.

### **3.7 BASIC NORMATIVE CRITERIA FOR THE EVALUATION OF LECTURING PERSONNEL AT TERTIARY EDUCATIONAL INSTITUTIONS**

From the literature it is inferred that a universally acceptable personnel evaluation system is a necessary component for worker satisfaction or productivity in the work situation. This statement is equally true for lecturing personnel at tertiary educational institutions.

The basic criteria that have to be complied with must be acceptable to both the institution and the lecturing personnel of tertiary educational institutions. The following basic criteria have been extracted from the guidelines described previously and are proposed for an acceptable and universally applicable personnel evaluation system for lecturing personnel at tertiary educational institutions:

- i) The system must be uniform and just.
- ii) The system must promote the development of the staff member.
- iii) The system must contain a built in remuneration component.
- iv) The system must serve as a motivational factor for staff.
- v) The system must serve as a communication channel.
- vi) The system must be free of autocracy.
- vii) Staff members must be able to submit inputs towards their own evaluation.
- viii) Staff members must be informed of the findings of the evaluation report.
- ix) Staff members must view the system as an instrument whereby their personal ambitions, aspirations,

hopes, and dreams can be reconciled with the mission and goals of the institution.

- ix) The system must be able to withstand the test of accountability to the taxpayer, who, in the final analysis, is the main funding agent of the institution.

It is proposed that the above-mentioned criteria constitute a point of departure for the design, formulation, implementation and maintenance of an acceptable and effective personnel evaluation system for lecturing personnel at tertiary institutions.

### **3.8 SUMMARY**

The performance of personnel is an important matter from the point of view of the employer. However, appropriate evaluation procedures are also important to the personnel corps.

In this chapter general guidelines for public administration, as found in the available literature, were briefly described. A discussion of the right of existence of personnel evaluation in tertiary educational institutions was entered into, followed by a description of guidelines for public personnel

administration as exposed by various authors on the subject. Certain legal considerations pertaining to personnel evaluation were then investigated, followed by a discussion of the ethics of personnel evaluation.

Finally, certain basic normative criteria for personnel evaluation for lecturing personnel at tertiary educational institutions derived from the literature study, were proposed.

If it is borne in mind that the mission of the institution can only be achieved by the productive utilisation of its human material, it is necessary that the personnel corps render excellent service.

From the literature it can be concluded that the work performance of employees closely correlates with the recognition of the worth of the individuals within an organisational structure. A further conclusion can be drawn that the establishment and maintenance of an acceptable personnel evaluation system can contribute to the nurturing of positive attitudes of personnel.

In the following chapter certain common criteria for personnel evaluation will be sought by examining different methods of personnel evaluation at various institutions.

**CHAPTER 4**  
**PERSONNEL EVALUATION: THE SEARCH FOR COMMON**  
**CRITERIA**

**4.1 INTRODUCTION**

The aim with this chapter is to isolate criteria referring to both the theory and practical aspects of personnel evaluation for lecturing personnel at tertiary educational institutions with specific reference to the Port Elizabeth Technikon.

Personnel evaluation exists for the purpose of measuring a particular employee's performance over a certain period of time and in terms of predetermined standards or norms. Castetter (1986:318) defines personnel evaluation as a process of arriving at judgements about an individual's past or present performance against the background of his/her work environment and about his/her future potential, for an organisational structure. Castetter (1986:319) specifically mentions the existence of a number of traditional techniques that have been and still are utilised to evaluate professional performance of academic personnel.

These include self-rating as well as ratings by students, administrators, supervisors, colleagues, special committees, outside professionals and lay citizens.

A wide variety of approaches are found among the traditional evaluation systems, including ranking, man-to-man comparison,

grading, graphic scales, checklists, forced-choice methods, and critical incident techniques (Castetter, 1986:319).

In this research an attempt will be made to determine which of the known evaluation systems (or a combination of various evaluation systems or components thereof) would be suitable for use with personnel evaluation for lecturing personnel at tertiary educational institutions with specific reference to the Port Elizabeth technikon.

In this chapter the personnel evaluation process will be discussed in terms of its place in the organisational structure. Its role as an instrument whereby not only employee productivity can be measured, and if necessary, improved, but also organisational effectiveness will be discussed. Personnel evaluation systems in general will be briefly overviewed whereafter personnel evaluation systems for lecturing personnel at tertiary educational institutions will be examined.

#### **4.2 THE EVALUATION PROCESS**

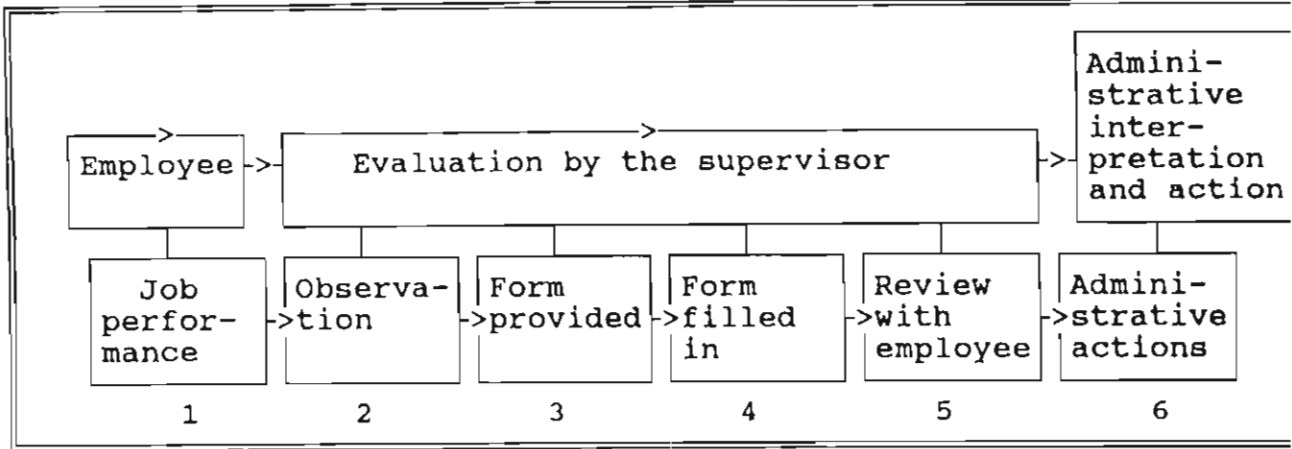
Holden (1986:254) views the evaluation process in terms of the following steps:

- i) The employee carries out his duties. The work performance of the employee is influenced by personal ability, work environment, time and an error component due to chance.



- ii) The employee is observed by the evaluator. Influences here are the position of the observer, frequency of the observations, predisposition of the observer, and random error. Sources of variation in the observation of people are present.
- iii) Evaluators look for behaviour in accordance with their predisposition. They also tend to pay particular attention to those observations and interpretations that conforms with their own value structures.
- iv) The observations are recalled by the evaluator and recorded on the evaluation form.
- v) The employee is informed of the contents of the evaluation report.
- vi) The evaluation report is sent to the central unit where it is interpreted.
- vii) Various administrative actions follow the final interpretation.
- viii) Holden's evaluation process can be illustrated diagrammatically as follows:

Figure 4. The evaluation process



Klingner et al (1985:253) states that supervisors and employees are rarely satisfied with the personnel evaluation process. They quote an example in the teaching profession during 1983 where President Reagan placed the quality of public education on the political agenda by calling on school districts to provide incentive pay for the "best teachers". The two educational bodies concerned, namely the National Education Association (NEA) and the American Federation of Teachers have supported compensation registers based on seniority and qualifications. Because of the political requirement the question of incentive pay was positively considered by these unions. However, the individual teachers did not approve of the system. Their fears included the award of compensation based on favouritism and subjective personnel evaluation procedures. Soon after President Reagan's initiative the National Educational Association (NEA) issued the following criteria for a merit pay plan:

- i) Evaluators must be trained to assess effective teaching.
- ii) Evaluation procedures must be developed with teacher participation.
- iii) The evaluation procedures must not be divisive by nature, pitting teacher against teacher or the teacher against the evaluator.
- iv) No arbitrary political fancy should be involved in selection procedures, while academic freedom is seen to be maintained.
- v) Eligibility for personnel evaluation must not be limited to a predetermined percentage of the teaching force (Klingner et al, 1985:254).

Klingner et al (1985:254), comments that the most often used personnel evaluation system for teaching personnel tends to be a system based on seniority.

According to Hancock as referred to by Behr (1988:21) schools in the United Kingdom followed a government policy that supported a pay system that rewarded exceptional performance in the classroom. Behr (1988:21) questions such a system as being conflicting with the principles of professionalism and the purposes of higher education. According to Behr

(1988:21) a tertiary educator needs continuing professional development through peer appraisal. However, personnel evaluation for lecturing personnel at tertiary educational institutions has, according to Castetter (1986:320) been problematic for a long time. Castetter (1986:320) describes a study by Biddle in 1960 in which 10,000 studies dealing with the relationships between the characteristics of teachers, teacher behaviour, and educational goals were reported. The study showed very little concerning teacher effectiveness, no approved method of measuring competencies had been accepted, and no methods of promoting teacher adequacy had been widely adopted.

Castetter, (1986:320-321) continues to list a number of studies that confirmed the problematic nature of personnel evaluation systems for lecturing personnel at tertiary educational institutions. He lists the following observations emanating from a review of approaches to personnel evaluation:

- i) After a century of experimenting with personnel evaluation systems the only consensus stemming from the research is that personnel evaluation is not a matter of choice but is an essential and continuing activity in the life of an organisation. The methodology employed for personnel evaluation remains a matter about which different viewpoints exist.

- ii) Personnel evaluation is being considered as a means of personnel development. Personnel evaluation is not something done to personnel, but for personnel.
- iii) Personnel evaluation systems have been ineffective because of a low level of systematisation. Failure to link evaluation procedures to organisational purposes, to unit objectives, and to position goals has created considerable personnel dissatisfaction (Castetter, 1986:321-322).

From the literature surveyed on the subject of personnel evaluation for lecturing personnel at tertiary educational institutions at least one fact emerges and that is that difficulty is being experienced world-wide with the formulation, implementation and analysis of efficient and acceptable personnel evaluation systems.

This study does not purport to furnish an instant workable solution to the difficulties pertaining to personnel evaluation for lecturing personnel at tertiary educational institutions. Rather, the investigation is aimed at describing the problematic nature of personnel evaluation, and also to find certain common denominators from the analysis of existing systems. The identified denominators could then be consolidated and used in a proposed model to address the problem of personnel evaluation for lecturing personnel at tertiary educational institutions.

First, various methods will be briefly discussed, and then a few specific systems presently in use at various tertiary educational institutions will be considered.

#### **4.3 EVALUATION METHODS**

Megginson, as quoted in study notes (University of Port Elizabeth, 1984:120), holds that after half a century of experience with personnel evaluation, there are still no commonly accepted and utilised norms. The method used in rating and evaluating employees still seems to be the weak link in the entire procedure of determining performance evaluation. There is also no consensus as to what method of evaluation produces the best results. The following nine most popular methods of personnel evaluation in use today is listed as follows:

##### **4.3.1 "Yes-No" scale**

This scale is a clear evaluation method. The evaluator simply indicates with a yes or no whether the employee has each of the characteristics listed, such as co-operation, initiative, or a given attitude. This method is becoming unpopular because it assumes that human behaviour is dichotomous, that it is either "good" or "bad", rather than distributed all the way from one extreme to the other;

#### 4.3.2 **Adjectival**

This method uses adjectives to describe variations in the traits of human behaviour. The adjectival system has become unacceptable because it presupposes that each adjective means the same to all evaluators, which is not the case;

#### 4.3.3 **Graphic rating scale**

This method consists of a series of performance characteristics represented as a scale on a horizontal or vertical continuum. The evaluator indicates the degree of each person's characteristics by the point he checks on the scale. The scale is usually a continuum from one supposedly negative extreme to the other, supposedly positive extreme. The midpoint represents the average. As "average" is mostly deemed to have a negative connotation, there is an invariable propensity to evaluate people between average and superior instead of along the entire scale.

#### 4.3.4 **Checklist**

This method uses a list of qualities that are considered to lead to efficiency. A check is placed by each of the characteristics possessed by the employee. This method allows for easy scoring and quantification, which in turn permits easy follow-ups and analyses. Whether this

method leads to biased evaluation or not depends upon the nature and type of the relevant characteristics included;

#### 4.3.5 Forced-Choice Rating Scale

This method is the one most favoured at present. Although its specific applications differ, in general this plan includes an arrangement of several pairs of statements concerning the job performance of each employee. There are two comments that appear to be equally favourable and two that appear to be equally unfavourable. These two sets of statements and one other irrelevant statement are placed together in a group. From this group of observations, the evaluator must choose one statement that is most descriptive of the employee under consideration and one that is least descriptive. Although the evaluator does not know it, only one of the statements that appears to be favourable is really meaningful as far as job performance is concerned, and only one of the apparently unfavourable ones really counts against the employee. These results have been predetermined from research with similar jobs and employees, and have been found to be valid predictors of success. Because the evaluator does not know which of these apparently favourable responses really counts in favour of the employee, nor which of



the factors that appear to be unfavourable are really detrimental to the employee, there is less bias in the ranking procedure. Therefore, theoretically, the person doing the rating would choose the respective comments that are truly most descriptive of the employee under consideration;

#### **4.3.6 Paired comparison**

This arrangement pairs every employee with every other worker in the group. The supervisor must eventually decide which of the two subordinates in each pair is more valuable to the institution. This procedure is repeated until each person has been paired with every other employee and his ranking relative to each other person has been ascertained. The employee's "score" is determined by the number of times he is preferred over the other person with whom he is paired. If the procedure is executed correctly, each employee must be rated with all his colleagues for every factor being considered, such as attitude and responsibility. The main disadvantage of the paired comparison method is its complexity and the volume of work involved;

#### **4.3.7 Peer or Buddy rating.**

This method is often called the "mutual rating method".

In effect, it consists of each employee evaluating, by secret ballot, each of the other members of his work group. This evaluation is made not only by the worker's supervisor but also by the members of his peer group and his subordinates. Although this method is not a solution for all personnel evaluation problems, it does have the advantage of usually being more candid, and also of obtaining a greater number of ratings for each person. (University of Port Elizabeth, 1979:).

In reply to the question: "is there a difference between person-based and performance based personnel evaluation?", Klingner and Nalbandian (1985:255) states that person-based methods assess an employee's personality traits, characteristics, and aptitudes, and often lead to subjective assessments. Performance-based methods measure each employee's behaviours against previously established behaviours.

Another question that should be considered is why it is necessary to evaluate at all? Various reasons could be put forward in answer to this question, but the following obvious reasons are put forward by Stahl (1983:260):

- i) **"Clarification of what is expected** - that is to develop standards of satisfactory performance, setting forth what quality and quantity of work of a given type is

acceptable and adequate for pursuing the functions of the organisation."

- ii) **"Fortifying and improving employee performance** - by identifying strong and weak points in individual achievement, recording these as objectively as possible, and providing constructive counsel to each worker."
  
- iii) **"Refinement and validation of personnel techniques** - serving as a check on qualifications requirements, examinations, placement techniques, training needs, or instances of maladjustment."
  
- iv) **"Establishment of objective bases for personnel actions** - namely, in selection for placement and promotion, in awarding salary advancements within a given level, in making other awards, in determining the order of retention at times of staff reduction, and in otherwise recognising superior or inferior service."

From the foregoing the question arises, when considering established methods and systems of personnel evaluation, which methods could be applied to personnel evaluation for lecturing personnel at tertiary educational institutions. Before an attempt can be made to find an answer to that question, it is necessary to consider particular problems of personnel evaluation.

#### 4.4 PROBLEMS OF PERSONNEL EVALUATION

Holden (1986:253) discusses certain major problems associated with personnel evaluation. He distinguishes between two general areas: variable errors and constant errors. Variable errors are manifested as various forms of disagreement between evaluators. The first reason for this phenomenon is the problem of ambiguous scales or items to be rated.

Secondly, there is the problem of low probability of the evaluators seeing the same behaviour in an employee.

A third problem is the lack of equal amounts of knowledge about the employee, and, fourthly, problems in the amount of motivation on the part of the various evaluators to evaluate effectively. Finally, another form of variable error is a disagreement over time. This happens when the same evaluator makes the two assessments at different periods of time (Holden, 1986:253).

The second category of problems with personnel evaluation according to Holden (1986:253) is referred to as constant errors. This category of errors are reflected in unreal similarity between scores. There are two subdivisions under this category, called intra-individual error and inter-individual error.

Intra-individual errors are also known as the "halo effect", where an evaluator evaluates an individual as good or bad on all characteristics, based on knowledge of only one characteristic. Related to this type of error are the error of subjectivity. There is also the factor of overweighting, when the evaluator is influenced by events that occurred at or near the end of the rating period. The pleasant employee is often evaluated higher because of this trait than the person's overall performance justifies (Holden, 1986:254).

The second type of constant error described by Holden (1986:254) is referred to as inter-individual error. This type of error involves the giving of fictitiously related evaluations across a number of individuals. This tendency takes three forms: the evaluator may evaluate everyone too high, resulting in error of leniency, or evaluate everyone too low, resulting in the error of strictness, or evaluate everyone as average and commit the error of central tendency. In addition to these basic errors connected to all evaluation systems, each individual evaluation system has its own inherent weaknesses. While Holden (1986:257) also discusses various ranking systems under the heading of "Comparative Procedures", he specifically mentions several disadvantages with ranking systems of personnel evaluation:

- i) Ranking of employees is laborious with cases in excess of twenty.

- ii) The extent of the difference in ability between rank is not equal at different positions.
- iii) Employees are often rated on a single dimension, in the form of a global productivity norm.
- iv) "Halo" inaccuracy may provide the basis for an individual's ranking, although it is impossible to identify when only one dimension is being ranked.
- v) Two or more groups of rankings are usually difficult to compare.
- vi) It is not a simple process to use ranking procedures for developmental and feedback purposes as little substantive information for improving performance can be given when only one global dimension is evaluated.
- vii) The conveyance of comparisons to the employee may result in dysfunctional and personalised debates about relative merits of various individuals.
- viii) The rank order method does not identify satisfactory performance because it provides no cutting point to indicate a minimum level of acceptability. The performance of the top-ranked employee cannot be accurately measured, only his performance in relation to his colleagues (Holden, 1986:257).

Gibson et al (1982:457) describes the BARS (Behaviourally Anchored Rating Scales) approach as relying on the use of "critical incidents" to construct a rating scale. Critical incidents are illustrations of specific job behaviours that determine various levels of performance. Once the important areas of performance are identified and defined by employees who are familiar with their work, critical incident statements are used as anchors to discriminate between high, moderate, and low performance.

The BARS evaluation form usually covers between 6 and 10 specifically defined performance dimensions each with various descriptive anchors. Each dimension is based on observable behaviours and is meaningful to employees who are being evaluated (Gibson et al, 1982:457).

Various advantages of the BARS evaluation system are put forward by Gibson et al (1982:457), the most noticeable one being employee participation in the actual development steps.

Another advantage is that BARS covers the full domain of the employment sphere to be evaluated, a common failing of more traditional evaluation systems (Gibson et al, 1982:457).

A diagrammatic adaptation of the BARS evaluation system according to Gibson et al, (1982:458), is furnished in figure 5.

Figure 5 - A BARS performance evaluation dimension

Lecturing competence Ability and skill connected to lecturing Place an X on the appropriate point on the vertical scale	
Name of lecturer to be evaluated	
<div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;">HIGHEST PERFORMANCE</div> <p>Always displays excellent professional and operative characteristics</p>	<p>2.00 This lecturer is recognised as an expert and can be expected to initiate personal growth and to work diligently to reach departmental goals.</p> <p>1.75</p>
<div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;">MODERATE PERFORMANCE</div> <p>Displays professional and fair co-operative characteristics</p>	<p>1.50 This lecturer knows much about his/her subject and co-maintains the departmental mission statement.</p> <p>1.00 This lecturer does what is expected of him/her and endeavour to keep to time schedules. He/she reveals departmental loyalty.</p>
<div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;">LOWEST PERFORMANCE</div> <p>Low co-operation; displays limited interest in his/her basic duties only</p>	<p>.75 This lecturer does what is expected of him/her.</p> <p>.50 This lecturer has difficulty maintaining a satisfactory work standard.</p> <p>.25</p> <p>.00 This lecturer is confused and is not expected to fulfill his/her duties successfully</p>

(Gibson et al., (1982:458)

The question can now be posed whether the various systems explained above, or components thereof, can be made applicable to personnel evaluation for lecturing personnel at



tertiary educational institutions. Before an answer to that question will be attempted, firstly particular systems presently in use at various organisational institutions will be reviewed, and then, secondly, particular systems presently in use at various tertiary educational institutions will be described.

#### **4.5 EVALUATION METHODS AT VARIOUS ORGANISATIONAL INSTITUTIONS**

In this section the method used by the South African Public Service will first be reviewed, and then, secondly, methods applied by various educational institutions in the Republic of South Africa.

##### **4.5.1 Personnel evaluation in the South African Public Service**

According to the latest Public Service Staff Code (1992) evaluation of personnel in the South African Public Service is done according to a rating scale, compared to specific norms.

In terms of the existing system of personnel evaluation an individual's work results or work performance is evaluated in respect of particular qualities.

According to the latest (1992) course for middle-level public managers, personnel evaluation in the South African Public Service is practiced in terms of the following characteristics:

i) **Work performance**

(a) **Responsibility**

1. Sense of duty
2. Acceptance of responsibility
3. Loyalty
4. Correctness
5. Dexterity

(b) **Organising**

6. Planning
7. Adaptability
8. Handling of tasks

(c) **Productivity**

9. Work speed
10. Quality of work
11. Drive and motivation

ii) **Knowledge and insight**

12. Knowledge
13. Utilisation of knowledge
14. Comprehension ability
15. Power of judgement
16. Initiative

iii) Interpersonal relations.

17. Acceptability
18. Tact
19. Ability to adapt to people
20. Handling of conflict situations

For supervisors the following five characteristics are added to the abovementioned 20:

iv) Leadership ability

21. Self confidence
22. Communication
23. Orientation towards development
24. Control
25. Discipline

Personnel evaluation is used in the Public Service to compare work performance of staff, as manifested in the abovementioned characteristics, against the requirements of the relevant posts as well as against what reasonably can be expected from an average employee of the same rank in the same or similar work situation.

A particular norm of worker performance is assigned to each post. For instance, if it can be reasonably expected from a

person to write 40 letters per day, then, if he or she writes 60 letters per day with a high degree of accuracy, the employee is performing above norm.

The following values are applicable to personnel evaluation in the South African Public Service:

**weak performance** = 1 mark (performance does not meet with the normal requirements of the post);

**performance does not fully meet with the requirements of the post** = 2 marks (performance in general does not meet with the requirements connected to the post);

**performance meets with the normal requirements connected to the post** = 3 marks (performance as tested against the standard that can reasonably be expected, does meet with the normal requirements);

**performance is noticeably better than the normal requirements** = 4 marks (performance is of a noticeably higher standard as that achieved by the majority of staff members in the same grade of post);

**performance is considerably better than the normal requirements** = 5 marks (performance is of considerably higher standard than achieved by the majority of staff members in comparable posts); and

**performance is exceptional** = 6 marks (performance is of such a high standard that it can hardly be improved upon).

Reporting officers have to award a mark from 1 to 6 for each of 20 characteristics in the case of subordinates and 25 characteristics in the case of supervisors. The calculation is done as follows:

total marks obtained/Highest possible total X 100 = mark  
(the highest possible total obtainable is:

subordinates = 20 characteristics X 6 = 120

supervisors = 25 characteristics X 6 = 150)

Figure 6 indicates the rating scale in use in the South African Public Service.

**Figure 6.** The rating scale of personnel evaluation in the South African Public Service.

Weak	Somewhat weak	Satisfactory	Noticeably better than satisfactory	Considerably better than satisfactory	Exceptional
1	2	3	4	5	6
marks	marks	marks	marks	marks	marks

Evaluation is done by using a standard marking scale.

Reporting form the basis on which evaluation relies.

Information and findings on subordinates are contained in both the quarterly and staff reports.

When a report on a staff member is considered the reporting officer and the staff member should:

- i) Know all about the qualities on which he is to report.
- ii) Determine the standard to be used in order to evaluate the worker's job achievements.
- iii) Know how to gather the information required for his report.

The quarterly reports have a dual purpose. Firstly, they serve as a basis for the compilation of a valid staff report. Secondly, their use is aimed at bringing about optimal personnel development and utilisation. It often seems that the marks or class awarded by the supervisor is premeditated. Regardless of whether there is too much or too little motivation and reporting of incidents (incidenting), the supervisor maintains that his marks are fair and correct which practice may result in blatant incorrect allocation of marks.

It is essential that evidence in respect of each quality be written down and be compared with the norm relating to the worker's rank, prior to awarding marks. The supervisor should continually ask himself whether the worker only does what is expected of him or, if he excels, to what extent he

excels. Care should be taken not to compare the worker with a worker in the same rank who performs below standard. A realistic standard should be maintained throughout. Should the total marks point to a class I or class II rating for the employee, then the supervisor must consider that in all fairness, the employee could surpass his seniors with promotion.

The parties involved with personnel evaluation in the South African Public Service are briefly mentioned:

- i) The officer who is evaluated.
- ii) The supervisor.
- iii) The reporting officer.
- iv) The section head.
- v) The advisory personnel committee.
- vi) The central merit committee.
- vii) The head of the department.
- viii) The Commission for Administration.

The mere fact that a merit system exists is no guarantee that doubts and suspicions by subordinates will be eliminated. These doubts and suspicions normally arise when expectations are not met and the subordinates are not kept informed on matters relating to their merits.

Officers know they are subject to merit assessment. In order to promote and maintain good relationships, mutual understanding and trust, it is essential that their achievements are discussed with them on a continuous basis. After the final merit has been decided upon, this information must also be communicated to the officer. Each officer must be notified in a tactful way of the decision of the central merit committee. This task should be carried out by a responsible and capable officer. (In-service training course for junior and middle-level supervisors of the department of Education and Training, 1987); (Commission for Administration management training course, 1992).

#### **4.5.2 Personnel evaluation as used in the Department of Education and Training**

The evaluation and grading of teachers by the department of Education and Training covers the following aspects:

- i) Technique for evaluation.
- ii) The target group for evaluation.



- iii) The extent of recognition after successful evaluation.
- iv) The time-frame within which evaluation takes place.
- v) Procedure according to which achievement is recognised.
- vi) Differentiation between the terms evaluation and grading.
- vii) Dangers inherent in methods of evaluation and grading.
- viii) The fundamental principles on which evaluation and grading are based.
- ix) The questionnaire used in the evaluation and grading process (Department of Education and Training training manual, no date furnished).

As can be seen from the evaluation system for teachers at the department of Education and Training, relatively strict control is exercised over the performance of teachers, in terms of four basic criteria:

- i) curricular efficiency;
- ii) extra-curricular efficiency;

iii) personality and character traits; and

iv) professional disposition and attitude.

This is made possible because of the existence of an elaborate infrastructure within which the teaching profession in that department is practised. This infrastructure consists of, inter alia, the following:

i) A rigid adherence to the prescribed syllabi.

ii) A rigid institutionalised hierarchy within which the learning situation has to take place.

iii) A system of subject advisors.

iv) An inspectorate that exercises strict control over all teaching procedures and conduct of teaching personnel.  
A desirable interaction with parents of pupils.

v) Expectation of teaching personnel to maintain a professional disposition and attitude.

The question arises whether it is necessary, and indeed possible, to compare evaluation systems for teachers at schools with systems suitable, and already in use, with personnel evaluation for lecturing personnel at tertiary educational institutions.

Minzberg (1983:195) states in the above regard that the professional (educator) finds himself in a relatively powerful position in that not only is his work too complex to be strictly supervised, but a demand usually exists for his services. In view of this, the educator finds himself in a position of potential mobility, enabling him to insist on a large measure of autonomy in his work, failing which he can relatively easily find another autonomous institution where he can practice his particular profession. Technikons, however, exist in a position approximately between those of departmental schools and those of autonomous tertiary educational institutions, for instance universities. The reason for this is that teknikons have to follow prescribed syllabi from the department of Education and Culture, for every instructional offering. Any new study program has to be approved by the department, and all study programs per subject is prescribed departmentally (Liebenberg, 1992).

In the light of the above it could be inferred that educational personnel at teknikons should be treated similarly to teachers at government schools. However, in view of the proviso that lecturers at teknikons are in a position to deviate  $\pm 30\%$  from the prescribed syllabi in terms of the 70/30 principle and because they are also free to create and establish the relevant study material (books, study manuals and other material), a greater level of autonomy exists at teknikons than at schools ( Liebenberg,

1992). This calls for a less rigid approach to personnel control and evaluation for lecturing personnel at technikons than the procedure followed for teaching staff at schools. The implication is also that in an evaluation system for lecturing personnel at technikons stricter control should be applied than those at universities, where greater academic freedom for lecturing staff exists.

#### **4.5.3 Personnel evaluation at the Technikon Pretoria**

The personnel evaluation method used at the Pretoria Technikon takes place in terms of four basic criteria:

- i) It is required of the evaluator to make a thorough study of evaluation policy, procedures and instructions, pertaining to the Pretoria Technikon.
- ii) Evaluation takes place in terms of the goals that have been determined for the particular post. This would necessarily include aspects such as size of classrooms, full time or part time students, and major or service subject that is lectured.
- iii) Evaluations must be clarified with examples, where applicable.
- iv) The lecturer concerned must receive the opportunity to familiarise himself with the evaluation procedures in

preparation for the evaluation interview (Pretoria Technikon, 1989).

Aspects that receive attention during lecturer evaluation are the following:

- i) Lecturing.
- ii) Research and development.
- iii) Community service.
- iv) Institutional involvement.
- v) Personal and individual qualifications.
- vi) Administration.

In addition to the above, a system of student evaluation is also followed at the Pretoria technikon, that can be included by the lecturer in the evaluation process.

Compared to the other personnel evaluation methods surveyed so far, the method employed by the Pretoria Technikon contains a greater amount of rationality, and making provision, in a structured manner, for the professional disposition of the technikon lecturer, but also reflecting

the prescriptive nature of the syllabi followed at technikons.

#### **4.5.4 Personnel evaluation at the Technikon of the Orange Free State**

Personnel evaluation for lecturing personnel at the technikon of the Orange Free State derives its reason for existence from two broad points of departure:

- i) Staff development; and
- ii) Improved staff performance.

The aspect of staff development rests on the development of manpower in relation to knowledge, skills, and attitudes.

Improved staff performance requires visible and measurable work outputs (Pretorius, 1991:1).

The personnel evaluation method of the Orange Free State technikon is relatively uncomplicated, and can be applied on a uniform basis. The evaluation is quantified by way of a simple formula in order to establish a measurable instrument that will also be comparable to later evaluations. In this manner, changes that occur during the passage of time and under the influence of staff development programmes can be measured accurately.

Various criteria are used for evaluation of lecturers. Each criterium is described and the lecturer has to make a choice on a 5-point scale. A factor weighting is coupled to each criterium that indicates the importance of a criterium relative to other criteria in a realistic relationship to one another.

A brief summary of the different criteria used at the technikon of the Orange Free State is as follows:

i) **Category A - evaluation of the individual**

**(a) Attitude**

- 1 Responsibility
- 2 Loyalty to faculty
- 3 Loyalty to technikon
- 4 Involvement in faculty activities
- 5 Involvement in technikon activities
- 6 Judgemental ability
- 7 Initiative

**(b) Interpersonal relations**

- 1 Personal and mutual relationship with colleagues
- 2 Personal image and relationship with students
- 3 Feedback of student evaluation
- 4 Opinion with reference to teamwork
- 5 Experience as a fully-fledged team member

ii) **Category B - evaluation of work outputs**

**(a) Subject knowledge and preparation**

- 1 Formal knowledge of subject
- 2 Improvement of knowledge through formal study
- 3 Improvement of knowledge through reading
- 4 Thoroughness of preparation for lectures
- 5 Does time schedules meet with the requirements?
- 6 Does study notes meet with the requirements?
- 7 Accurate planning of needs

**(b) Lecturing ability**

- 1 Skill with presentation of subject matter
- 2 Stimulating of student participation in discussions
- 3 Judicious application of knowledge
- 4 Effective use of study aids
- 5 Contribution to learning of skills by students
- 6 Comprehension and insight into prescribed works

**(c) Examining**

- 1 Standard of class and major tests
- 2 Standard of examination papers
- 3 Timeous marking and returning of answer sets
- 4 Thoroughness and accuracy of marking

**(d) Professional leadership**

- 1 Ability to motivate students
- 2 Ability to communicate verbally and in writing
- 3 Involvement with outside establishments in the field  
of study



- 4 Availability for consultation by students after lectures
- 5 Knowledge of students with particular problems
- 6 Instilling career-directed skills in students

**(e) Research**

- 1 Research in own field of study
- 2 Delivering of papers at conferences
- 3 Publications
- 4 Reviews of books or articles

iii) **Category C - control and organisation**

- 1 Quality of control over students
- 2 Keeping of student records
- 3 Contribution to developing of own lecturing ability
- 4 Contribution to developing of organisational structures

iv) **Category D - administration**

- 1 Executing of formal tasks within the framework of technikon regulations
- 2 Executing of delegated ad-hoc tasks
- 3 Participation in subject meetings
- 4 Involvement in committees at the technikon

v) **Category E - evaluation of lecturer by student**

In this category each lecturer calculates an average

figure on the 5-point scale for each criterium on the student evaluation form and carries this figure over on the staff evaluation form with respect to:

- (a) the lecturer as a person; and
- (b) the lecturer as academic leader.

Student evaluation forms of a group or groups of students have to be submitted to departmental heads together with the staff evaluation forms. After the conversation between the lecturer and the departmental head the student evaluation form is returned to the lecturer.

In the final paragraph of the manual for evaluating lecturer performance at the technikon of the Orange Free State mention is made of co-operation between technikons during the National Congress on Institutional Self Evaluation and Personnel Evaluation during 1991. This co-operation is not reflected in the personnel evaluation system presently in force at the Port Elizabeth technikon.

#### **4.5.5 Personnel evaluation presently in use at the Port Elizabeth Technikon**

As mentioned in chapter 1, no structured personnel evaluation method is presently in use at the Port Elizabeth technikon.

Documentation in respect of an envisaged personnel evaluation system for lecturing personnel at the Port Elizabeth

Technikon (Port Elizabeth Technikon, 1992:1-10) has revealed that a method based on the following foundations is envisaged for the technikon:

- i) A simple and continuous method.
- ii) Positive involvement of Associate Directors and Directors in the personnel evaluation method.
- iii) That the personnel evaluation method is based on interaction between a staff member and his superior on a 1:1 basis in which expectations and objectives are clearly communicated.
- iv) Promotion of an atmosphere of flexibility with rapidly changing objectives not bound by rigid job descriptions.
- v) That the personnel evaluation method be based on the setting and realisation of challenging, but achievable objectives.
- vi) The involvement of input from the lecturer as he "sees himself". This requirement could be met by the submission annually of an updated curriculum vitae.

The following appraisal criteria are envisaged in terms of the abovementioned document:

- i) Quality teaching and development of skills.
- ii) Excellence in research and development of new expertise.
- iii) Initiation of new projects.
- iv) Making of contact with commerce and industry, as well as with the professions.
- v) Development of new products and services (also courses).
- vi) Helping with the administration of the school.
- vii) Updating and improvement of courses.
- viii) Publishing.
- ix) Improvement of qualifications.
- x) Generating of external contracts and grants.
- xi) Promotion of the Port Elizabeth Technikon.
- xii) Registering of patents.
- xiii) Displaying of an attitude of responsibility, punctuality, accuracy, friendliness, and diligence.

The norm for achievement and performance is seen as the responsibility of the supervisor. A system of student evaluation is being developed for lecturing personnel.

#### **4.6 SUMMARY**

In this chapter various aspects of different personnel evaluation methods, including personnel evaluation for lecturing personnel at tertiary educational institutions, were briefly surveyed. These aspects include work performance, knowledge and insight, interpersonal relations, leadership ability, curricular efficiency, extra-curricular efficiency, personality and character traits, and professional disposition and attitude. Also included are lecturing ability, research and development, community service, institutional development, personal and individual qualifications and the aspect of administration..

It was not the intention to design an optimum model within the ambit of this chapter; rather to provide a basis for a model for personnel evaluation for lecturing personnel at tertiary educational institutions.

It is concluded, from the different criteria applicable to each particular method, that in every one of the methods surveyed, positive and negative aspects are present. The conclusion is also arrived at that the institutions reported

on are, in fact, maintaining a personnel evaluation method, in spite of obvious shortcomings. A further conclusion is drawn that, notwithstanding the difficulty with the design and implementation of an acceptable method of personnel evaluation for lecturing personnel at tertiary educational institutions, efforts should be continued to establish an acceptable personnel evaluation method for such personnel, and particularly for lecturing personnel at the Port Elizabeth Technikon.

In the following chapter the empirical survey of lecturing personnel at the Port Elizabeth Technikon will be described and discussed. A statistical analysis and interpretation of the research findings will be furnished.

## CHAPTER 5

EMPIRICAL SURVEY OF LECTURING PERSONNEL EVALUATION  
AT THE PORT ELIZABETH TECHNIKON

## 5.1 INTRODUCTION

In chapter one, the following key questions were asked:

- i) What are the **major criteria** in existence (theory and practice) for the evaluation of lecturing personnel at the Port Elizabeth technikon?
- ii) What are the **preferences** of lecturing personnel at the Port Elizabeth technikon in terms of those criteria?
- iii) Is there a **difference** in preferences between the three categories of lecturing personnel viz lecturers, senior lecturers and associate directors/directors?
- iv) Is there a **difference in the approach** followed in evaluating the three types of lecturing personnel?

The above stated questions are an integral part of the research methodology to evaluate personnel evaluation for lecturing personnel at tertiary educational institutions.

In this chapter, possible answers to the above stated questions will be proffered based on the results of the empirical survey of lecturing personnel at the Port Elizabeth Technikon.

This chapter is devoted to a discussion of, firstly, the methodology employed with the empirical survey. Secondly, the operationalisation of the survey questionnaire used for gathering the empirical data needed for analysis and interpretation will be explained. Thirdly, the survey data will be presented, and, fourthly, the research findings will be discussed. Finally the chapter will be summarized and conclusions will be made.

## 5.2 RESEARCH METHODOLOGY FOR THE EMPIRICAL SURVEY

As a result of information received during an interview with the Director: Personnel of the Port Elizabeth Technikon (De Witt:1992) it was decided to conduct a survey of attitudes on the criteria for personnel evaluation. These criteria were identified from the literature search. The selection of particular criteria as inferred from the literature, was made, and two approaches were adopted. Firstly, the following ten selected critical factors were listed, regarded to be critical in terms of the criteria that a personnel evaluation method would have to meet:

- i) **Uniformity** - every lecturer must be subjected to identical evaluation criteria.
  
- ii) **Fairness** - evaluators should be fair and reasonable in their evaluations of different employees.



- iii) **Remuneration component** - implies that above average work performance should be rewarded.
- iv) **Communication channel** - the personnel evaluation method should serve as a communication opportunity between lecturer and supervisor.
- v) **Staff involvement** - lecturing personnel should be allowed access to new methods of personnel evaluation **before** implementation.
- vi) **Objectivity** - the evaluator should strive to maintain a high degree of objectivity (without personal bias) during the evaluation process.
- vii) **Legality** - the personnel evaluation method should not be offensive to the human dignity of the evaluatee.
- viii) **Student evaluation** - the opinion of students could serve as an aid to the evaluatee to evaluate his lecturing style in terms of student acceptability.
- ix) **Self evaluation** - this implies that a category should exist where the lecturer could evaluate him or herself in support of the supervisor's evaluation.

- x) **sufficient feedback** - is the lecturer always notified of the results of the evaluation, as well as being given the opportunity to dispute negative remarks and judgements, and informed of what could be done to reduce or eliminate possible shortcomings?

It must be stressed that these ten critical factors are by no means purported to be absolute. On the contrary, the list could possibly have contained an unlimited number of critical factors for a personnel evaluation method. For the purposes of the research, however, it was decided to limit the list to ten critical factors only. Secondly, using the same rationale as with the selection of the ten critical factors that could reasonably be expected from a personnel evaluation method, the following fifteen characteristics that the personnel member to be evaluated would have to meet, were inferred from the literature:

- i) Lecturing ability.
- ii) Research.
- iii) Publications.
- iv) Membership of departmental committees.
- v) Membership of professional associations.

- vi) Orientation to community service.
- vii) Consultation.
- viii) Study- and career guidance for diplomates and post diploma students.
- ix) Human relations.
- x) Marketing of technikon courses.
- xi) Public credibility.
- xii) Administration.
- xiii) Qualifications.
- xiv) Liaison with outside individuals and institutions.
- xv) Other criteria as suggested by the respondent.

The above criteria were regarded as significant in terms of the relative importance they have towards the evaluation of lecturing staff. Also, in the latter instance, it was by no means intended for the list to be exhaustive. Instead, and notwithstanding the assumption that the list contains key characteristics that could be ascribed to lecturing personnel

at tertiary educational institutions, the option was offered to respondents in the questionnaire to suggest a criterium or criteria of their own, should they regard it as important in this respect.

With the design of the questionnaire extensive use was made of the publication Practical Research: Planning and Design (Leedy:1985).

The questionnaire was divided into two main sections:

- i) Section A, (independent variables) requesting demographic particulars, containing information on present post level, section employed in at the technikon, time employed at a tertiary education institution, and time employed in present position.
  
- ii) Section B, (dependent variables) pertaining to attitudes to personnel evaluation. Section B was divided into three basic questions. Firstly, measuring the extent to which the present method meets with the selected critical factors for a personnel evaluation method at the Port Elizabeth Technikon. Secondly, an analysis of the next question (question 7) measured preferences of the target population on the selected criteria for a personnel evaluation method. Thirdly, an analysis of

the next question (question 8) measured attitudes of the target population to a set of fifteen proposed criteria (characteristics) for evaluation of the performance of lecturing personnel. With this question an option was offered to the respondent to suggest a criterium, or criteria of his own to add to the list.

The measuring instrument decided upon, namely the five-point Likert scale of response was found in Zimbardo-Ebbeson (1969:125). According to this method a person's attitude score is the sum of his individual ratings. The opinion to be tested rated on a five-point Likert scale was adapted for question 6 as follows:

**Rating value**

- 5 Strongly agree.
- 4 Agree.
- 3 Agree/disagree sometimes.
- 2 Disagree.
- 1 Disagree strongly.

For question 7 the scale was adapted as follows -

- 5 Prefer strongly.
- 4 Prefer.
- 3 Prefer sometimes.
- 2 Do not prefer.
- 1 Do not prefer strongly.

For question 8 the scale was adapted as follows -

- 5 Very important.
- 4 Important.
- 3 Of some importance.
- 2 Not very important.
- 1 Of no importance.

A section in the questionnaire was made available for the respondent to provide broad comments on the aspect of personnel evaluation for lecturing personnel at the Port Elizabeth Technikon.

An appendice containing explanations of the critical factors expected from a personnel evaluation method, was also attached to the questionnaire.

In order to determine the target population a list of lecturing personnel was obtained from the personnel department of the Port Elizabeth Technikon. It was decided to request all lecturing personnel of the technikon, on three post levels, to complete and return the questionnaire. The total number of lecturing personnel determined from the list amounted to 215, consisting of 120 lecturers, 51 senior lecturers, and 44 associate directors/directors. It was decided that these categories provided too few elements for the drawing of scientific samples, therefore the whole population had to be used for the survey.

Four methods of approaching the target population with the questionnaires were employed in order to effect the highest possible response rate. Firstly, the questionnaires were

physically deposited into each individual's personal post container at his or her School. Secondly, on two occasions reminders were sent to those personnel who delayed the return of the completed questionnaire. Thirdly, personnel were contacted telephonically to remind them of the questionnaire. Fourthly, those personnel whose questionnaires were still outstanding were personally traced and then reminded to complete and return their questionnaires.

While not ideal, and because of time constraints, it was decided in consultation with the statistician to commence the statistical analysis of the questionnaires after the achievement of a 60% overall response rate. With the assistance of the statistician of the Port Elizabeth Technikon, who used the computer program "Statgraphics" to process the collected data and to generate the various statistical results, the relative values pertaining to the established criteria that emerged from the survey were transferred in codified form to the computer data-base.

The research findings are based on 119 usable completed questionnaires from a possible 215 lecturing personnel, consisting of 55 questionnaires from the lecturing post level from a possible 120 individuals, 36 questionnaires from the senior lecturing post level out of a possible 51 individuals, and 28 questionnaires from the associate director/director post level, out of a possible 44 individuals.

As the empirical survey was conducted solely for the purpose of measuring attitudes among lecturing personnel on personnel evaluation for lecturing personnel at tertiary educational institutions, it was decided to use only the demographic particulars, except the question on post-levels, contained in the questionnaire for the purpose of determining the **overall** attitude of lecturing personnel to the survey itself. The main aspects of the survey that were statistically analysed emanated from questions 6, 7 and 8, namely the critical factors selected for a personnel evaluation method, and individual criteria (characteristics) on which respondents could be evaluated. These were seen as the primary instruments with which attitudes of lecturing personnel to personnel evaluation could be measured. Those aspects of the questionnaire that were not included in the statistical analysis is available for future research.

It was decided, in consultation with the statistician, that three statistical methods would be utilised to measure responses per question, namely the median, the mode, and the skewness factor. According to the statistician (Bosma, 1992) the three terms can be explained as follows:

- i) **Median** - half of the responses were at or below the figure given. According to Leedy (1985:34) the term "median" refers to the precise center of the numerical array of given values.



- ii) **Mode** - most respondents responded at the figure given. Leedy (1985:34) describes the term "mode" as the value that appears most frequently in the array of given values.
- iii) **Skewness** - indicates the overall propensity of the respondents after all possible responses, and its frequencies, have been calculated by the frequency distribution method. **A skewness of 0 indicates an overall average neutral response.** In this instance, a positive skewness figure indicates an overall negative response to the particular question. A negative skewness indicates an overall positive response to the particular question. For the purpose of presenting the data in a logical format all the negative data is presented as positive, and vice versa.

### 5.3 INTERPRETATION OF THE RESEARCH FINDINGS

In terms of the nature of the objective with the empirical survey, namely to test the attitudes of lecturing personnel at the Port Elizabeth Technikon on personnel evaluation for lecturing personnel at tertiary educational institutions, the inherent subjectivity in attitude survey was realised and

kept in mind during the analysis of the results. However, according to Zimbardo-Ebbeson (1969:123) it is possible to measure subjective attitudes by using quantitative techniques, so that each individual's opinion can be represented by some numerical score. It was also assumed that the measuring technique employed, namely a five-point Likert scale, would presuppose that a particular test item has the same meaning for all respondents, and thus a given response will be scored identically for everyone making it. Zimbardo-Ebbeson (1969:123) state that such assumptions may not always be justified, but that no measurement technique has as yet been developed which does not include them.

#### **5.3.1 Question 6 of the questionnaire**

Question 6 was included in section B of the questionnaire and was accordingly put to the respondents:

**"To what extent do you agree that the present method of personnel evaluation at the Port Elizabeth Technikon meets with the undermentioned proposed critical factors for an acceptable method for personnel evaluation for lecturing personnel?"**

It was expected from the respondents to indicate, on the Likert scale provided, on a scale of 1 to 5, their degree of agreement to the measure whereby the present method of personnel evaluation at the Port Elizabeth Technikon meets with the listed criteria. The number 5 was set as the most

positive response possible, and number 1 was set as the most negative response possible.

Certain respondents have indicated that they have no knowledge at all of the personnel evaluation method used by the Port Elizabeth Technikon and was therefore not in a position to complete that portion of the questionnaire. In all cases of a non-response being recorded, a value of 0 was allocated to the particular segment, and, at the end was reflected as a non-response (0) in the skewness measurement of the particular factor.

The findings of the analysis of question 6 in respect of personnel on post-level one (lecturers) showed an overall median tendency towards "disagree" with an average rating of 2,7.

Tables 1 - 9 illustrate the results of the analysis of the response to the critical factors and characteristics of questions 6, 7, and 8 of the questionnaire. The tables are supported by bar charts 1 - 9, reflecting the skewness factors of each personnel category.

i) **LEGEND FOR BAR CHARTS FOR QUESTIONS 6 and 7**

- a - uniformity
- b - fairness
- c - remuneration component
- d - communication channel
- e - staff involvement
- f - objectivity
- g - legality
- h - student evaluation
- i - self evaluation
- j - sufficient feedback

ii) **LEGEND FOR BAR CHARTS FOR QUESTION 8**

- a - lecturing ability
- b - research
- c - publications
- d - departmental committees
- e - professional membership
- f - community service
- g - consultation
- h - student guidance
- i - human relations
- j - marketing courses
- k - public credibility
- l - administration
- m - qualifications
- n - outside liaison
- o - other characteristics

TABLE 1  
LECTURERS  
STATISTICAL ANALYSIS OF QUESTION 6

	CRITICAL FACTORS	median	mode	skewness
1	Uniformity	2	3	0.092
2	Fairness	3	5	0.276
3	Remuneration component	3	4	0.146
4	Communication channel	3	4	0.236
5	Staff involvement	3	4	0.245
6	Objectivity	3	4	0.218
7	Legality	3	4	0.471
8	Student evaluation	2	0	-0.238
9	Self evaluation	3	4	0.289
10	Sufficient feedback	2	4	0.259
Global totals		27	36	1.994
Global averages		2.7	3.6	0.1994

Bar chart 1

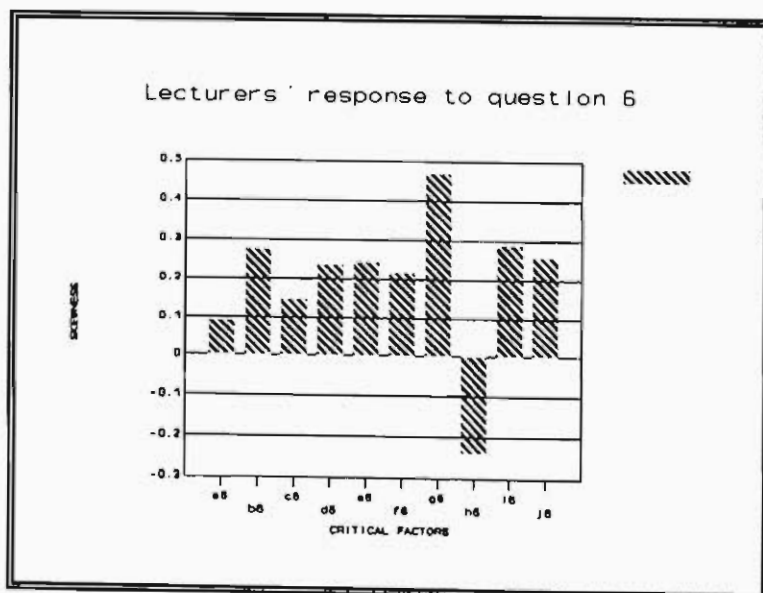
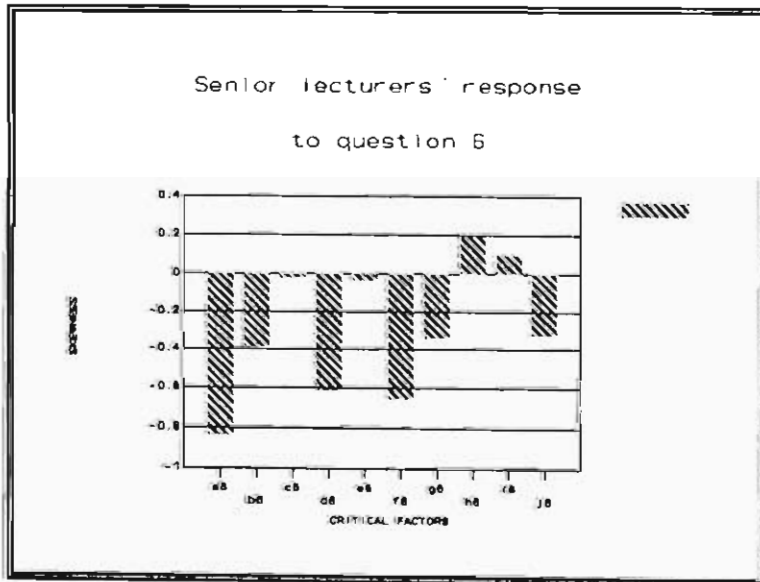


TABLE 2  
 SENIOR LECTURERS  
 GLOBAL STATISTICAL ANALYSIS OF QUESTION 6

	CRITICAL FACTORS	median	mode	skewness
1	Uniformity	1	1	-0.838
2	Fairness	2	2	-0.391
3	Remuneration component	2.5	3	-0.0256
4	Communication channel	1	1	-0.617
5	Staff involvement	2	3	-0.037
6	Objectivity	1.5	1	-0.659
7	Legality	1	3	-0.344
8	Student evaluation	3	4	0.196
9	Self evaluation	3	3	0.098
10	Sufficient feedback	1	1	-0.327
Global totals		18	22	-2.945
Global averages		1.8	2.2	0.2945

Bar chart 2



**LEGEND FOR BAR CHARTS  
FOR QUESTIONS 6, and 7**

- a - uniformity
- b - fairness
- c - remuneration
- d - communication
- e - staff involvement
- f - objectivity
- g - legality
- h - student evaluation
- i - self evaluation
- j - feedback

TABLE 3  
ASSOCIATE DIRECTORS AND DIRECTORS  
GLOBAL STATISTICAL ANALYSIS OF QUESTION 6

	CRITICAL FACTORS	median	mode	skewness
1	Uniformity	1.5	1	-1.309
2	Fairness	2.5	3	-0.187
3	Remuneration component	2	1	-0.668
4	Communication channel	3	2	0.122
5	Staff involvement	3	2	0.029
6	Objectivity	3	4	0.355
7	Legality	3	3	0.513
8	Student evaluation	2	2	-0.114
9	Self evaluation	3	4	0.720
10	Sufficient feedback	3	3	-0.167
Global totals		26	25	-0.372
Global averages		2.6	2.5	-0.0372

Bar chart 3

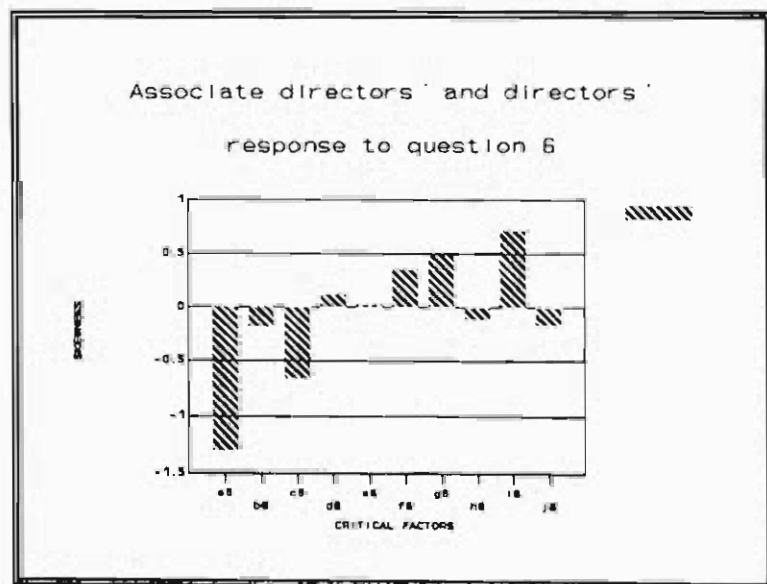


TABLE 4  
LECTURERS  
STATISTICAL ANALYSIS OF QUESTION 7

	CRITICAL FACTORS	median	mode	skewness
1	Uniformity	5	5	1,77
2	Fairness	5	5	4,66
3	Remuneration component	4	5	1,637
4	Communication channel	4	5	1,817
5	Staff involvement	4	5	2,302
6	Objectivity	5	5	3,327
7	Legality	4	5	2,079
8	Student evaluation	3	3	0,394
9	Self evaluation	4	4	1,461
10	Sufficient feedback	5	5	3,394
Global total averages		4,3	4,7	2,2841

Bar chart 4

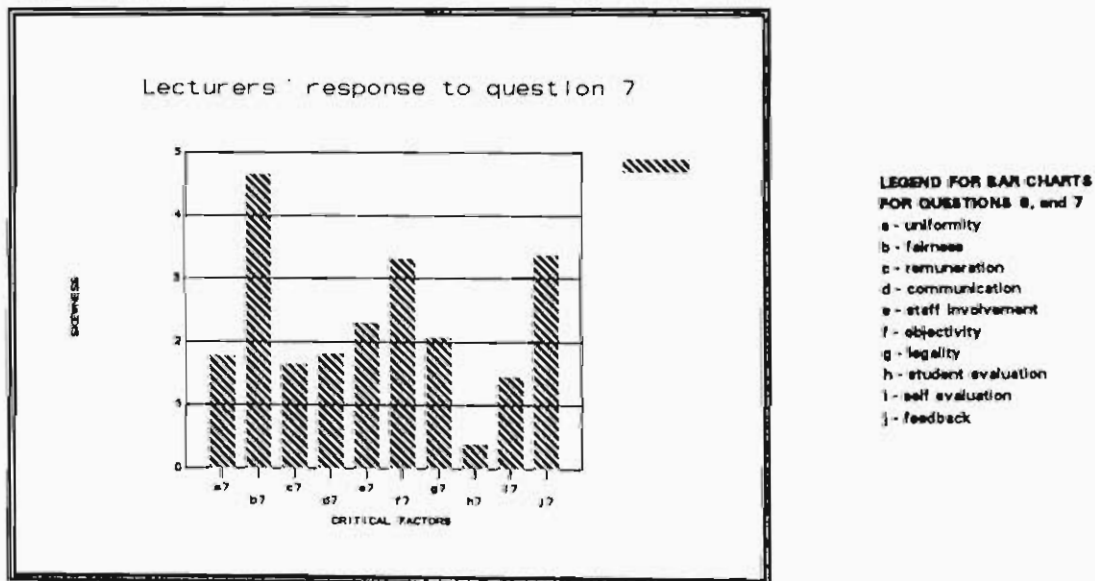




TABLE 5  
 SENIOR LECTURERS  
 GLOBAL STATISTICAL ANALYSIS OF QUESTION 7

	CRITICAL FACTORS	median	mode	skewness
1	Uniformity	5	5	1,934
2	Fairness	5	5	4,224
3	Remuneration component	5	5	1,229
4	Communication channel	5	5	3,259
5	Staff involvement	5	5	2,256
6	Objectivity	5	5	3,923
7	Legality	5	5	2,091
8	Student evaluation	4	5	1,171
9	Self evaluation	4	5	1,098
10	Sufficient feedback	5	5	3,571
Global total averages		4,8	5,0	2,4756

Bar chart 5

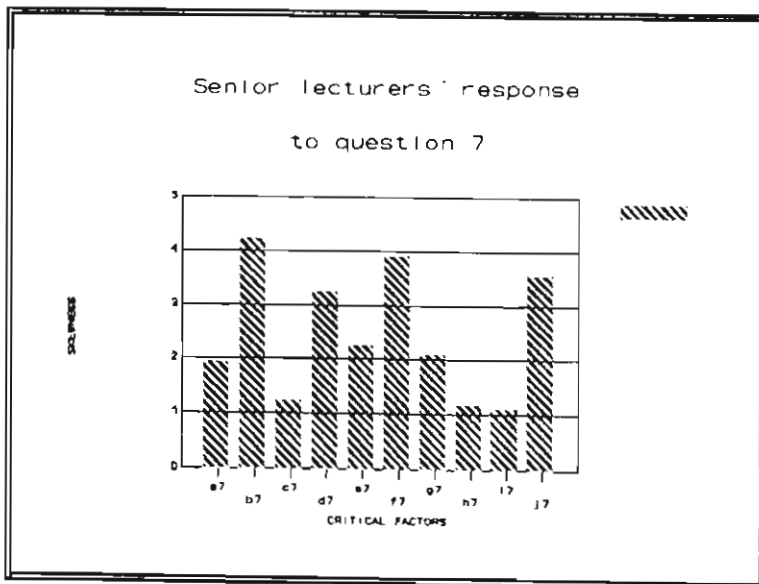


TABLE 6  
ASSOCIATE DIRECTORS AND DIRECTORS  
GLOBAL STATISTICAL ANALYSIS OF QUESTION 7

	CRITICAL FACTORS	median	mode	skewness
1	Uniformity	5	5	1,293
2	Fairness	5	5	5,002
3	Remuneration component	4	5	0,868
4	Communication channel	5	5	1,587
5	Staff involvement	5	5	1,398
6	Objectivity	5	5	4,135
7	Legality	5	5	3,332
8	Student evaluation	4	3	0,041
9	Self evaluation	4,5	5	2,968
10	Sufficient feedback	5	5	3,830
Global total averages		4,75	4,8	2,4454

Bar chart 6

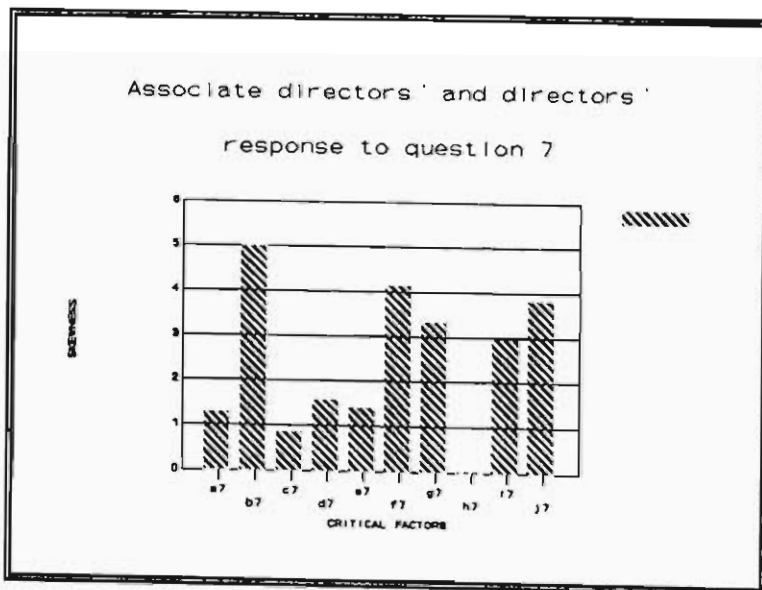
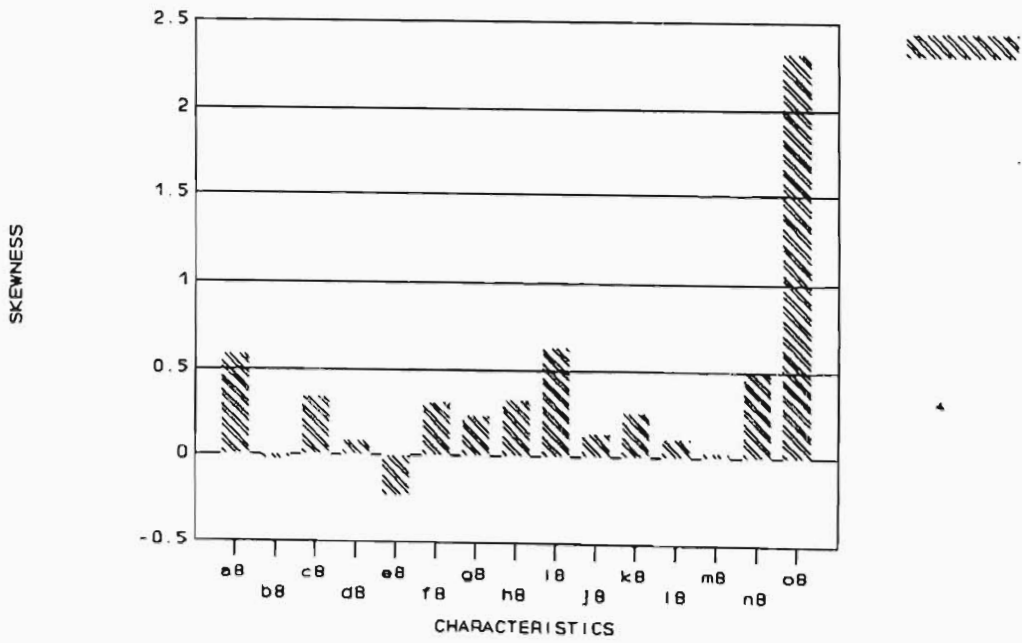


TABLE 7  
LECTURERS  
STATISTICAL ANALYSIS OF QUESTION 8

evaluation criteria	median	mode	skewness
1 Lecturing ability	5	5	0,583
2. Research	3	3	-0,029
3. Publications	3	3	0,336
4. Departmental committees	3	3	0,078
5. Professional membership	3	3	-0,231
6. Community service	3	3	0,307
7. Consultation	3	3	0,229
8. Student guidance	4	4	0,324
9. Human relations	4	5	0,641
10. Marketing courses	3	3	0,130
11. Public credibility	4	4	0,252
12 Administration	3	3	0,103
13 Qualifications	4	4	0,028
14 Outside liaison	4	4	0,507
15 Other criteria (specify)	0	0	2,324
Global total averages	3,26	3,33	0,37213

Bar chart 7

Lecturers' response to question 8



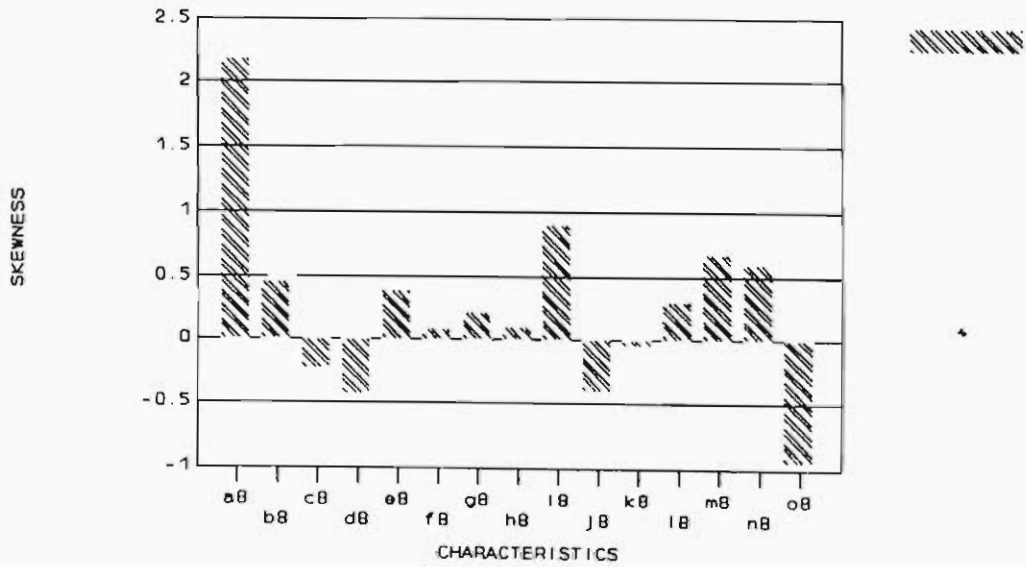
- LEGEND FOR BAR CHARTS FOR QUESTION 8**
- a - lecturing ability
  - b - research
  - c - publications
  - d - departmental committees
  - e - professional membership
  - f - community service
  - g - consultation
  - h - student guidance
  - i - human relations
  - j - marketing courses
  - k - public credibility
  - l - administration
  - m - qualifications
  - n - outside liaison
  - o - other characteristics

TABLE 8  
 SENIOR LECTURERS  
 STATISTICAL ANALYSIS OF QUESTION 8

evaluation criteria	median	mode	skewness
1 Lecturing ability	5	5	2,180
2. Research	3	3	0,454
3. Publications	3	3	-0,233
4. Departmental committees	3	2	-0,436
5. Professional membership	4	4	0,388
6. Community service	3	2	0,074
7. Consultation	4	4	0,214
8. Student guidance	4	4	0,099
9. Human relations	4	5	0,903
10. Marketing courses	3	2	-0,409
11. Public credibility	4	3	-0,050
12 Administration	3	3	0,306 <sup>+</sup>
13 Qualifications	4	5	0,674
14 Outside liaison	4	4	0,597
15 Other criteria (specify)	0	0	-0,942
Global total averages	3,4	3,26	0,2546

Bar chart 8

Senior lecturers' response  
to question 8



LEGEND FOR BAR CHARTS  
FOR QUESTION 8

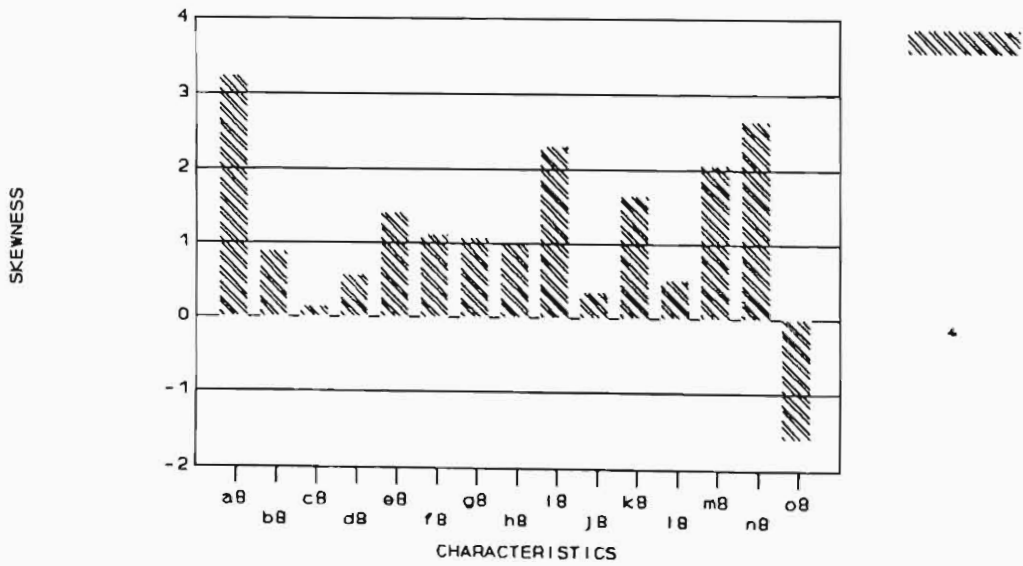
- a - lecturing ability
- b - research
- c - publications
- d - departmental committees
- e - professional membership
- f - community service
- g - consultation
- h - student guidance
- i - human relations
- j - marketing courses
- k - public credibility
- l - administration
- m - qualifications
- n - outside liaison
- o - other characteristics

TABLE 9  
 ASSOCIATE DIRECTORS AND DIRECTORS  
 STATISTICAL ANALYSIS OF QUESTION 8

evaluation criteria	median	mode	skewness
1 Lecturing ability	5	5	3,236
2. Research	3	3	0,884
3. Publications	3	3	0,144
4. Departmental committees	3	3	0,574
5. Professional membership	4	5	1,419
6. Community service	3,5	4	1,117
7. Consultation	4	4	1,073
8. Student guidance	4	4	0,013
9. Human relations	4	4	2,313
10. Marketing courses	3	3	0,357
11. Public credibility	4	4	1,650
12 Administration	3	3	0,524
13 Qualifications	4	4	2,068
14 Outside liaison	4	5	2,666
15 Other criteria (specify)	0	0	-1,599
Global total averages	3,43	3,6	1,626

Bar chart 9

Associate directors' and directors' response to question 8



LEGEND FOR BAR CHARTS FOR QUESTION 8

- a - lecturing ability
- b - research
- c - publications
- d - departmental committee
- e - professional membership
- f - community service
- g - consultation
- h - student guidance
- i - human relations
- j - marketing courses
- k - public credibility
- l - administration
- m - qualifications
- n - outside liaison
- o - other characteristics



The tables and bar charts show that the post-level 1 group is the least knowledgeable and also the least concerned about personnel evaluation, while the senior lecturer group (post-level 2) is seen as the most concerned and dissatisfied group. Among post-level 1 respondents the critical factor most agreed to in question 6 is the aspect of legality, while the least agreed to critical factor is student evaluation, with a significant skewness of -0,238. The skewness of legality, in contrast, is 0.471.

Among respondents from post-level 2 (senior lecturers) the least agreed to critical factor is uniformity, with a median of 1, a mode of 1, and a skewness of 0.838. The most agreed to critical factor for this group is student evaluation.

Among respondents from post-level 3 (associate directors/directors) the least agreed to critical factor from question 6 is, similar to post-level 2, the aspect of uniformity. The most agreed to critical factor is the aspect of self evaluation.

From these findings it can be deduced that because of the apparent absence of a personnel evaluation method for lecturing personnel at the Port Elizabeth Technikon, very little knowledge exists on the subject. The recent student evaluations that were instituted at the various schools created a knowledge base about that particular criterium.

This can explain the relatively high rating given to that critical factor by both post-level one and post-level two respondents.

The overall attitude in reply to question 6 shows little knowledge of personnel evaluation for lecturing personnel. This can be ascribed to the lack of a uniform method for personnel evaluation for lecturing personnel up to the present.

Table 10 illustrates the average response per post level to question 6.

**Table 10 - Average response per post-level to question 6**

	median	mode	skewness
Post-level 1	2,7	3,6	0,1994
Post-level 2	1,8	2,2	-0,2945
Post-level 3	2,6	2,5	-0,0372
Average response	2,366667	2,766667	-0,0441

### 5.3.2 Question 7 of the questionnaire

In question 7 the same critical factors as in question 6 were used, with a different question. The question is:

**"To what extent would you prefer the undermentioned critical factors to apply to a personnel evaluation method for lecturing personnel at the Port Elizabeth Technikon?"**

The following five-point Likert scale was used to record responses to question 7 -

- 5 = prefer strongly.
- 4 = prefer.
- 3 = prefer sometimes.
- 2 = do not prefer.
- 1 = do not prefer strongly.

The respondents to question 7 generally favoured the proposed critical factors being their preferences for these factors to be part of personnel evaluation. The overall median was recorded as 4,3, from a maximum of 5, and the mode was recorded as 4,7 from a possible 5. The critical factor least preferred by the respondents on post-level one was student evaluation, whose statistical analysis shows a marked deviation from the norm set for the other factors.

The critical factor most preferred with question 7 was fairness, which recorded the second highest skewness factor of the questionnaire for a positive response, namely 4,66. Although the medians and modes for the factors uniformity and fairness were for instance identical, the unusually high skewness factor for fairness showed the far greater preference for a personnel evaluation method to be fair, instead of uniform, with a skewness factor of 1,77.

The critical factor sufficient feedback also recorded a higher than the average skewness with a figure of 3,394.

The average skewness figure came to 2.2841 for post-level one in respect of question 7.

**Table 11****Average response per post-level to question 7**

	median	mode	skewness
Post-level 1	4,3	4,7	2,2841
Post-level 2	4,8	5,0	2,4756
Post-level 3	4,75	4,8	2,4454
Average response	4,616667	4,83333	2,4017

Regarding the response from post-level 2 to question 7, and despite more positive figures for the medians and the modes at 4,8 and 5,0 respectively, than the previous post level, the skewness of 1,171 recorded for student evaluation is a less positive response than the corresponding figure of 1,394 for the same factor for post-level one. The critical factor fairness is also strongly preferred by respondents from post-level 2 with both median and mode at a rating of 5, and the skewness a positive 4,224. The least preferred critical factor in this group was self evaluation, with a skewness of 1,098, but it should be kept in mind that both the median and the mode recorded responses of 4 and 5 respectively. The propensity of relative negative skewness recorded for self evaluation should be seen against the overall strong positive preferences for the other nine critical factors. The response by post-level 3 to question 7 also shows a strong preference for the critical factor fairness with a highest skewness figure in the questionnaire

of 5,002. Objectivity was next preferred, with a skewness of 4,135, while sufficient feedback also showed a marked positive response with a skewness of 3,830.

### 5.3.3 Question 8 of the questionnaire

Question 8 of the questionnaire was designed to measure attitudes to 15 proposed criteria (characteristics) expected from a lecturing personnel member and which could be used to measure personnel performance. The responses were again measured with a five-point Likert scale as follows:

5	=	very important.
4	=	important.
3	=	of some importance.
2	=	not very important.
1	=	of no importance.

Of the three post-levels that responded to question 8, post-level three responded the most positive, with an overall average skewness of 1,1626 as opposed to skewnesses of 1,37213 and 0,2546 for post-levels one and two respectively.

Regarding the median and mode measurements, the results were comparably similar for all three post levels as illustrated in table 12.

**Table 12****Average response per post-level to question 8**

	median	mode	skewness
Post-level 1	3,26	3,33	1,37213
Post-level 2	3,4	3,26	1,2546
Post-level 3	3,43	3,6	1,1626
Average response	3,363333	3,396667	1,59644

As question 8 refers to particular characteristics of the employee that has to be evaluated, the attitudes of lecturing personnel on the three post levels were measured in terms of the mode, the median, and the skewness factors of their respective responses.

The responses to question 8 were predominantly positive in respect of the three post levels, with skewness factors indicating a willingness to accept the proposed characteristics as a basis for the development of a set of characteristic criteria against which lecturing personnel could be evaluated during the evaluation process.

#### **5.3.4 Overall interpretation of the research findings**

Restating the key questions pertaining to the research, namely attitudes to selected criteria for personnel evaluation of lecturing personnel at the Port Elizabeth

Technikon, preferences in terms of these criteria, and differences in preferences between the three categories of personnel initiates an overall interpretation of the research findings. The overall attitude towards personnel evaluation for lecturing personnel exceeds the median of 2,5, taking into account the five-point Likert scale.

In respect of question 6, however, the overall attitude of all the respondents revealed a marginal negative response compared to question 7, which illicited a significant positive response.

In contrast to the response to questions 6 and 7 the response to question 8 showed an overall positive response to the selected criteria (characteristics).

**Table 13**

**Average response for all respondents to questions 6,7, & 8**

	median	mode	skewness
Question 6	2,37	2,77	1,0441
Question 7	4,61	4,83	2,4017
Question 8	3,36	3,40	1,5964
Global averages	3,448889	3,665555	1,98468

The findings of the empirical survey have shown that the critical factors pertaining to an evaluation method that were

identified and selected from the literature have been found to be acceptable to the majority of the respondents. It was stated before that the criteria mentioned are by no means exhaustive, or absolute. Instead, the research should be seen as a point of departure for further research into the subject of personnel evaluation for lecturing personnel at tertiary educational institutions.

In order to design and implement an evaluation method that would be both efficient and acceptable to the personnel and the management cadre of the technikon, it would be necessary to find answers to a complex hierarchy of questions, that would fall outside the scope of this research. Because of the complexity of the subject, this research merely provides information on broad trends in personnel evaluation as opposed to an in-depth analysis.

#### **5.4 SUMMARY**

In this chapter the empirical survey of lecturing personnel at the Port Elizabeth Technikon was described and the results interpreted against the background of the key questions asked in chapter 1.

It was decided to include a brief description of the overall findings of the empirical survey, because it was considered that the broad trends currently prevailing in thinking about personnel evaluation by the lecturing personnel of the Port Elizabeth Technikon leaned towards a preference for a



different personnel evaluation method to what is presently understood in terms of the subject under discussion.

The following conclusions can be drawn from this chapter:

- i) That the criteria for a personnel evaluation method as used in questions six and seven of the questionnaire be utilised for the development and implementation of a personnel evaluation method for lecturing personnel at tertiary educational institutions.
- ii) That the characteristics against which lecturing personnel will be evaluated as used in question eight of the questionnaire, be utilised for the development of individual characteristics for the purpose of evaluating lecturing personnel at tertiary educational institutions.
- iii) That the above conclusions should also apply to the Port Elizabeth Technikon.

## CHAPTER 6

DEVELOPMENT OF A NORMATIVE MODEL FOR THE EVALUATION OF  
LECTURING PERSONNEL AT THE PORT ELIZABETH TECHNIKON

## 6.1 INTRODUCTION

In this chapter information extracted during the literature search as well as certain inferences made as a result of the empirical survey will be used as points of departure for the design of a model for personnel evaluation for lecturing personnel at tertiary educational institutions with specific reference to the Port Elizabeth Technikon.

The model for personnel evaluation for lecturing personnel will not purport to represent any existing method or methods for personnel evaluation for lecturing personnel at tertiary educational institutions. Neither will the model be used to deprecate (disfavour) any existing approach to the research subject. Rather, the model will endeavour to expound a set of basic points of departure within a definite normative framework that could be utilised for the benefit of staff development and staff motivation. The model will also serve as a basis for further study and research into the subject under discussion. An acceptable method of personnel evaluation could serve as a guide to the technikon management cadre in determining a policy for future staff and organisational development programs as well as serving as a useful control measure whereby lecturing personnel outputs can be measured.

This chapter should be seen as an attempt to illicit an approach to personnel evaluation for lecturing personnel that could be considered by the Rectorate of the Port Elizabeth Technikon. The basic criteria is that the approach of personnel evaluation suggested in this work should be found to be able to maintain and enhance the mission of the technikon. Simultaneously it could serve as motivation for management and lecturing personnel to ensure that the performance levels of all personnel subjected to personnel evaluation will contribute to the realisation, on a continuing basis, of the mission of the Port Elizabeth Technikon as set out in Chapter 1.

## **6.2 A NORMATIVE MODEL FOR THE EVALUATION OF LECTURING PERSONNEL AT THE PORT ELIZABETH TECHNIKON**

The origin of a proposed normative model for personnel evaluation for lecturing personnel at the Port Elizabeth Technikon is found in the public management model of Fox et al (1991:4). This model is based on an open systems theory, resulting in a contingency approach to management that stresses the importance of the environment for the theory and practice of management.

The model of Fox et al (1991:3) takes as its point of departure a perceived general environment. This general environment consists of various possible sub-environments, namely political, social, economic,

technological, and cultural. These sub-environments are only examples of possible environments. Those mentioned are taken as being representative of most facets of contemporary human societal existence and should suffice to illustrate the need-generating elements of the external environments of any society. Fox et al (1991:3-4) then shows a specific environment, within the general environment, that consists of suppliers, competitors, regulators and consumers. The interaction between the components of the general environment and the factors of the specific environment are regulated by certain functions, skills and applications.

The model described above will now be transposed as a framework for personnel evaluation for lecturing personnel at tertiary educational institutions with specific reference to the Port Elizabeth Technikon.

The **functions** indicated in the **specific environment** refer to the following aspects:

- i) **Policy-making** for personnel evaluation.
- ii) **Planning** for personnel evaluation.
- iii) **Organising** for personnel evaluation.
- iv) **Leading** for personnel evaluation.
- v) **Control and evaluation** for personnel evaluation.

The **skills** indicated in the **specific environment** refer to the following:

- i) **decision-making** for personnel evaluation.
- ii) **Communication** for personnel evaluation.
- iii) **Management of change** for personnel evaluation.
- iv) **Management of conflict** for personnel evaluation.
- v) **Negotiation** for personnel evaluation.

The **applications** indicated within the **specific environment** refer to the following:

- i) **Policy analysis** for personnel evaluation.
- ii) **Strategic management** for personnel evaluation.
- iii) **Organisation development** for personnel evaluation.

The **supportive technology and techniques** indicated within the **specific environment** refer to the following:

- i) **Computer technology and information management** for personnel evaluation.
- ii) **Techniques for public management** for personnel evaluation.

As the empirical survey has shown, the variable nature of the lecturing function of lecturing personnel at tertiary educational institutions necessitates the use a

contingency approach to the management of personnel evaluation for lecturing personnel. According to Fox et al (1991:3) the contingency approach is based on an open systems theory which emphasises the importance of the environment in the theory and practice of management, in this case, the management of personnel evaluation for lecturing personnel. The management functions and managerial skills should be continuously reviewed in terms of the management environment.

The contingency approach is supplemented by various management skills during the formulation and maintenance of a personnel evaluation method for lecturing personnel. This ensures that the functional approach to management is integrated with the contingency approach.

The management functions can be utilised to demarcate and conceptualise the management role in accordance with a functional approach to management. The management functions are supported by management skills. The skills are characterized as different from the management functions as they are pragmatic by nature and can be learnt practically (Fox et al, 1991:3).

Management applications include a number of management knowledge and skills. This can be utilised to improve the various aspects of management. Examples used in

the model includes aspects such as policy analysis for personnel evaluation, strategic management for personnel evaluation, and organisation development for personnel evaluation. Supportive technology and techniques provide an auxiliary function, to facilitate and enhance the personnel evaluation management process. As the empirical survey has indicated, a need presently does exist for the design, implementation and maintenance of an acceptable personnel evaluation method for lecturing personnel at the Port Elizabeth Technikon. It is the intention to show, in terms of the management approach advocated by the Port Elizabeth Technikon, and in terms of the transposed model, how the critical factors of a personnel evaluation method for lecturing personnel can be integrated into a proposed model for personnel evaluation for lecturing personnel at tertiary educational institutions with specific reference to the Port Elizabeth Technikon. Also to be included will be the lecturer criteria in terms of which lecturing personnel can be evaluated.

The following critical factors have been identified from the empirical survey as being essential as a basis for a personnel evaluation method:

- i) Fairness.
- ii) Uniformity.
- iii) Objectivity.
- iv) Sufficient feedback.

- v) Communication channel.
- vi) Self evaluation.
- vii) Legality.
- viii) Remuneration component.
- ix) Staff involvement.
- x) Student evaluation.

The personnel evaluation method adopted would have to be evaluated continuously in order to establish its continued compliance with the above critical factors.

The following criteria have been identified as being characteristic of the task of lecturing personnel at the Port Elizabeth Technikon. These criteria represent the characteristics that would have to be measured during personnel evaluation of lecturing personnel in order to assess their performance in terms of the mission and aims of the technikon:

- i) Lecturing ability.
- ii) Human relations.
- iii) Qualifications.
- iv) Liaison with outside individuals and institutions related to lecturers' discipline.
- v) Public credibility/relations.
- vi) Research.
- vii) Community service.

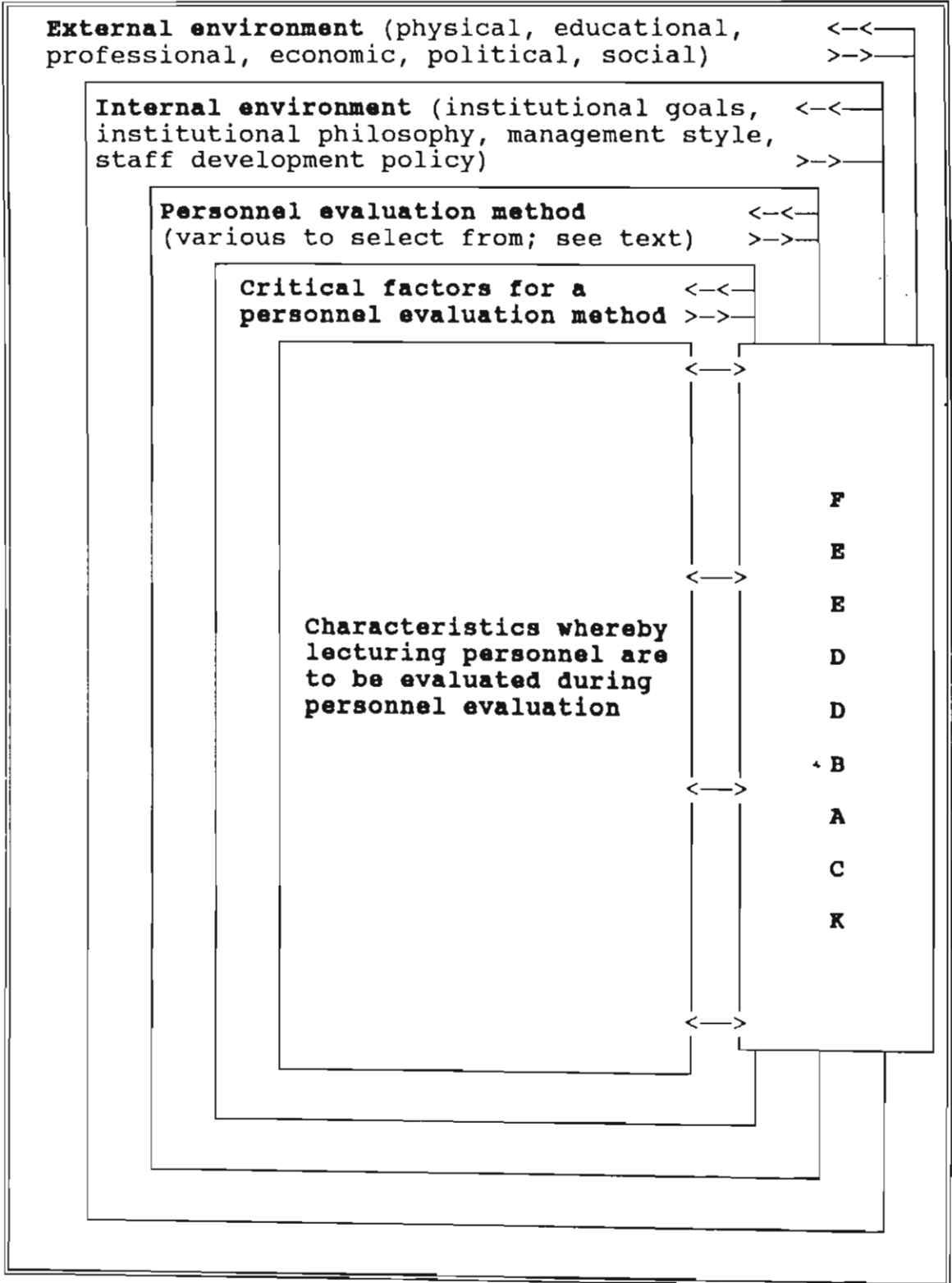


- viii) Membership of professional associations.
- ix) Study and career guidance for students.
- x) Consultation (expert advice) and patenting.
- xi) Membership of departmental committees.
- xii) Administration.
- xiii) Marketing and selling technikon courses.
- xiv) Publications.

The normative model for personnel evaluation for lecturing personnel at tertiary educational institutions is presented in this chapter as an environmentally-orientated model, where the personnel evaluation function is taking place within the framework of, and being subjected to the forces of, an external and an internal environment.

The model should be seen from a normative perspective, flexible by nature, and inherently dynamic as a tool for bringing about change within the framework of a transformational approach to personnel evaluation. The reason for existence of personnel evaluation within the work situation should be borne in mind when the model is considered, firstly, being a tool to effect worker efficiency in the work place, and, secondly, a tool to facilitate personnel development. The normative model for personnel evaluation for lecturing personnel at tertiary educational institutions is illustrated with figure 7.

Figure 7 - Normative model for personnel evaluation for lecturing personnel



The external environment could be considered from a number of different perspectives. However, the external environmental factors of the physical-, educational-, professional-, economic-, political-, and, social environments are viewed as being adequately representative of the concept of external environment.

When the external environmental factors are briefly discussed, the factor of physical environment is understood as being the climatic, topographic, metropolitan, provincial, and country-wide influences on the role-players in personnel administration in general, and personnel evaluation in particular.

The external educational environment is understood as the level of education of the personnel and the clients of the educational service rendered by the institution as well as the nature and extent of the service that has to be rendered by the personnel of the tertiary educational institution to its clients.

The external professional environment is seen as the professional status and level of expertise of the academic staff member, taking into account academic, research, and general achievements to the benefit of the community at large.

The economic environment refers to the constraints in terms of resources, the supply and demand situation regarding the service expected and required by the inhabitants of the institution as well as the ability of the institution and its personnel to meet the needs of the community as optimally as possible.

The political factors refer to the authoritative allocation of the economic and other resources by the elected representatives. This would include measures to reconcile the various educational needs of the community with the available resources and also the extent whereto the educational institution is influenced by the political dynamics of the government-of-the-day.

The social environment encompasses the social and humanitarian elements of society, or the lack of it, coupled with the level of cultural and technological development of the community in question, which have an influence on the activities of the educational institution.

The internal environment contains aspects such as institutional goals, institutional philosophy, management style, and staff development policy.

Institutional goals relate to the mission of the institution, as perceived by the people working in the

institution, and as interpreted by the top management of the institution to be the major reasons for existence of the educational institution in question. These could be supported by various sub-goals, that may interact in order to achieve the main goal of the institution, such as quality post-school education for adults.

The institutional philosophy is the basis of the management style of the management cadre of the educational institution. The institutional philosophy depends on the personal preferences of the major policy-making body of the institution, within a particular statutory framework.

The management style of the managers of the educational institution is regarded as the factor that is the most visible to the personnel of the institution in terms of operational policy formulation, -implementation and -analysis. The management style used by managers to make organisational arrangements, determine budgetary requirements, execute a personnel function, including personnel evaluation, determining work methods and procedures, and determine and maintain control measures could influence personnel attitudes towards the work situation.

Staff development policy should be an indicator of the employer's realisation of the value of the employee to the institution for the reaching of institutional goals. Aspects

such as rewards for improvement of qualifications, a remuneration component as part of the personnel evaluation method, and continuous programs for staff development such as training courses, seminars, and quality academic journals should contribute to a culture of development and self-development of the staff member in the work place.

The critical factors regarded as the minimum requirements for an effective and efficient personnel evaluation method for lecturing personnel at tertiary educational institutions, have been identified and described in chapter 5. These factors were tested empirically by a survey of lecturing personnel at the Port Elizabeth Technikon and the findings, as reflected in the statistical analysis of the responses to the questionnaire, show the preferences of the personnel on the three post levels regarding these critical factors.

These are (in order of preference):

- i) Fairness.
- ii) Objectivity.
- iii) Feedback.
- iv) Staff involvement.
- v) Legality.
- vi) Communication channel.
- vii) Self evaluation.
- viii) Uniformity.
- ix) Remuneration component.
- x) Student evaluation.

The characteristics of the staff member that will be used as a basis for the personnel evaluation process is regarded as a uniform number of characteristics that could serve as a minimum normative yardstick for personnel evaluation of lecturing personnel at tertiary educational institutions. It is possible for the list to be adapted to particular conditions and preferences, as circumstances may dictate.

It is stated clearly that the normative model is not proposed as an absolute framework for personnel evaluation for lecturing personnel at tertiary educational institutions, but rather as a point of departure for the establishment of an interim method of personnel evaluation. The complexity of the question of personnel evaluation of lecturing personnel at tertiary educational institutions dictates that further research will have to be done in this field. The words of Stahl (1983:259) that "...no organised enterprise can escape making judgements about the behaviour and effectiveness of its staff..." should have special significance in this regard, especially for institutions that currently have no method of personnel evaluation at its disposal.

Personnel may need to be reassured about the meaningfulness of their daily contributions to the overall goals of the institution. Such recognition could be in the form of a remuneration component, such as a salary increment, that could be linked to above-average achievement in the work

situation. It could also be in the form of a tangible object of appreciation for services rendered, such as a meritorious certificate, a gift, or, if financial constraints permit, a measurable, singular monetary payment.

### 6.3 SUMMARY

In this chapter a normative model for personnel evaluation was suggested. The model is based on the public management model of Fox et al 1991:4). The model is environmentally based. The model was transposed to include personnel evaluation for lecturing personnel at tertiary educational institutions. Certain critical factors pertaining to personnel evaluation that emanated from the empirical survey were put forward. Certain criteria that emanated from the empirical survey pertaining to lecturer performance were put forward. Mention was made of a possible reward system linked to personnel evaluation.

It is concluded from this chapter that the normative model for personnel evaluation as proposed in this chapter should be used as a reference for the design and implementation of a personnel evaluation method for lecturing personnel at tertiary educational institutions.

It is also concluded that a model adopted as concluded above, specifically apply to the Port Elizabeth Technikon.



**CHAPTER 7****CONCLUSION AND RECOMMENDATIONS****7.1 INTRODUCTION**

In the preceding chapters a theoretical basis for personnel evaluation was researched and established in terms of the literary search done on the subject in chapter two. This was continued in chapter three as a search for normative criteria for the evaluation of personnel, followed by a search in chapter four for certain common criteria for personnel evaluation. Chapter five describes an empirical survey of lecturing personnel evaluation at the Port Elizabeth Technikon, followed by the development of a normative model for personnel evaluation of lecturing personnel at tertiary educational institutions in chapter six.

In this chapter certain conclusions will be drawn, and certain recommendations will be made.

This study was undertaken because of certain assumptions regarding personnel evaluation for lecturing personnel at tertiary educational institutions with specific reference to the Port Elizabeth Technikon. The assumptions included a point of view that general dissatisfaction exists among lecturing personnel at the Port Elizabeth technikon about the present approach to personnel evaluation for academic personnel.

As mentioned in chapter 1 the above viewpoint was confirmed during an interview with the Director of personnel at the Port Elizabeth Technikon. With this information a broad research goal to undertake a study into the aspect of personnel evaluation for lecturing personnel at tertiary educational institutions was set.

Although the broad research goal of attempting to give effect to the study objectives of this research may not have been realised to its fullest consequence, certain comments pertaining to the original framework which served as a point of departure for the research are made hereunder:

- i) A definition of personnel evaluation for lecturing personnel was put forward (chapter 1).
- ii) In chapters 2 and 3 the existing theory for personnel evaluation was researched and reported on. Worth repeating here is Castetter's report on a study by Biddle in 1960 that 10,000 studies had been reported that dealt with the relationship between the characteristics of teachers, teacher behaviour, and educational goals. The study had shown that few facts seemed to have been established concerning teacher effectiveness, no approved method of measuring competencies had been accepted, and no methods of promoting teacher adequacy had been widely developed.

- iii) In chapter 4 the characteristics of different approaches to personnel evaluation were researched. Certain common criteria were described and brief descriptions were given of various methods of personnel evaluation in different institutions.
- iv) In chapter 5 two sets of normative criteria were developed during the course of the study and empirical research; one pertaining to a personnel evaluation method, and one pertaining to criteria (characteristics) pertaining to persons to be evaluated. The attitudes of lecturing personnel on three post levels were measured by using a questionnaire and various statistical analyses.
- v) In chapter 6 a normative model for personnel evaluation for lecturing personnel was developed and described.

The key questions asked in the first chapter were answered in the research as follows:

- i) Major criteria for the evaluation of lecturing personnel were identified and described.
- ii) The preferences of lecturing personnel at the Port Elizabeth Technikon were measured by statistical analysis.

- iii) The differences between the preferences of the three post levels as analysed statistically are shown.
- iv) The differences in approach to evaluating the different levels were not particularly shown, however certain trends, such as the different responses to questions 6 and 7 respectively, could be inferred from the different attitudes measured and these are shown in the results of the statistical analysis.
- v) A normative model was constructed, but it is suggested that the construction of a comprehensive model be determined as the subject of further research into the field of personnel evaluation for lecturing personnel.
- vi) The question of the construction of arguments for the general application of the normative model to all tertiary educational institutions in South Africa should be investigated in further research into the subject under discussion.

This research has culminated in a number of recommendations. These recommendations are made bearing in mind the financial and manpower constraints currently dominating public sector expenditure. It is nevertheless proposed that these recommendations be adopted in the interests of efficient education and training on tertiary educational level.

## 7.2 RECOMMENDATIONS

The following recommendations are made for consideration:

### Recommendation one

Further research into a practical model for personnel evaluation for lecturing personnel at tertiary educational institutions has to be done.

In view of the fact that this research was normative by nature and in view of the complexity of the subject researched (referred to Minzberg, 1983:189-213) the research into a practical model for personnel evaluation is recommended as a subject for further study. However, models useful for further investigation in terms of the applicability of certain of their elements to personnel evaluation for lecturing personnel at the Port Elizabeth Technikon are those of the Technikon of the Orange Free State and the Technikon of Pretoria.

### Recommendation two

The professionalism, academic status, and level of expertise of lecturing personnel at tertiary educational institutions be recognised.

With specific reference to the Port Elizabeth Technikon, it is recommended that the above factors be recognised in accordance with the guidelines already laid down by the Rectorate, as described in the introduction to this dissertation.

#### Recommendation three

It is recommended that the key elements of the definition for personnel evaluation for lecturing personnel at tertiary educational institutions should be accepted as a basis for an approach to personnel evaluation for lecturing personnel at tertiary educational institutions.

In terms of this recommendation, it is further proposed that the definition be adopted for personnel evaluation for lecturing personnel at tertiary educational institutions, which includes, *inter alia*, the lecturing personnel of the Port Elizabeth Technikon.

#### Recommendation four

It is recommended that the basic normative criteria described in this research report be adopted as the foundation for the design, formulation, implementation, and maintenance of an acceptable and effective personnel evaluation method for lecturing personnel at tertiary educational institutions.

It is also proposed, in terms of this recommendation, that the Port Elizabeth Technikon adopts the definition as a basis for the design of an acceptable personnel evaluation method for lecturing personnel at that technikon.

Recommendation five

For the purposes of realistic personnel evaluation of lecturing personnel it is recommended that the utilising of lecturers to assist with faculty administration be kept to an absolute minimum.

This recommendation is made in order to enable evaluators of lecturing personnel at tertiary educational institutions to base their evaluations primarily on matters of an academic nature and secondarily on supportive issues, such as lecturers' involvement in faculty administration. It is considered imperative that lecturing personnel be afforded the necessary time to pursue their academic responsibilities to the students, to embark on formal and informal research projects, to keep abreast of developments in their respective fields of study, and to make literary contributions to scientific and academic journals. This recommendation carries specific weight, in view of the fact that evaluation of faculty administrative expertise of lecturers is usually projected as a small part of evaluation procedures. However, in practice, administrative tasks allocated to lecturers are

often regarded as a priority by decision makers in academic administration sections and faculties. In view of the salary structure of lecturing personnel compared to administrative personnel the economic disadvantages of utilising highly trained academics on relatively simple, but time-consuming functional duties should be clearly evident.

Recommendation six

It is recommended that the criteria for a personnel evaluation method as used in questions six and seven of the questionnaire be utilised for the development and implementation of a personnel evaluation method for lecturing personnel at tertiary educational institutions. This recommendation should also be applicable to the Port Elizabeth Technikon.

Recommendation seven

It is recommended that the characteristics against which lecturing personnel will be evaluated as used in question eight of the questionnaire, be utilised for the development of individual characteristics for the purposes of evaluating lecturing personnel at tertiary educational institutions. This should also apply to the Port Elizabeth Technikon.



Recommendation eight

It is recommended that the normative model for personnel evaluation as proposed in this research report be used as a reference for the design and implementation of a personnel evaluation method for lecturing personnel at tertiary educational institutions. This would also specifically apply to the Port Elizabeth Technikon.

Recommendation nine

It is recommended that serious consideration be given by the technikon top management to the review of the present impasse position regarding personnel evaluation for lecturing personnel at this technikon.

The results of the empirical survey, in spite of being burdened with the disadvantages inherent in attitude surveys (Zimbardo-Ebbesen, 1969:123) showed trends pertaining to viewpoints in respect of personnel evaluation for lecturing personnel at tertiary educational institutions with particular reference to the Port Elizabeth Technikon. These attitudinal trends correspond to the original assumptions that initiated the research in the first place.

### Recommendation ten

It is recommended that the personnel department of the Port Elizabeth Technikon be instructed to design, and to propose to the Rectorate, a personnel evaluation method for lecturing personnel in terms of the various foundations and guidelines as expounded in this research report.

The expertise of officials of the personnel department of the Port Elizabeth Technikon is recognised in this regard.

### 7.3 SUMMARY

This chapter viewed the dissertation as a completed project and mentioned the various aspects covered in the different chapters.

In all major research projects it is necessary that an amount of groundwork be done, in order to prepare the researcher for further investigations into the subject at hand. It has transpired, during the course of this research, that the subject under investigation, namely personnel evaluation of lecturing personnel at tertiary educational institutions, is a complex matter. The professionalism of those to be evaluated, the exclusive nature of their respective fields of expertise, and the relative scarcity of trained manpower in a third-world economy, all contribute to

the composite nature of attempts to evaluate their work performance. It would also be difficult to lay down hard and fast rules for the work performance of professional workers, such as academic personnel at tertiary educational institutions. It is suggested that a possible way to succeed with personnel evaluation for lecturing personnel would be to gain their full co-operation and solidarity with the aims and goals of the institution. This should be coupled to a commitment to excellence and efficiency in service rendering.

This researcher is presently planning a further research project on the subject researched here. The insights and experience gained with this study as well as the theoretical foundations particular hereto is viewed as a useful point of departure for continued research and study into the complex subject of personnel evaluation for lecturing personnel at tertiary educational institutions.

A final conclusion is that the evaluation of lecturing personnel at tertiary educational institutions has to be regarded as a serious matter in terms of existing theory and practice of public personnel administration. This conclusion should also apply mutatis mutandis to the Port Elizabeth Technikon.

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Liebenberg, A.J. 1992. Telephonic conversation with the Head, Department of Statistics, Port Elizabeth Technikon on the regulations regarding SANSO-documents for study programs at technikons.

Jefferey, H. 1992. Interview with the Associate Director, School of Mechanical Engineering, Port Elizabeth Technikon, on the criteria for personnel evaluation for lecturing personnel at tertiary educational institutions with specific reference to the Port Elizabeth Technikon.

Hilliard, V.G. 1992. Interview with the regional Departmental Head, Department of Public Administration, University of Vista, Port Elizabeth, on the particular characteristics of the PEROMNES personnel evaluation method.

ATTITUDE SURVEY

AMONG

RANDOMLY SELECTED

LECTURING PERSONNEL ON THREE POST LEVELS

AT THE PORT ELIZABETH TECHNIKON

ABOUT

PERSONNEL EVALUATION FOR LECTURING PERSONNEL  
AT THE PORT ELIZABETH TECHNIKON

AS PART OF A FORMAL ACADEMIC  
RESEARCH PROJECT

HOUDINGSOPNAME

ONDER

DOSERENDE PERSONEEL OP DRIE POSVLAKKE

BY DIE PORT ELIZABETHSE TECHNIKON

OOR

PERSONEELEVALUERING VIR DOSERENDE PERSONEEL  
BY DIE PORT ELIZABETHSE TECHNIKON

AS DEEL VAN 'N FORMELE AKADEMIESE  
NAVORSINGSPROJEK



30 September 1992

Dear Sir/Madam

PERSONNEL EVALUATION FOR LECTURING PERSONNEL AT THE PORT  
ELIZABETH TECHNIKON

You have been randomly selected for the completion of a questionnaire as part of a survey to determine attitudes among lecturing staff on three academic post levels at the Port Elizabeth Technikon. Your co-operation in the completion of the questionnaire will be most appreciated as the information thus obtained will assist the researcher to evaluate the present state of personnel evaluation for lecturing personnel at the Port Elizabeth Technikon.

The questionnaire has been prepared in such a way that it will require the minimum of time to complete. It must be stressed that your answers to the various questions will play an important role in the eventual outcome of the research.

All information will be treated as strictly confidential and it will be impossible to identify any individual on the strength of the results included in the final report.

The aim with this investigation is to develop a normative model for personnel evaluation for lecturing personnel at the Port Elizabeth Technikon and to submit the findings of the research, including recommendations, if any, to the Rectorate.

The investigation has been necessitated by the assumption that the personnel evaluation method presently in use for lecturing personnel at the Port Elizabeth Technikon does not meet with accepted requirements for such a method.

Another assumption is also applicable; that those subjected to the present method of personnel evaluation will derive certain benefits from the implementation, maintenance, and monitoring of an accepted method of personnel evaluation.

Thank you for your co-operation.

I.W. Ferreira  
Researcher.

30 September 1992

Geagte Meneer/Mevrou/Mejuffrou

PERSONEELEVALUERING VIR DOSERENDE PERSONEEL BY DIE PORT  
ELIZABETHSE TECHNIKON

U is per toevallige selektering gekies om 'n vraelys in te vul wat as deel van 'n opname om houdings onder doserende personeel op drie akademiese vlakke by die Port Elizabethse Technikon kan dien. U samewerking met die voltooiing van die vraelys sal hoog op prys gestel word aangesien die inligting sodoende ingewin as hulpmiddel vir die navorser sal dien om die huidige stand van personeelevaluering vir doserende personeel by die Port Elizabeth Technikon te toets.

Die vraelys is s6 opgestel dat dit die minimum tyd in beslag sal neem om om dit in te vul. Dit moet beklemtoon word dat u antwoorde op die verskillende vrae 'n deurslaggewende rol sal speel in die uiteindelijke uitslag van die navorsing.

Alle inligting sal as streng vertroulik beskou word en dit sal onmoontlik wees om enige individu ingevolge die resultate soos in die finale verslag vervat, te identifiseer.

Die doel met hierdie ondersoek is om 'n normatiewe model vir personeevaluering vir doserende personeel by die Port Elizabethse Technikon te ontwikkel en om die bevindinge en aanbevelings, indien enige, aan die Rektorat voor te lê.

Hierdie ondersoek is genoodsaak deur die aanname dat die personeevalueringmetode huidiglik in gebruik by die Port Elizabethse Technikon vir doserende personeel nie aan aanvaarbare vereistes vir so 'n metode voldoen nie.

'n Ander aanname geld ook met hierdie navorsing; dat diegene wat aan die huidige metode van personeevaluering onderworpe is, bepaalde voordeel sal trek uit die implementering, instandhouding, en beheer van 'n aanvaarbare metode van personeevaluering.

Dankie vir u samewerking.

I.W. Ferreira

Navorsers.

**SECTION A: PERTAINING TO YOUR PRESENT POST**

1. **What is your present post-level?**

- 1  Lecturer
- 2  Senior lecturer
- 3  Associate Director
- 4  Director

2. **Are you employed in:**

The Humanities?

3. **Are you employed in:**

Technology?

4. **Time - how long are you employed at a tertiary educational institution?**

\_\_\_\_\_ (years and months)

5. **How long have you occupied your present position?**

\_\_\_\_\_ (years and months)

## SECTION B: PERTAINING TO PERSONNEL EVALUATION

6. In your opinion, to what extent does the present method of personnel evaluation at the Port Elizabeth Technikon meet with the undermentioned proposed critical factors for an acceptable method for personnel evaluation for lecturing personnel?

(see explanation of terms attached)

Legend:

- 5 = agree strongly  
 4 = agree  
 3 = agree/disagree sometimes  
 2 = disagree  
 1 = disagree strongly

	CRITICAL FACTORS	5	4	3	2	1	0
1	Uniformity						
2	Fairness						
3	Remuneration component						
4	Communication channel						
5	Staff involvement						
6	Objectivity						
7	Legality						
8	Student evaluation						
9	Self evaluation						
10	Sufficient feedback						

7. To what extent would you prefer the undermentioned criteria to apply to a personnel evaluation method for lecturing personnel at the Port Elizabeth Technikon?

Legend:

- 5 = prefer strongly  
 4 = prefer  
 3 = prefer sometimes  
 2 = do not prefer  
 1 = do not prefer strongly

	CRITICAL FACTORS	5	4	3	2	1	0
1	Uniformity						
2	Fairness						
3	Remuneration component						
4	Communication channel						
5	Staff involvement						
6	Objectivity						
7	Legality						
8	Student evaluation						
9	Self evaluation						
10	Sufficient feedback						

8. What importance do you attach to the following proposed criteria for personnel evaluation for lecturing personnel at the Port Elizabeth Technikon?

- |    |   |   |   |   |   |   |
|----|---|---|---|---|---|---|
| 1  | 5 | 4 | 3 | 2 | 1 | Lecturing ability   |
| 2  | 5 | 4 | 3 | 2 | 1 | Research  |
| 3  | 5 | 4 | 3 | 2 | 1 | Publications  |
| 4  | 5 | 4 | 3 | 2 | 1 | Membership of departmental committees                         |
| 5  | 5 | 4 | 3 | 2 | 1 | Member of professional associations                           |
| 6  | 5 | 4 | 3 | 2 | 1 | Orientation to community service                              |
| 7  | 5 | 4 | 3 | 2 | 1 | Consultation and patenting                                    |
| 8  | 5 | 4 | 3 | 2 | 1 | Study- and career help for students and post diploma students |
| 9  | 5 | 4 | 3 | 2 | 1 | Human relations   |
| 10 | 5 | 4 | 3 | 2 | 1 | Marketing technikon courses                                   |

legend -

5 = very important

4 = important

3 = of some importance

2 = not very important

1 = of no importance



11 

5	4	3	2	1
---	---	---	---	---

 Public credibility

12 

5	4	3	2	1
---	---	---	---	---

 Administration

13 

5	4	3	2	1
---	---	---	---	---

 Qualifications

14 

5	4	3	2	1
---	---	---	---	---

 Liaison with outside individuals and institutions

15 

5	4	3	2	1
---	---	---	---	---

 Other criteria as suggested by you  
(please specify)

10. Your comments on personnel evaluation for lecturing personnel at the Port Elizabeth Technikon:

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Thank you for your assistance.

**EXPLANATION OF CRITICAL FACTORS****Uniformity -**

Every lecturer must be subjected to identical evaluation criteria.

**Fairness -**

Evaluators should be fair and reasonable in their evaluations of different employees.

**Remuneration component -**

Implies that above average work performance should be rewarded.

**Communication channel -**

The personnel evaluation method should serve as a communication opportunity between lecturer and supervisor.

**Staff involvement -**

Lecturing personnel should be allowed access to new methods of personnel evaluation **before** implementation.

**Objectivity -**

The evaluator should strive to maintain a high degree of objectivity (without personal bias) during the evaluation process.

**Legality -**

The personnel evaluation method should not contravene common law principles, for instance the **audi alteram partem** rule (listen to the other side)

**Student evaluation -**

The opinion of students could serve as an aid to the lecturer to evaluate his lecturing style in terms of his/her acceptability by students.

**Self evaluation -**

This implies that a category should exist where the lecturer could evaluate him or herself in support of the supervisor's evaluation.

**Sufficient feedback -**

Is the lecturer always notified of the results of the evaluation, as well as being given the opportunity to dispute negative remarks and judgements, and informed of what could be done to reduce or eliminate possible shortcomings?

23/10/1992


Geagte Dosent/Senior dosent/Mede-direkteur - Dear Lecturer/Senior lecturer/Associate director

Onlangs het u 'n vraelys oor personeeëvaluering van akademiese personeel by die Port Elizabethse Technikon ontvang.

U samewerking om die vraelys in te vul en so gou moontlik aan my terug te besorg, sal hoog op prys gestel word.

As u reeds die vraelys teruggestuur het, ignoreer asseblief hierdie versoek.

Baie dankie vir u vriendelike samewerking.



I.W. Ferreira  
Skool vir Bemaking

Recently you received a questionnaire on personnel evaluation for academic personnel at the Port Elizabeth Technikon.

It will be appreciated if you would complete and return the questionnaire as soon as circumstances permit.

If you have already returned the questionnaire, please ignore this request.

Thanks very much for your friendly co-operation.

School of Marketing

23/10/1992

Geagte Dosent/Senior dosent/Mede-direkteur - Dear Lecturer/Senior lecturer/Associate director

Onlangs het u 'n vraelys oor personeelevaluering van akademiese personeel by die Port Elizabethse Technikon ontvang.

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Baie dankie vir u vriendelike samewerking.

Thanks very much for your friendly co-operation.



I.W. Ferreira  
Skool vir Bemarking

School of Marketing

30/10/92

NS Volgens die statistikus is 'n responsietempo van meer as 70% nodig om sinvolheid aan die afleidings te kan verleen. U bydrae is dus belangrik, en hoogs gewaardeerd.

Ek kan u werklik van die anonimiteit van die vraelyshantering verseker.

Die potloodgeskrewe kode bo-aan die regterhoek van die voorblad is slegs vir my kontroledoeleindes om vas te kan stel watter personeellid nog nie die vorm ingedien het nie. Na terugontvangs word die boblad afgeskeur en dan is die enigste identifiseringsmeganisme die posvlak, wat met 'n navorsingspopulasie van 215 moeilik met die betrokke personeellid in verband gebring sal kan word.

Ons kan almal baat vind met die ontwikkeling van 'n aanvaarbare personeelevalueringstelsel. U bydrae kan net daartoe bydra dat die bes moontlike metode vir ons technikon ontwerp word.

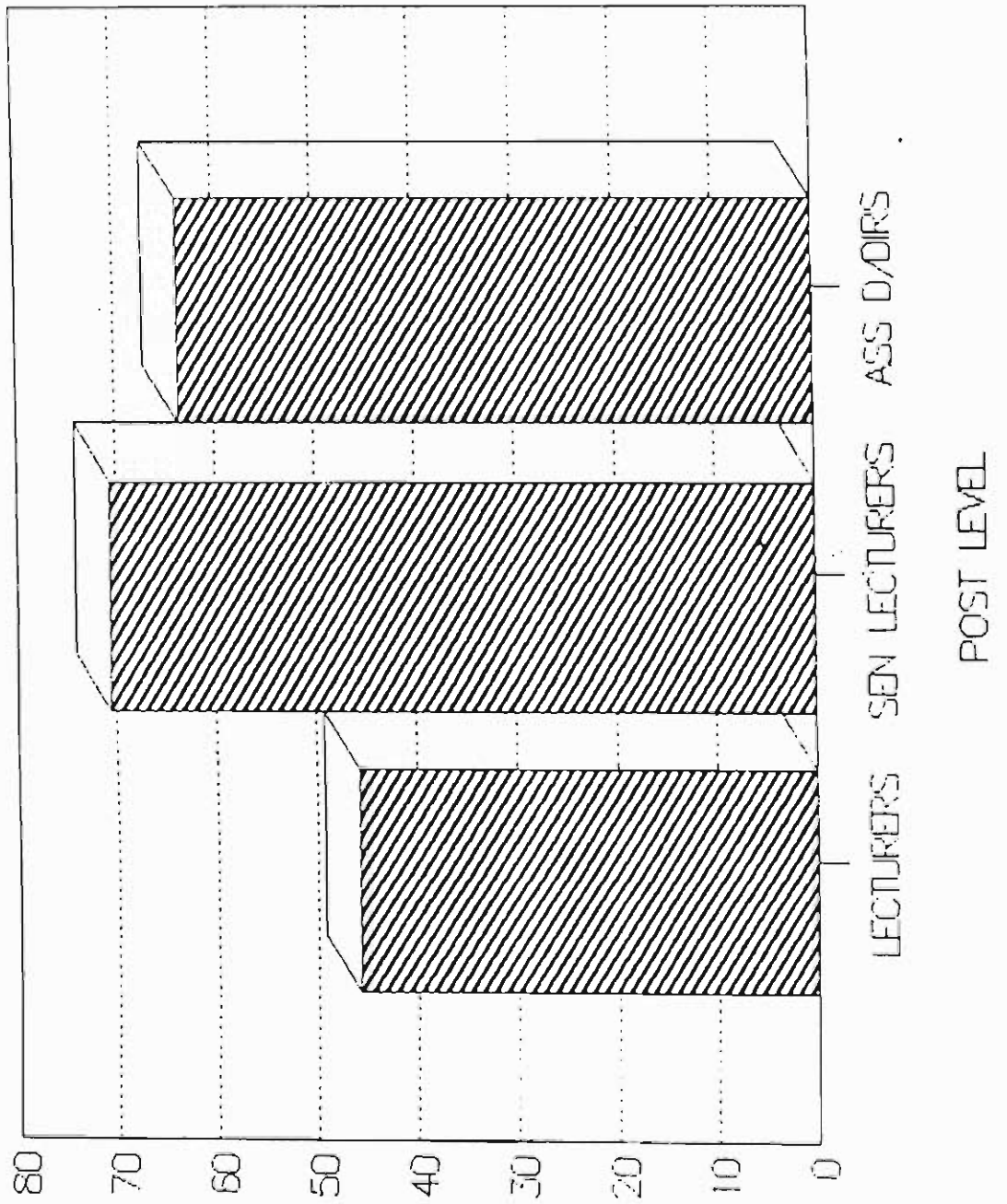
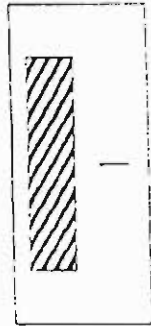
PS According to the statistician a response rate of at least 70% would be necessary to enable the researcher to make useful inferences. Your contribution is therefore important, and highly appreciated.

I can assure you of the anonymity of the handling of the questionnaire. The pencilled code in the top right hand corner of the front page of the questionnaire is only for my control function to enable me to see which employee has not yet submitted a questionnaire. After receipt of the questionnaire the front page is removed and then the only indentifying mechanism will be the post level, which, with a research population of 215, will be difficult to relate to a particular staff member.

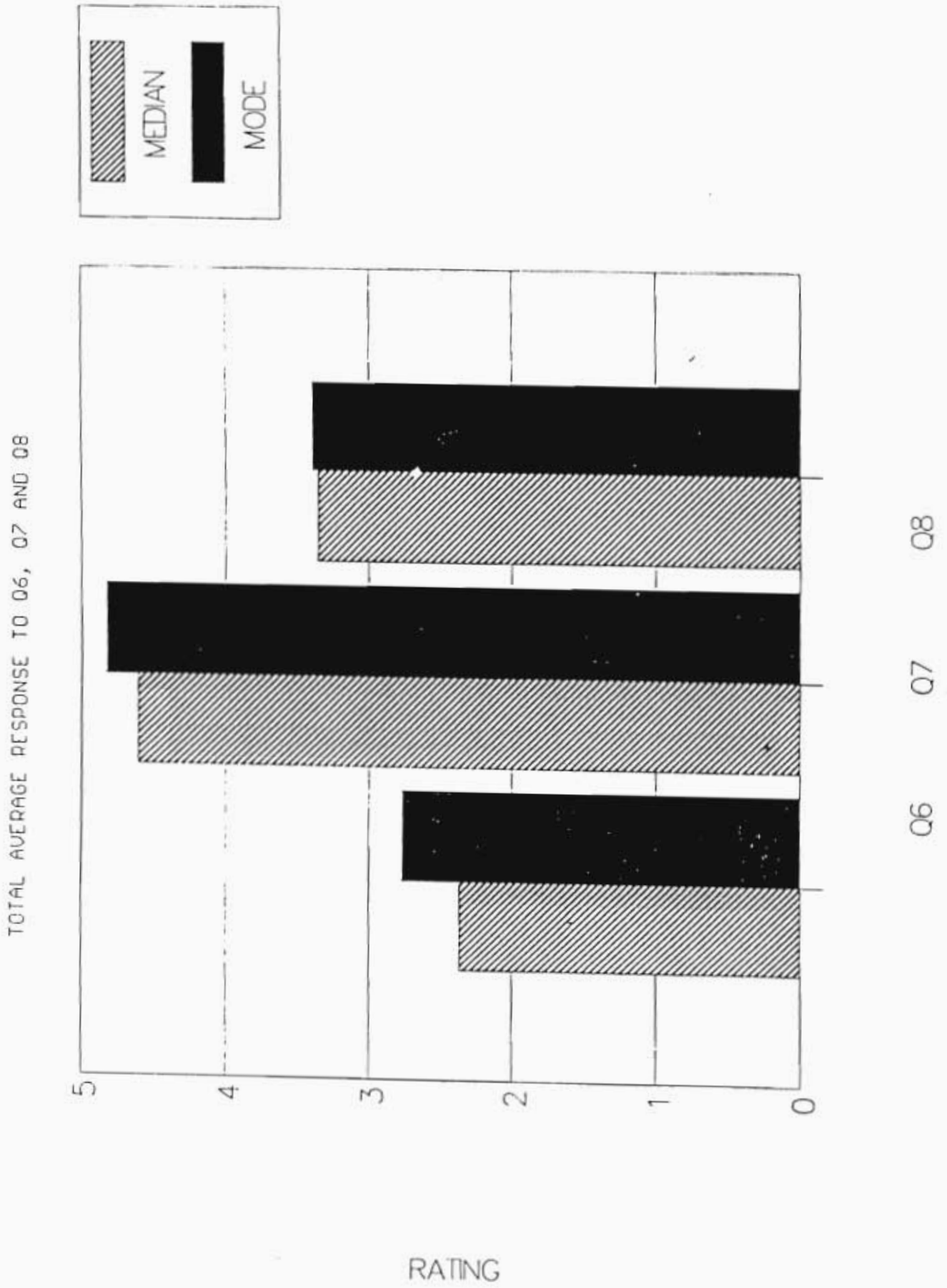
We will all gain with the development of an acceptable personnel evaluation method. Your

APPENDICE B

OVERALL RESPONSE PERCENTAGES



## APPENDICE C



## APPENDICE D

## NUMBER OF RESPONDENTS PER POST CATEGORY AND PER SECTION

	Nr of quest/on- naires <b>distrib-</b> <b>uted</b>			Nr of question- naires <b>returned</b>			Average total percentage response		
	Human ities	Tech- nolo- gy	Tot- al	Human ities	Tech- nolo- gy	Tot- al	Human ities	Tech- nolo- gy	Tot- al
C1	45	75	120	24	31	55	53,3	41,33	45.8
C2	21	30	51	18	18	36	86,0	50,0	70.6
C3	19	25	44	13	15	28	68,42	60,0	63.6
TO	85	130	215	55	64	119			
Grand average total % response >							69,24	50,44	60.0

**LEGEND -**

LECTURER

= C 1 (CATEGORY 1)

SENIOR LECTURER

= C 2 (CATEGORY 2)

ASSOCIATE DIRECTOR/DIRECTOR

= C 3 (CATEGORY 3)

TOTALS

= TO (TOTALS)



**APPENDICE E****EXPLANATION OF TERMS****Normative model for personnel evaluation -**

A model that expounds certain norms, or standards, with which any existing or proposed personnel evaluation method could be compared in order to determine its degree of compliance with the requirements of the model.

**Personnel evaluation -**

A process of arriving at judgements about an individual's past or present performance against the background of his/her work environment and about his/her future potential for an organisation (Castetter, 1986:318). Personnel evaluation would also serve, for the purposes of this study, as a feedback vehicle for the evaluatee in order to become aware of his/her status with management in terms of his/her acceptability as a valued member of the personnel corps, which would also imply a specific system of rewards.

**Lecturing personnel -**

Those staff members that are engaged in educating adults on a post-matric educational level in terms of various predetermined study programmes.

**Tertiary educational institutions -**

For the purposes of this study, tertiary educational institutions are defined as institutions that specialise in educating adults on a post-matric educational level in various predetermined educational programmes, such as technikons and universities.

**Public administration - (the practice)**

Bailey's quartet of theories, as formulated into a workable definition of the concept public administration by Henry (1989:20), is accepted as a point of departure for this research -

Public administration includes -

1. Organisational behaviour and the behaviour of people in public organisations;
2. The technology of management and the institutions of policy implementation; and
3. The public interest as it relates to individual ethical choice and public affairs.