

UNIVERSITY OF CAPE COAST

THE RELEVANCE AND EFFECTIVENESS OF EMPLOYEE PERFORMANCE
APPRAISAL AT QUALITY CONTROL DIVISION OF COCOBOD

BY

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DECLARATION

Candidate's declaration

This dissertation is the result of my own original work and that no part of it has been presented for another degree in this university or elsewhere.

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Supervisor's declaration

I hereby declare that the preparation and presentation of the dissertation were supervised in accordance with the guidelines on supervision of dissertation laid down by the University of Cape Coast.

Supervisor's Signature: *[Signature]* Date..... *Nov. 14, 2008*
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ABSTARCT

Managers of public, private, civil or non-governmental organisations cannot ignore the importance of developing their human resource to acquire the essential skills, knowledge and desired attitudes needed for timely delivery of appropriate actions to achieve corporate goals. It is no doubt that the effective tool to measure or evaluate performance of individuals, teams and organisations is the Performance Appraisal technique. The question, however, is how relevant and effective is this tool being used.

This study, therefore, critically examines the relevance, effectiveness, and the procedures of the performance appraisal system in Quality Control Division (QCD) of COCOBOD in order to identify its strengths and weaknesses, and make suggestions for best practice.

The findings show that the performance appraisal system in QCD is fraught with imperfections rendering it almost ineffective. Apart from promotion and pay-raise, data generated through the system is usually not used for any other administrative and human resource development decisions. Targets are set anyhow and are not communicated to staff, performance appraisal criteria are unclear, resulting in subjective measurements, and there is lack of effective monitoring and feedback or appraisal interviews.

If QCD is to develop and grow to gain competitive advantage over her competitors and would-be competitors, then management has the responsibility to be committed to the system, organise systematic training of all appraisers, set targets and identify key results areas of all jobs within the organisation, and observe the best practices of performance appraisal in order to meet the growing millennium challenges of the 21st Century.

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DEDICATION

To my wife, Felicia and children: Gideon, Ruth and George.

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LIST OF ACRONYMS AND ABBREVIATIONS

COCOBOD	-	Ghana Cocoa Board
CRIG	-	Cocoa Research Institute of Ghana
CSSVDCU	-	Cocoa Swollen Shoot Virus Disease Control Unit
Freq.	-	Frequency
GCE 'A' L.	-	General certificate of education – Advance level
GCE 'O' L.	-	General certificate of education – Ordinary level
HR	-	Human resource
HRD	-	Human resource development
MBO	-	Management by objectives
M.S.L.C.	-	Middle school leaving certificate
PNDCL	-	Provisional National Defence Council Law
QCD	-	Quality Control Division
SMART	-	Specific, measurable, achievable, realistic and time bound

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CHAPTER ONE

INTRODUCTION

Background of the study

One of the controversial parts of a human resource programme is the means by which an organisation undertakes to appraise the performance and potential of its workers. This controversy led Hayden (1973) to write that, employee performance is a much maligned management function. Blunt and Popoola (1990:107), in their book "Personnel Management in Africa", emphasize that not much has been done on performance appraisal in Africa. Indeed, they argue that for the better part of the century, it has been widely agreed that performance measurement has been one of the most serious and persistent difficulties in industrial psychological research.

In fact, most of the views expressed in personnel and management literature have given ample descriptions of the weaknesses and problems of appraisal systems. Under these circumstances, it is not at all surprising that supervisors find employee appraisal one of their most difficult and dreaded tasks; or that employees view the process with apprehension. One difficulty is the face-to-face situation of the appraisal interview, where the appraiser sits down with the appraisee and reviews his or her performance. It is needless to comment that although most organisations have instituted

the performance appraisal system, most of them often find themselves in situations where no one is quite sure as to what is being measured (Sokolick, 1967) and what the information would be used for.

In view of this, most organisations – both public and private, are gradually reviewing their performance appraisal systems to become more objective in measurement and more purposeful. According to Nkrumah (1991), the annual confidential reporting system has lacked confidence; no one being certain of its uses and benefits. This work will examine what performance measurement system has been put in place in one of the most important organisations in the cocoa industry, that is, Quality Control Division of the Ghana Cocoa Board.

Brief history of Ghana Cocoa Board (COCOBOD)

The Ghana Cocoa Board (COCOBOD) was established by Ordinance in 1947. The Ghana Cocoa Board Law, 1984 (PNDCL 81) guides the operations of the Board. A Board of Directors appointed by the Government governs COCOBOD. Ministerial responsibility for cocoa has since 1996 been exercised by the Minister of Finance. The Chief Executive is the administrative head and has the responsibility for the day-to-day running of the Board. He is assisted by Deputy Chief Executives and Departmental Directors.

The mission of Ghana Cocoa Board is to promote and support the production, processing and marketing of high quality cocoa, coffee and sheanuts in the most efficient manner, maintain the best industrial relations

with her workers and develop its human resources. The major objectives of the Board are to:

- i. encourage the production of cocoa, coffee and sheanuts;
- ii. initiate programmes aimed at controlling pests and diseases of cocoa, coffee and sheanuts;
- iii. undertake and encourage the processing of cocoa, coffee, sheanuts and cocoa waste, with the aim of adding value for export and local consumption;
- iv. undertake, promote and encourage scientific research aimed at improving the quality and yield of cocoa, coffee and sheanuts and other tropical crops;
- v. regulate the marketing of cocoa, coffee and sheanuts.

In order to achieve its objectives and perform its functions effectively, the Ghana Cocoa Board apart from its Head Office has a subsidiary company and four (4) operational divisions. The Cocoa Marketing Company (Ghana) Limited is the subsidiary organ of the Board, while the divisions are made up of the following:

1. Quality Control Division (QCD)
2. Cocoa Research Institute of Ghana (CRIG)
3. Cocoa Swollen Shoot Virus Disease Control Unit (CSSVDCU)
4. Seed Production Unit (SPU)

But as already stated this study focuses on Quality Control Division (QCD). QCD was chosen for the study because the researcher happens to work with the organisation. The selection was therefore purposive and

was for convenience, in view of the time frame for the completion of the research.

Quality Control Division (QCD) is a division of the Ghana Cocoa Board (COCOBOD). The Division is a merger of two units - the Infestation Control Department of COCOBOD and Produce Inspection Division, formerly of the Ministry of Agriculture that became a subsidiary of the Board in October 1972. In 1991, as a consequence of the restructuring of COCOBOD, the two units were merged, forming a new division and named Quality Control Division (QCD).

The policy of the division is to ensure that all exportable agricultural produce that the Board handles is of standard quality. The Division therefore provides facilities for the inspection, grading and sealing of cocoa, coffee and sheanuts for export. It also ensures that graded cocoa is properly stored, disinfested and fumigated to maintain its quality (QCD Handbook, 2002).

The Executive Director and the Deputy Executive Director administer the Division on day-to-day basis. Policy matters are however, handled by a Management Committee composed of professionals, agriculturalists and eminent people.

There are Heads of departments for Human Resource, Accounting, Field operations, Research/Laboratory and Audit who assist the Executive Director in their specialized fields. Figure 1 depicts the structure of the organisation.

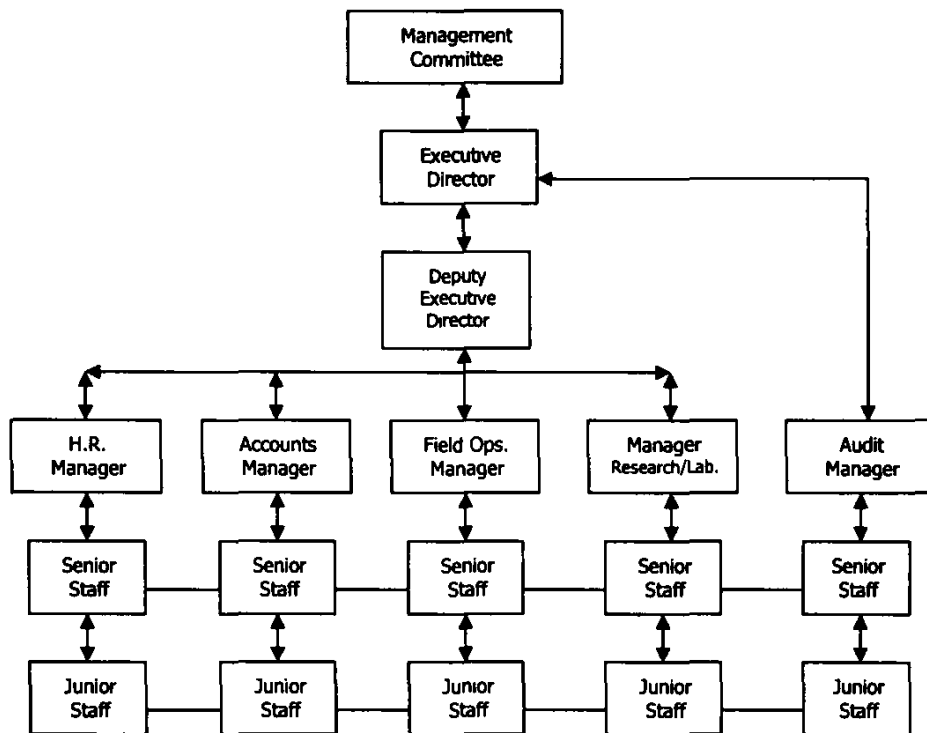


Figure 1: Organisational structure of Quality Control Division (QCD)

Source: QCD Handbook 2002:32

The Division operates in 74 Operational Districts within seven cocoa growing regions where inspection, grading and sealing activities are performed. The seven cocoa growing regions are Eastern, Ashanti, Brong Ahafo, Western (North), Western (South), Central and Volta regions. A senior officer heads each operational district. For infestation control activities, the Division, hitherto, had eighteen (18) "Disinfestation Zones" within which trained pest control staff operate from strategic locations, including the Ports, regional capitals and a few district centres. For effectiveness, these disinfestation zones have now been dissolved and the staff distributed among the 74 operational districts.

Statement of the problem

The performance measurement system in COCOBOD is fraught with technical inaccuracies because no clear standards have been established for objective performance measurement. As a result, it has become an annual ritual and had lost its significance in addressing issues of human resource development and rewards. Staff are always unhappy to see colleagues with lesser length of service being rewarded over them. Instead of promoting competition for excellence, staff are becoming demotivated, thereby affecting improved performance.

These challenges in performance measurement system at Quality Control Division have led to the interest for a vigorous quest for appropriate means of performance appraisal system, thereby recognizing the importance of performance appraisal as a tool to developing employees and their potentials.

Randell (1994) has stated that employee appraisal can be seen as the formal process for collecting vital information from and about the staff of an organisation for decision making purpose. The results of performance appraisal also have a significant impact on other human resource processes, in that, they can provide useful data about the quality of the organisation's recruiting, selection, orientation, and training and development processes (Wendell, 1986). One therefore wonders whether the appraisal system in Quality Control Division solicits appropriate data for effective decision making.

After their study on African and Ghanaian organisations, Blunt and Popoola (1990) observed that the application of performance appraisal

system in Ghana and other developing countries in Africa has been fraught with problems, which render it ineffective.

COCOBOD has a unified performance appraisal system, which is used by all its divisions and subsidiary, but one wonders if it has been effective. It is known that employees are not involved in the entire process and it is also alleged that there is lack of dedication and commitment to work. There is therefore the need for a complete overhaul of the performance appraisal system to result in continuous awareness and improvement to make the system stand the test of time. This can be done by comparing it analytically with best practice as found in the literature.

Objectives of the study

The general objective of the study therefore, analysed the relevance and effectiveness of employee performance appraisal system at the Quality Control Division (QCD) of Ghana Cocoa Board (COCOBOD). Specifically, the study:

1. examined the effectiveness of the performance appraisal system at the Quality Control Division (QCD);
2. analysed the performance appraisal forms to confirm or otherwise, its suitability for effective performance measurement;
3. established the extent to which performance appraisal data were used;
4. explained how the performance appraisal system helped in human resource development decisions; and

5. suggested ways to improve upon the performance management system in QCD of COCOBOD.

Research questions

The following research questions were addressed during the study:

1. How effective was the performance appraisal system at QCD?
2. How suitable were the performance appraisal forms in measuring performance?
3. What appraisal data were used for?
4. How helpful was the performance appraisal system in human resource development.

Organisation of the study

The report on the study is presented in five broad chapters. Chapter one introduces the background of the study and includes a brief on the profile of the Quality Control Division (QCD) of Ghana Cocoa Board (COCOBOD). Chapter two is on literature review and conceptual framework, and the Propositional Statement examined by the study. Chapter three describes and explains the methodology adopted for the study, while chapter four presents analyses of data collected, and discussions of the results in relation to the literature review. The last chapter, chapter five, contains summary of findings, conclusions drawn based on findings and observations of the system. Recommendations and suggestions are also offered in the chapter to improve the performance appraisal system at the QCD of COCOBOD.

CHAPTER TWO

LITERATURE REVIEW AND CONCEPTUAL FRAMEWORK

Introduction

This chapter reviews the literature as set out in the conceptual orientation and background of the study outlined in chapter one. The first part of it focuses on theories and explanations of the Human Resource Development (HRD) concept. The second part reviews the concept of performance, performance appraisal and emerging issues in performance management, the practices and uses of performance appraisal data for effective human resource development. The chapter will end by examining some empirical studies, which are relevant to integrating performance appraisal and human resource development.

Human resource of any organisation is the most costly resource that must be properly and systematically controlled, maintained and motivated for effectiveness and efficiency. To be able to assess the contribution of employees, there is the need for a carefully thought-out formalised system of appraisal, which should inform the employee about his/her level of contribution, strengths and weaknesses, capabilities, etc.

The event, which is referred to as feedback, is a part of our lives, and we receive it frequently from friends, family, co-workers, strangers, clients, etc. Feedback can be formal or informal, positive or negative,

helpful or hurtful, advisory or critical. Good, honest, well-expressed and specific feedback is a *sine qua non* for our development, and very much so at the workplace.

Two traditional areas where feedback is in use in any business set-up are for human resource (employee) development and employee performance appraisal. Performance appraisal, in this context, involves the formal objective evaluation of jobholders' knowledge, skills, abilities and competencies, "... traits, behaviours and accomplishments as a basis for making important human resource decisions" and development plans (Kreitner and Kinicki 2004:358). The rationale for using performance appraisal is to maximize productivity by identifying and improving on the strengths of employees and remedying their weaknesses and shortcomings.

Human resource development

An organisation's success is determined as much by the skills and motivation of its employees, as by almost any other factor. While this has always been true, the pace and volume of modern change is now focusing attention on ways human resource development (HRD) activities can be used to ensure that employees have what it takes to successfully meet the challenges that they face.

The challenges many organisations face are complex, and new dimensions, such as an increasingly diverse workforce, make it more difficult to ensure that human resource development (HRD) efforts succeed. Unless those responsible for training and development make informed choices about the content and methods of delivering the

developmental experience, the results of many HRD efforts may fail to meet expectations (DeSimone and Harris, 1998).

There is no consensus on the definition of HRD, with each authority of the subject taking a different stance. Nadler and Nadler (1989) posit that HRD is an organised learning experience provided for employees within a specified period of time to bring about the possibility of performance improvement and/or personal growth. DeSimone and Harris (1998) are of the view that the challenges many organisations face are complex, and new dimensions, such as an increasingly diverse workforce, make it more difficult to ensure HRD efforts will succeed. They contend that unless those responsible for training and development make informed choices about the content and methods of delivering the developmental experience, the results of many HRD efforts may fail to meet expectations.

In recent years the awareness of this need has prompted scholars to put across a rich and growing base of theory, research and practical experience in HRD efforts. There is therefore the need for HRD practitioners and managers in general, at all levels to take advantage of this knowledge and experience to develop the human resources (HRs) in their organisations for effectiveness, both at the individual and organisational levels. It may imply that for any organisation to succeed, the basic question one may ask about resources is who, and not just what, adds value to an activity. In deed, the appropriate new meaning for HRD should be developing human potential for efficient and effective performance. It is no longer about the use of human resources in a mechanical and heartless

way, but about seeing people as a resource that constitute the most important source of help to others.

For the purpose of this study, the definitions of HRD as given by DeSimone and Harris (1998) as well as Gilley and Egglund (1989) will be adopted. DeSimone and Harris (1998:2) define human resource development (HRD) as a set of systematic and planned activities designed by an organisation to provide its members with the necessary skills to meet current and future job demands. (Gilley and Maycunich, 2000), cited in Gilley, Egglund and Gilley, (2002:6) also define HRD as the process of facilitating organisational learning, performance, and change through organised formal and informal interventions, initiatives and management actions for the purpose of enhancing an organisation's performance capacity, capability, competitive readiness, and renewal.

In this respect, HRD basically, is a business-led approach. It is used to develop people within a strategic framework. It is business-led because it is geared towards increasing efficiency and productivity, which can effectively be measured using the performance appraisal system. The performance appraisal system may provide data that could prescribe interventions in adopting deliberate efforts to develop knowledge, skills, attitudes and competencies – an investment in an employee. It is also responsive to the business needs of the organisation. It is strategic because it takes a broad and long-term view about how HRD strategies can support the achievement of goals and strategies of the organisation (HRD Lecture Notes, 2004 and DeSimone and Harris, 1998:6).

The most basic aim of HRD is to produce a coherent and comprehensive framework for developing people, which may differ from organisation to organisation. It therefore demands that the organisation should aspire to hire quality employees that it needs for the attainment of its goals of improved performance and growth. Secondly, it behoves on everyone in the organisation to possess the knowledge and skills and continue to acquire the level of competence required to work effectively. The implication is that individual performance and performance of teams is subject to continuous improvement. In order to achieve the aim of HRD, therefore, people must be developed in a way that maximizes their potential for growth and promotion.

The development components

There are several components of development, and the usage largely depends on the focus to which the term is conceptually viewed. For the purpose of this dissertation, in examining the term 'development' two questions would be addressed. (1) what is meant by the term "development of people"? and (2) what type of development really occurs within an organisation? (Gilley and Egglund, 1989, cited in Gilley, Egglund and Gilley, 2002).

According to Gilley (1989), cited in Gilley, Egglund and Gilley, 2002, development of people refers to the advancement of knowledge, skills, competencies, and the improved behaviour of people within the organisation for both their personal and professional use. This reflects on the individual (individual development). It also reflects a philosophical

commitment to the professional advancement of people within the organisation (career development). Finally, development of people within an organisation is directed at performance improvement in order that the organisation can benefit in terms of greater organisational efficiency, more effective competitive practices, and greater profitability (organisational development). According to Gilley (1989), cited in Gilley, Eggland and Gilley, 2002, these are the three components of HRD. According to him, development, whether individual or organisational, cannot occur unless people participate in activities designed to introduce new knowledge and skills and to improve behaviours. Simply stated, HRD refers to the learning and to the activities that bring about desired change. From the employee perspective therefore, Armstrong (1977:491), states that the term 'Development' is 'concerned with providing learning and development opportunities, making interventions and planning, conducting and evaluating training programs'. (cited in DeSimone and Harris, 1998). According to him, the overall aim of employee development is to ensure that the organisation has the quality of people needed to attain its goals for improved performance.

From the organisational perspective, however, it is not enough to simply increase the knowledge, skills, and competencies of employees and improve their behaviours. These organisational efforts must result in performance improvement that will enhance the organisation's competitiveness and efficiency. Performance improvement, therefore, is the ultimate goal of HRD.

Performance concept

Performance refers to the degree of accomplishment of tasks that make up an employee's job. It reflects how well an individual is fulfilling the requirements of a job (Byars and Rue, 1994). According to Cascio (1995), performance refers to an employee's successful and timely accomplishment of assigned tasks and it is measured in terms of results/outcomes and not effort expended. Job performance therefore, in a given situation, can be determined by the net effect of an employee's effort modified by abilities and role (or tasks) perceptions. This implies that the interrelationships among effort, ability and role perception determine performance in a given situation (Byars and Rue, 1994:289). They explain effort to mean the amount of energy (physical and/or mental) used by an individual in performing a task; abilities to refer to individual personal characteristics needed in performing a job; and role (task) perceptions being the activities and behaviours that employees and employers alike, believe are necessary in the performance of jobs.

Of course, performance will be high and acceptable if common potential obstacles, which may include inadequate work facilities and equipment, restrictive policies that affect the job, lack of co-operation from others, poor supervision, inappropriate plant layout, etc. are adequately addressed (Byars and Rue, 1994). The implication for management is that an individual's performance may be influenced by the abilities (skills and aptitudes), role perceptions and other factors beyond the control of the individual employee. Hence, performance should be viewed as the interrelationship among these factors. The principle above is confirmed in

the COCOBOD Performance Management Manual (June, 2005:1) where it emphasises that there is no one right way of managing performance: the approach must depend on the context of the organisation – its culture, structure, technology – the views of stakeholders and the type of people involved.

The most important human resource outcome is the contribution employees make to the achievement of the objectives of the organisation. Such contribution is what is referred to as performance. To know how employees are performing on their tasks therefore calls for appraisal. Thus, performance appraisal is an important means of identifying the strengths and weaknesses of employees so that appropriate decisions can be taken. If an employee is set in the context of employee development and advancement, it becomes an objective means of exchanging information between the appraiser and the appraisee.

The primary purpose of performance appraisal, therefore, is to improve on the current job performance of the person being appraised. In addition, performance appraisal is supposed to generate adequate information for human resource planning and development, and improve communication and understanding between the individuals concerned.

The concept of performance appraisal therefore needs to be discussed thoroughly to inform and educate appraisers and appraisees, as well as, managements for them to appreciate its importance and use.

The performance appraisal concept

Different authors define concepts of performance appraisal from their outlook and therefore tend to lay emphasis on what they deem to be crucial and worth considering. A close look at the literature reveals several definitions of performance appraisal. In some cases performance appraisal has been used synonymously with performance/employee evaluation, performance assessment, personnel appraisal, personnel/performance review, progress report, results appraisal and merit rating, among others.

Beach (1980) for example, defines performance appraisal as the systematic evaluation of individuals with respect to their job performance and potential for development. Other authors see performance appraisal as the process for defined purpose, that involves the systematic measurement of individual differences in employees' performance on their job, the process of determining how well employees do their jobs compared with a set of standards and communicating that information to the employees, the process of determining and communicating to an employee how he or she is performing on the job and, ideally, establishing a plan of improvement. (Kavangah, 1987; Byars and Rue, 1994; Mathis and Jackson, 2000),

For the purpose of this study, definitions of Beach (1980) and Byars & Rue (1994) are adopted based on their emphasis on performance measurement and employee development, into a working definition. Performance appraisal therefore, is the systematic evaluation of employees' job performance, determining and communicating their levels

of performance to them, identifying their potentials for development, and establishing appropriate plans for their improvement.

The definitions bring out the crucial features of performance appraisal, even though each of the authors defines it the way he sees it. From the definitions, it can be deduced that performance appraisal is a process, which is systematic and measurement oriented. It also communicates and it is purposeful as well.

Performance appraisal involves several processes, no matter the orientation of the appraiser. In the first place there must be a set of realistic standards that must be achievable, followed by the judgmental process of the appraiser who must choose specific criteria and the way to measure those standards. The third stage within the process is the completion of the appraisal form, where the appraiser goes through an objective process based on observations of the employee's behaviour, personal feelings about the employee, and knowledge and evaluation of the employee's job performance. These three indicators, according to Kavangah (1987) are inter-related and therefore, the objective process involved in performance appraisal must consider these components. It is important to highlight the features of any formal appraisal system as follows:

It must be systematic or orderly. The systematic features of a well-defined performance appraisal programme ensure that information on the job effectiveness on all employees is available to the manager to aid in personnel and administrative decisions.

It must be measurable and must be based on standards set. Notwithstanding the systematic manner of collection of information on employees' job performance, if the evaluation programme does not meet the criteria established for valid measurement, the results become quite useless (American Society for Personnel Administration, 1973).

It must also involve inter-personal relationships. This interaction occurs during the performance interview between supervisors and subordinates. In communicating the results of a job performance appraisal to an employee, the supervisor is highly sensitive and emotionally charged, which calls for extremely good inter-personal skills. According to Mavis (1994) in her article entitled "Painless Performance Evaluation", she concluded that most managers shrink from their most important task of managing the performance of others.

Finally, an appraisal system should be purposeful. In other words, the process involved in performance appraisal should be in harmony with management's goals and objectives. For example, with the rapid changes in the business environment these days, it would not be out of place to discuss the personal growth and development of an employee during a performance interview when the primary purpose for the appraisal is to determine promotions and/or merit increases even though the literature reviewed do not prescribe that.

Policy makers and managers should therefore view performance appraisal as a managerial function critical to the success and development of their organisations, especially, focusing on individuals, teams and departments that make up the organisation.

The performance appraisal function

The definitions and processes of performance appraisal discussed above lead to discussions of its intrinsic function. We can say in this respect that performance appraisal programmes are among the most helpful tools an organisation can use to develop its human resources in order to maintain and enhance productivity to gain competitive edge over competitors. Of course, performance appraisals take place in every organisation whether there is a formal programme or not.

Managers are constantly observing the ways their employees carry out their assignments and thereby forming impressions about the relative worth of these employees to the organisation. Most organisations, however, do seem to use a formal programme. In a study of 324 organisations in the US, Locher and Teel (1988) note that 94 per cent reported having such a programme - a clear indication that performance appraisal is a potentially valuable tool for assessing performance.

However, Aborah-Boateng (1997) notes that apart from studies by Gould (1980) in Zaire; Aina (1982) in Nigeria; Price (1985) in Ghana; Blunt and Popoola (1990) in their book "Personnel Management in Africa" posit that not much has been done on performance appraisal in Africa. Most of the studies reported in the literature were done in the Western world. With the world now a global village, and the fact that Ghana, particularly, is putting much emphasis on the private sector as the engine of growth, western management concepts have become relevant to our situation.

We may now hazard the suggestion that the success or failure of a performance appraisal programme may depend on the ultimate objective underlying it and the attitudes and skills of those responsible for its administration. Many different methods can be used to gather information about employee performance. However, gathering information is only the first step in the appraisal process. The information must then be evaluated in the context of organisational philosophy, culture, and needs, which must be communicated to employees. Thereafter, develop and offer appropriate training programmes, which may result in high levels of performance and development.

Methods of appraisal

As a follow-up from the previous section, the question is: How is an employee's performance evaluated? In the literature, most of the authors like: Wright and Noe (1995:444); Sherman et al (1996:315-326); and Mathis and Jackson (2000:392-396) have almost the same specific techniques for evaluation and the major performance evaluation methods. The authors generally categorize the number of methods basically into four main groups.

The authors, in consensus, describe performance review as the process of using different ways to measure employees' performance such as comparing an employee with his or her peers or to measure employees' attitudes, behaviours or results achieved within a given period. The methods of measuring performance criteria have been summarized in Figure 2.

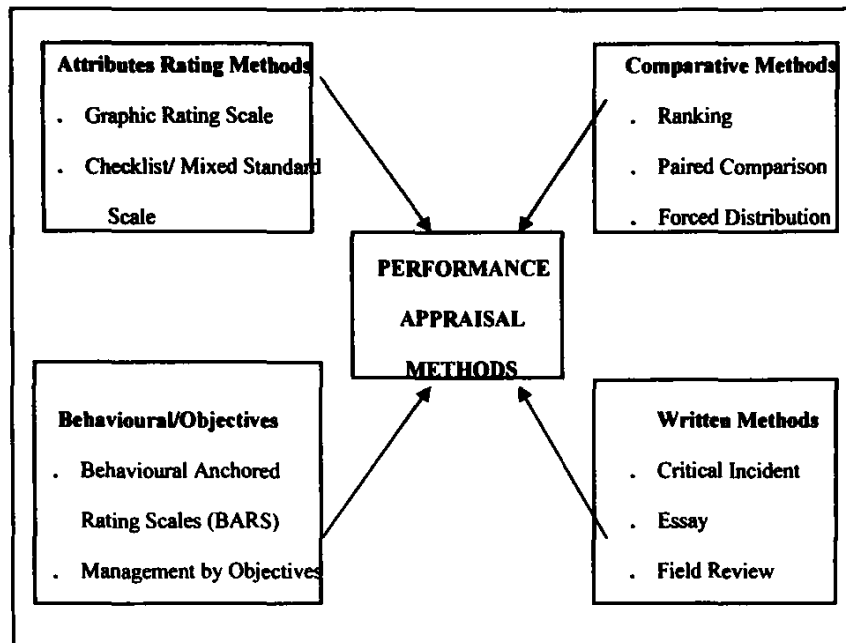


Figure 2: Performance appraisal methods

Source: Sherman et al (1995); Wright and Noe (1995); Mathis and Jackson (2000).

❖ **Attributes rating methods**

This is the simplest method for appraising performance. An appraiser is expected to rate an employee's level of performance on a specific form. Under this method we have the Graphic Rating Scale and the Checklist/Mixed Standard Scale. The Graphic Rating Scale is a measurement instrument that specifies performance factors (traits), such as quantity and quality of work, co-operation, honesty, initiative, attendance etc. rated on a continuum (example, from 1 – 5). The appraiser identifies the point along the continuum that signifies the level of trait the employee possesses. Checklist/Mixed Standard Scale is a method where the appraiser answers with 'yes' or 'no' or 'good' or 'satisfactory' or 'poor' to

a series of statements or words and checks those representing the characteristics and performance of the employee.

❖ **Comparative methods**

In this method managers directly compare performances of their employees against one another using the ranking, paired comparison and forced distribution methods. The ranking method is a system, which ranks employees in a group from the best to the worst performers. Paired comparison involves comparing each employee with every other employee in a rating group at a time.

The employee with the most check marks is considered to be the best performer and vice versa, while the forced distribution requires the appraiser to compare employees at various performance levels. It assumes that the performance level in a group of employees will be distributed to a bell-shaped form, so called “normal” distribution curve.

❖ **Written methods**

To address appraiser errors, managers are expected to provide written narrative appraisal information, which should describe employees' actions. Critical Incident, Essay, and Field Reviews are the methods used. Critical Incident is where the appraiser keeps a written record of the highly favourable and unfavourable actions or incidents as they occur in an employee's performance and use them to justify the ratings of employees. One, however, wonders if the appraiser would have the time to note down the incidents as they happen. The Essay or “free-form” appraisal method requires the manager to write short essays describing each employee's performance under prescribed headings. Under the Field Review, a

reviewer who can be a completely independent person interviews a manager about each employee's performance, and then compiles notes on each interview into a rating for each employee.

❖ **Behavioural/Objectives methods**

Behavioural Anchored Rating Scales (BARS) seem to hold promise for situations in which people are doing the same job, whereas Management by Objectives (MBO) is useful for management appraisals. Cascio (1995) contends that the BARS are a variation of the simple graphic rating scale because the method defines the dimensions to be rated in behavioural terms and uses critical incidents to describe the various levels of performance. It therefore provides a common frame for appraisers. The MBO is a process in which executives and top managers define strategic goals for the year, then managers and employees at successively lower levels set objectives by which they will support the higher-level objectives. Performance is evaluated in terms of whether the employee met his or her objectives within a specified time.

Purposes, benefits and uses of performance appraisal

From the foregoing analysis, we can say that performance appraisal programmes can serve many purposes that may benefit both the organisation and the employee whose performance is being appraised (Sherman et al, 1996). In reviewing the literature, four basic objectives or purposes for conducting performance appraisal exercise are identified as follows:

- To give employees the opportunity to discuss performance and performance standards regularly with their supervisors;
- To provide supervisors with a means of identifying the strengths and weaknesses of employees' performance;
- To provide a format enabling supervisors to recommend specific programmes designed to help employees develop in order to improve their performance;
- To provide a basis for recommendations of rewards and incentives.

Once the purpose for appraisal is well spelt out, the system is expected to generate desired results, which Mullins (1999) lists as potential benefits of an effective appraisal system to both the individual and the organisation. Similar benefits were identified in the COCOBOD Performance Management Manual (2005), which includes the following:

- ❖ Identifying the strengths and weaknesses of individuals and how they may be managed;
- ❖ Underlying problems, which may be restricting progress and causing inefficient work practices;
- ❖ Providing level of consistency through regular feedbacks on performance and discussions about potentials in employees.
- ❖ Generating information for manpower planning, succession planning, promotion, employment and training;
- ❖ Improving interpersonal communications by giving staff the opportunity to discuss their ideas, expectations, and how well they are progressing.

Cleveland, Murphy and Williams (1989), classify the most common uses of performance appraisals into either administrative or developmental approaches. In reviewing the literature, it was noted that from the standpoint of administration, appraisal programmes provide inputs that can be used for the entire range of human resource management (HRM) activities. For example, research has shown that performance appraisals are used most widely as a basis for compensation decisions (Cleveland et al., 1989). The practice of "pay-for-performance" is found in all types of organisations. Performance appraisal is also directly related to a number of other major HR functions such as promotion, transfer, and layoff decisions. It may also be used in HR planning, in determining the relative worth of jobs under a job evaluation programme, and provide the criteria for validating selection test results. Finally, it is important to recognize that the success of the entire HR programme depends on knowing how the performances of employees compare with the goals established for them. The assumption is that appraisal systems have the capability to influence employee behaviour, thereby leading directly to improve organisational performance.

From the standpoint of individual development, an appraisal provides the feedback essential for discussing strengths and weaknesses, as well as, improving performance. Regardless of the employee's level of performance, the appraisal process provides an opportunity to identify issues for discussion, eliminate any potential problems, and set new goals for achieving high performance. A developmental approach to appraisal

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recognizes that the purpose of a manager is to improve job behaviour, not simply to evaluate past performance.

Principles underlying performance appraisal

Theorists of performance appraisal and researchers suggest that in designing an appraisal system, certain basic principles concerning its introduction and implementation have to be considered. This is assumed to make the system more meaningful, effective and credible. The criteria and principles underlying performance appraisal are taken to include the following:

❖ Corporate objectives orientation

As earlier stated, appraisal systems should be purposeful. According to Cascio (1995), it should not be viewed in isolation but in relation to the corporate objectives of the organisation and designed to suit its culture and particular requirements. Mullins (1999) is of the opinion that appraisal systems should be integrated with related personnel policies and practices such as manpower planning, training and development programmes.

❖ Clear definition of standards

Prior to any appraisal exercise, the standards by which performance is to be evaluated should be clearly defined and communicated to the employee. According to Overman (1989), these standards should be based on job-related requirements derived from job analysis and reflected in job descriptions and job specifications. It must be noted that unclear definitions of standards may result in highly subjective appraisal systems.

It may result in measuring other factors not directly related to job outputs. Robbins (1993) sums up that if the objectives that employees are expected to achieve are unclear, if the criteria for measuring those objectives are vague, and if the employees lack confidence that their efforts will lead to satisfactory appraisal of their performance or believe that there will be an unsatisfactory pay-off by the organisation when their performance objectives are achieved, it would be expected that individuals would work below their potential.

❖ **Regular dialoguing**

A successful appraisal should also establish a regular dialogue and lead to an improvement in manager-staff or supervisor-subordinate relationships. Wietzel (1987) sees performance appraisal as a power-sharing exercise. To succeed, it must be a co-operative and constructive endeavour, with inputs by both staff and the managers. As stated earlier, the system should focus on the strengths and weaknesses and the accomplishments of staff, rather than on faults and failures. This will then lead to a plan for the future development and progress of the individual.

❖ **Commitment and participation**

A research by Pollack and Pollack (1996) concludes that commitment and support from top management is very paramount to a successful appraisal system. Managers from the operating departments must be actively involved, particularly in helping to establish the objectives for the programme. Furthermore, employees are more likely to accept and be satisfied with the performance appraisal programme when they have the chance to participate in its development. Kreitner and

Kinicki (2004:203) opine that organisational commitment is the extent to which employees identify with organisational goals and are committed to them. They share the view that commitment is an important work attitude because committed individuals are expected to display a willingness to work harder to achieve organisational goals and a greater desire to stay employed at an organisation.

❖ **Training and monitoring**

Mullins (1999) in his contribution, states that top management should make adequate provisions for the proper training of appraisers and also allocate reasonable time for the appraisal activity. Appraisal systems, like any other personnel programmes need also to be monitored regularly to ensure that appraisals are being carried out properly. The systems need constant review and where necessary modified to suite the changing environmental influences or the needs of the organisation.

❖ **Appeal procedures and feedback**

As the main purpose of appraisal is to help staff improve their performance, several articles and reviews in the literature stress on the need to establish a formal appeal procedure, which should be clearly understood by all members of staff to ensure credibility of the system and to maintain goodwill (Kavangah, 1987; Cascio, 1995; Mullins, 1999). Much of the research on performance appraisal focuses on the role of feedback in performance appraisal systems. James (1988) points out that people work, learn or achieve more when they are given adequate and objective feedback as to how they are performing. According to Mathis and Jackson (2000), objective feedback is to change or reinforce individual

behaviour. However, any shortfall in the above prescriptions may render the performance appraisal system in any organisation useless.

Frequency of appraisal

A review of the literature reveals that in many organisations staff are appraised annually. Mullins (1999), however, advises that the frequency of appraisal should be related to the nature of the organisation, the purpose and objectives of the scheme and characteristics of the staff employed. He recommends more frequent appraisals, that is, more than once a year for organisations operating in a dynamic, changing environment and most importantly for those whose performance falls below required standards.

Who does the appraisal

Just as there are multiple standards by which performance are evaluated, so also are there multiple candidates for appraising performance. Given the complexity of today's job, it is often unrealistic to presume that one person can fully observe and evaluate an employee's performance. So realistically, raters may include:

- Supervisors who rate their subordinates – because the supervisor allocates work and has the closest knowledge of the individual's duties.
- Subordinates who rate their supervisors – This is to give supervisors feedback on how their subordinates view them (McGarvey and Smith, 1993).

- Peers who rate each other – Because peers are close to the action. Daily interactions provide them with a comprehensive view of a colleague's performance.
- Self Appraisal – Essentially, it is a self-development tool that obliges employees to think about their strengths and weaknesses and set goals for improvement (Lee, 1990).
- Customer Appraisal – This is driven by Total Quality Management to validate internal (within the organisation) appraisal for perfection.

Reasons why appraisal programmes sometimes fail

Several reasons have been assigned in the literature for possible failure of appraisal programmes. In Figure 3, Clinton and Denise (1992) identify some reasons why most appraisal system fails. The reasons suggest that managers and supervisors have very little understanding of effective performance appraisal and low commitment level, which invariably affect results of performance appraisal and decision making. It is assumed in most organisations that managers and supervisors should be knowledgeable in performance appraisal but forget that no system can work efficiently if the members lack the knowledge to contribute.

1. **Manager lacks information concerning an employee's actual performance**
2. **Standards by which to evaluate an employee's performance are unclear**
3. **Manager does not take the appraisal seriously**
4. **Manager is not prepared for the appraisal interview with the employee**
5. **Manager is not honest/sincere during the evaluation**
6. **Manager lacks appraisal skills**
7. **Employee does not receive ongoing performance feedback**
8. **Insufficient resources are provided to reward performance**
9. **There is inefficient discussion of employee development**
10. **Manager uses unclear/ambiguous language in the evaluation process**
11. **Managers feel that little or no benefit will be derived from the time and energy spent in the process**
12. **Managers dislike the face-to-face confrontation of appraisal interviews**

Figure 3: Top 12 reasons why performance appraisals can fail

Source: Clinton O. L. and Denise R. M. 1992 (pp. 12-16)

Potential rater errors in performance appraisal

While organisations may seek to make the performance evaluation process free from personal biases, prejudices, and idiosyncrasies, a number of potential problems can creep into the process (Robbins, 1993). Several common errors have been identified in performance appraisals by Byars and Rue (1994), which have been summarized as follows:

- Leniency error occurs in performance appraisals when ratings are grouped at the positive end instead of being spread throughout the performance scale (continuum).
- Central Tendency occurs when appraisal statistics indicate that most employees are appraised as being near the middle of the performance scale.
- Recency occurs when evaluations are based on work performed most recently - generally, work performed one or two months prior to evaluation.
- Halo effect occurs when an appraiser allows a single prominent characteristic of an employee to influence his or her judgment on each separate item.
- Contrast error is the tendency to rate people relative to other people rather than to performance standards.
- Personal preferences, prejudices, and biases can also cause errors in performance appraisals. Appraisers with biases or prejudices tend to look for employee behaviours that conform to their biases. Appearance, social status, dress, race, and sex have influenced many performance appraisals. Appraisers have also allowed first impressions to influence later judgments of employees.

The impact of these errors would be the difficulty to separate good performers from poor performers. In addition, these errors make it difficult to compare ratings from different appraisers. For example, it is possible for a good performer who is evaluated by an appraiser committing

central tendency errors to receive a lower rating than a poor performer who is appraised by an appraiser committing leniency errors.

A promising approach suggested in the literature to overcome errors in performance appraisals is to improve the skills of appraisers. Appraiser training is inevitable and valuable. When appraisers are offered insights and ideas on employee ratings, documenting appraisals and conducting appraisal interviews will no doubt increase the value and acceptance of appraisal programmes by staff (Lawrie, 1990). Training appraisers gives them confidence in their ability to appraise and handle appraisal interviews without antagonism.

Conducting the appraisal interview

Sherman et al, 1996 after conducting a research in this area conclude that there are probably no hard-and-fast rules on how to conduct appraisal interviews. They, however, offer some guidelines that may increase the employee's acceptance of the feedback, satisfaction with the interview, and intention to improve upon performance in the future. Some of the guidelines that they suggest should be considered during appraisal interviews include the following:

- ❖ Ask for a self-assessment. It is useful to have employees evaluate their own performance prior to the appraisal interview. The self-appraisal starts the employee thinking about his or her accomplishments. It also ensures that the employee knows, clearly, against what criteria he or she is being evaluated, thus eliminating any potential surprises. After the self-evaluation, the

interview can discuss those areas where the appraiser and the employee have reached different conclusions.

- ❖ **Invite participation.** The core purpose of performance appraisal interviews is to initiate a dialogue that will help employees improve their performances. To the extent that an employee is an active participant in that discussion, the more likely it is that the root causes and obstacles to performance will be uncovered.
- ❖ **Express appreciation.** Praise is a powerful motivator, and in an appraisal interview, particularly, employees are seeking for positive feedback. It is frequently beneficial to start the appraisal interview by expressing appreciation for what the employee has done well. In this way, he or she may be less defensive and more likely to talk about aspects of the job that are not going on well.
- ❖ **Minimize criticism.** Employees who have good working relationships with their managers and supervisors may be able to handle criticism better than those who do not. If an employee has many areas in need of improvement, a manager should focus on those few objective issues that are most problematic or most important to the job (Grove, 1993).
- ❖ **Change the behaviour, not the person.** In dealing with a problem, it must be remembered that it is not the person who is bad, but the actions he or she has exhibited on the job. Suggestions about personal traits should be avoided; instead more acceptable ways of performing one's jobs should be suggested. It is difficult for

employees to change who they are but usually much easier for them to change how they act.

- ❖ Focus on solving problems. Frequently, solving problems requires an analysis of the causes, but ultimately, the appraisal interview should be directed at devising solutions to problems.
- ❖ Be supportive. Employees frequently attribute performance problems to either real or perceived obstacles (such as bureaucratic procedures or inadequate resources). By being open and supportive, the manager conveys to the employee that he or she will try to eliminate external roadblocks and work with the employee to achieve higher standards.
- ❖ Establish goals. Since a major purpose of the appraisal interview is to make plans for improvement, it is important to focus the interviewee's attention on the future rather than the past.
- ❖ Follow-up day-to-day. Ideally, performance feedback should be an ongoing part of a manager's job. Feedback is most useful when it is immediate and specific to a particular situation.

Performance appraisal as a tool for HRD

In recent years the subject of human resource development has attracted the attention of most practicing managers and human resource practitioners. This development is largely attributed to the fact that human resource development is a dynamic and evolving field in the world of business, coupled with the increasing pace of globalization and its impact on organisations.

A study conducted by Bacal (1999) in Ontario, Canada, reveals that performance appraisal systems began as simple methods of income justification. That is, appraisal is used to decide whether or not the salary or wage of an employee is justified. The process is firmly linked to material outcomes. If employees' performances are found to be less than expected, a cut in pay will follow. On the other hand, if their performances are above expectation, a pay-raise is in order. Little consideration, if any, is given to the developmental possibilities of appraisal. It is felt that a cut in pay, or a raise, should provide the only required impetus for an employee to either improve or continue to perform well. Sometimes this basic system succeeded in getting the results that are intended but more often than not, it fails.

Managers have now become aware that different people with roughly equal work abilities could be paid the same amount of money and yet have quite different levels of motivation and performance. These observations have been confirmed in empirical studies. Pay rates are important, but they are not the only elements that have an impact on employee performance. The potential usefulness of appraisal as a tool for motivation and development is gradually being recognized. Today, most management acknowledge that employee development provides the means to cultivate skills, enhance efficiency and work quality, and build employee allegiance to the company.

Performance appraisal is therefore a crucial activity of the "people" function and the management of human resources. The appraisal can and should be central to any career planning process of a firm. This is because

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it provides a good opportunity to review the career plans of a person in light of his or her exhibited strengths and weaknesses.

Conceptual framework

Throughout the literature review, authors and researchers present various perspectives and discuss diverse issues pertaining to performance appraisal. Using these as a guide, it is convincing that information collected during performance appraisal systems are mainly used for administrative (promotion, pay-rise, transfer, etc) and developmental decisions.

The concept of performance appraisal is thought to be a cyclical orientation, which (1) involves the setting up of corporate organisational goals derived from mission statements of organisations leading to (2) the development and setting up of departmental objectives for the managers in-charge. At this level, (3) managers are expected to agree on performance standards with their employees (subordinates) within a time frame and (4) regular monitoring of performance to ensure that employees are motivated and committed to the goals established. Corollary, managers are expected to (5) measure the performance of their subordinates (employees) as against agreed targets set and (6) compile them into appropriate performance appraisal data. The information gathered would then be used for (7) administrative and developmental decisions after which (8) management reviews the system and sets new goals based on their challenges and achievements.

In this regard, a performance management cycle (figure 4) has been developed based on the literature review into a conceptual framework to guide and focus this work, and examine the propositional statement below during the study.

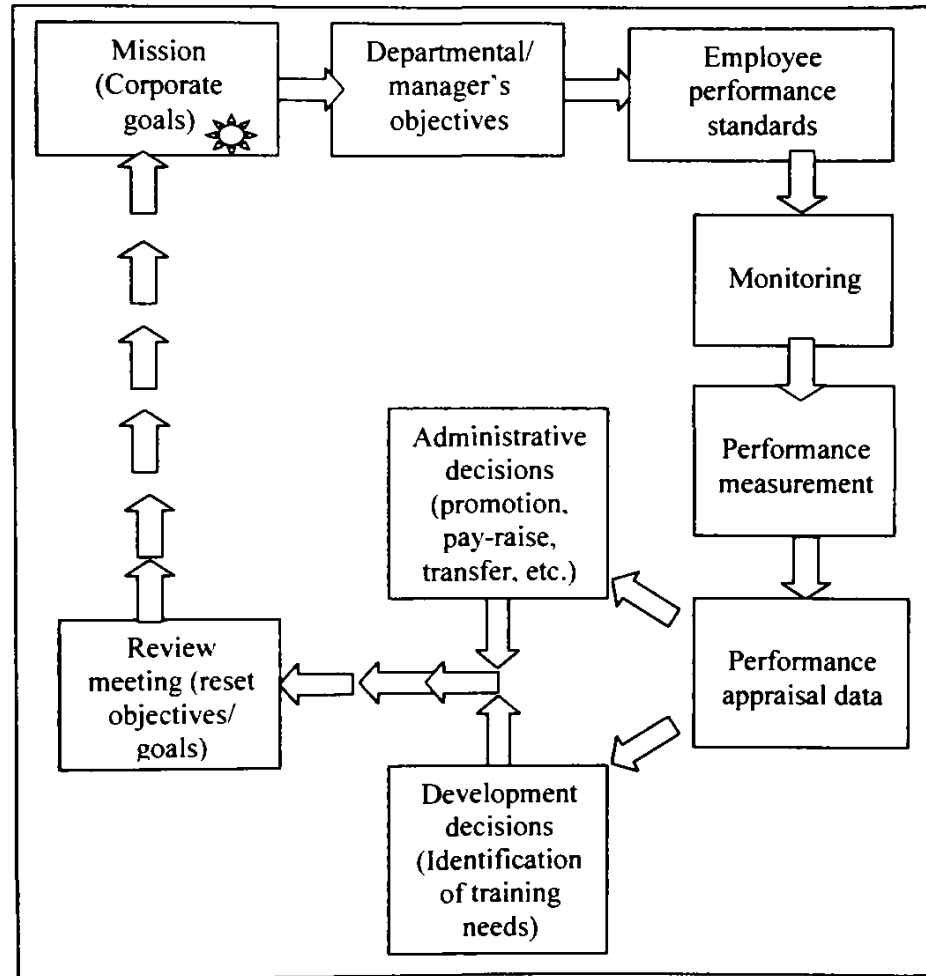


Figure 4: Performance Management Cycle

Source: Author's construct, 2006.

Propositional statement

Data generated from an effective performance appraisal system in Quality Control Division of COCOBOD can be used, strategically, as a

tool for administrative decisions and for developing her human resource
than data generated from ineffective performance appraisal system.

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CHAPTER THREE

METHODOLOGY OF THE STUDY

Introduction

This chapter is devoted to the full description of the type of research method used for the study. Other highlighted areas include: sources of information, the study population, sampling method, data collection techniques, pre-test, methods of data analyses, and ethical consideration.

Study design

The design for this research is of the descriptive case study type. This is because the study is non-interventional and is focused on the performance appraisal system and practices at QCD of COCOBOD without any interventionist measures being introduced. It is non-interventional also because performance appraisal is not a new idea in the company. Thus, only a critical study of the existing system was undertaken. Descriptive research is chosen because the researcher would want to obtain in-depth information on the subject matter and to provide a detailed and an accurate profile of it.

In this study, opinions were sought from Human Resource Managers of the other divisions and subsidiary of COCOBOD.

Information gathered from the opinions of these practitioners and respondents were combined with information from literature and used to describe a best model of performance appraisal system.

Description of the study population

The total staff strength of the organisation, numbering 1,323 as at 1st October 2006 was made up of various job positions as detailed below:

Rank	No. on Roll
Executive Directors	2
Managers	23
Senior Staff: Field Operations	85
Human Resource	11
Accounts	9
Audit	5
Junior staff: Human Resource	126
Accounts	23
Audit	6
Technical Staff (Juniors)	840
Drivers	67
Security Personnel	112
Artisans	4
Janitors/Labourers	<u>10</u>
Total	<u>1,323</u>

Sampling technique

Junior workers (appraisees) were sampled from the Head Office and the Tema Port only. This was based on the assumption that the population of junior employees within QCD have common characteristics across the cocoa regions similar to those selected for the sampling frame. However, the population of managers/supervisors was used as the sampling frame for that category of staff. The essence was to give each appraiser in the organisation an equal opportunity of being selected. This is in view of the importance of the involvement of appraisers in operating the performance appraisal system. Due to time and financial constraints, a total of 150 employees were selected at random as respondents from the two sampling frames.

The techniques used in selecting the appraisees and appraisers were stratified, quota and simple random samplings. In selecting respondents for the study, the following were considered:

- Respondents who had been at least a year in employment;
- Respondents who had permanent status of employment;
- Respondents who could read and write

By the structure of the Division, coupled with the fact that the focus of the study was to examine the knowledge and preparedness of appraisers as mentioned earlier, the population of managers and supervisors/senior staff numbering 133 was used and about 50% of them were randomly selected as respondents. Consequently, 67 respondents were selected through the techniques mentioned above, and mixed with simple random

sampling based on the proportion of each group in the appraisers' category as indicated in Table 1.

Table 1: Distribution of managers and supervisors (appraisers)

Category	No. of employees	Sample size	Representation (%)
Managers	23	12	17.29
Supervisors/ Senior staff	110	55	82.71
Total	133	67	100.00

Source: Field survey, 2006

The Head Office and Tema duty stations were chosen as clusters from which appraisees were selected. This was on the assumption that the characteristics of the employees were similar to that of the other cocoa regions. The proximity of the two clusters chosen was an advantage and less burdensome to follow-up in collecting completed questionnaires from respondents. This method was for convenience and to save time.

From a sampling frame of 206 junior employees in the two clusters, 40% of them (sample size) were sampled as respondents. Consequently, 83 respondents were selected using simple random sampling. The quotas were based on the proportion of each sub group in the each category as indicated in Table 2.

The Human resource department is comprised of four units, namely: transport, estates, public relations and security. After obtaining the sample size for the human resource department, the figure was further subdivided into the various units mentioned above. The essence of the

sub-division was to ensure that samples drawn would be a fair representation of the study population.

Table 2: Distribution of junior staff (appraisees)

Department	No. of employees	Sample size	% of Sample
Human resource	34	14	16.87
Transport unit	18	7	8.43
Estates unit	14	6	7.23
Public relations unit	2	1	1.21
Security Unit	18	7	8.43
Audit	6	2	2.41
Accounts	15	6	7.23
Field	94	38	45.78
Research	5	2	2.41
Total	206	83	100.00

Source: Field survey 2007

Subsequently, the HR department was further sub-divided into its various units (strata) and the quotas were determined for the various units after which simple random sampling was employed to obtain the sub-sample sizes for the units as shown in Figure 5.

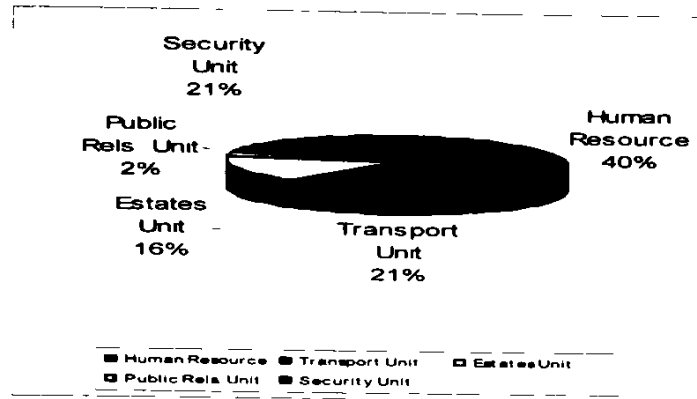


Figure 5: Distribution of respondents in HR department

Source: Field survey, 2007

In summary, a total of 150 respondents were selected for the study as indicated in Table 3.

Table 3: Distribution of respondents

Category	Sample size	% of representation
Appraisers	67	44.67
Appraisees	83	55.33
Total	150	100.00

Source: Field survey 2006

Data collection techniques

Two types of primary data collection methods were used. Firstly, interview guides (Appendix 1) were designed and used to gather information on the COCOBOD performance appraisal process and to elicit managers' and supervisors' opinions on the contribution of the system to

higher performance in the organisation. The guide questions were first distributed and respondents were requested to study the questions in preparation for detailed interviews to be conducted. Personal interviews were conducted in order to address any limitation the data being provided by the respondents may contain and to ensure accurate results. Interviews were conducted to elicit information at all levels in the organisation on the subject matter, especially where target respondents complained about unavailability of time to fill questionnaires.

Secondly, structured questionnaires were used to gather information from respondents. This was to save time and minimize cost. It also granted the respondents some convenience to respond to the questions at their leisure. Two separate questionnaires were designed: one for supervisors and senior staff (Appendix 2), and another for junior staff (Appendix 3). It was to provide the opportunity for gathering enough information on supervisors' preparedness and knowledge for appraising subordinates, the problems they face, and also know the perceptions and attitudes of the general workers about the performance appraisal system in the organisation.

The second type of data collected was from secondary sources. Data under this category were from both internal and external sources. Internal source, mainly from QCD performance appraisal records (completed forms for the last three years) and other reports, as well as, COCOBOD Performance Management Manual (July 2005) were examined. Data from external sources were from literature. The external sources of data collection were very significant because some were

obtained from published sources and even though some were also from unpublished results of other people's works and articles, they were documentary.

Pre-test

Copies of the interview guides and the questionnaires were given to a colleague human resource practitioner for vetting and suggestions. This was done to test the validity of the instruments. After this the accuracy of the instruments were checked and validated by pre-testing them on eight employees of the Division – one appraiser and one appraisee from each of the four departments in the organisation.

The questionnaires were completed by the employees with ease, which confirmed that the questions and instruments were well understood. After the pre-test, a time table was prepared for the questionnaire administration in line with the sampling techniques discussed.

Methods of data analyses

The data obtained from the various sources were first edited and sorted before they were categorized into topical/subject areas of analyses to facilitate subsequent discussions of results. Quality checks were made. Where it became necessary, the researcher conducted supplementary interviews using the convenience sampling technique because respondents could not be identified by their responses. The researcher therefore chose respondents he, accidentally met or were available in their departments or

units at a particular time. The rationale for this exercise was to seek further clarification of some responses.

Since the work was descriptive and qualitative, it did not involve so much use of statistical tools. Statistical tools such as frequency distributions, charts and percentages were used to describe the data. In the main, respondents' opinions and views were interpreted as best as possible and in some cases reported verbatim to show originality. Chapter 4 describes in detail how the data gathered were analyzed and discussed.

Ethical considerations

Permission was first sought from the Executive Director of the Division for the survey to be conducted. Thereafter, time was devoted to painstakingly explain the rationale of the study to all managers and supervisors (appraisers) at a forum scheduled to review operational performance for the 2005/2006 operational year of the Division. In order not to violate the rights of subjects to free consent, all potential research participants were given sufficient information about the objectives of the research so as to enable them make informed decisions about participation or non-participation. None of those selected rejected the offer to participate. Indeed, they were happy to be given the opportunity to contribute to a research being undertaken to bring out the best practice model of performance measurement.

Table 4: Distribution of responses

Category	No. targeted	No. received	% of response
Appraisers	67	67	100.0
Appraisees	83	80	96.4
Total	150	147	98.0

Source: Field survey, 2006

Analyses of personal data of respondents

With regard to status, respondents were grouped into two - managers and supervisors/senior staff (also referred to as appraisers) and junior staff (also referred to as appraisees) as in Figure 8. The figure indicates that 46% of the respondents were managers and supervisors/senior staff (appraisers) while 54% were junior staff (appraisees). The appraisers did not include junior staff.

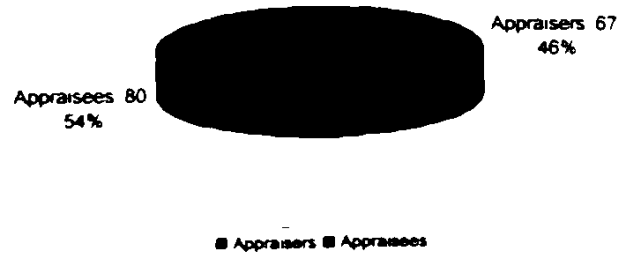


Figure 6: Representation of respondents

Source: Field survey, 2006

Respondents have been in the employment of the organisation for at least 1 year as shown in Table 5. The statistics indicate that nearly 82%

of the study population have been in the service of QCD for at least 6 years, which means that information provided on the practice and understanding of performance appraisal in the organisation is adequate and authentic and can be relied upon.

Effectiveness of the practice of QCD performance appraisal system

In analysing data collected under this section, the effectiveness of the practice of QCD performance appraisal system is examined. Issues such whether performance is dependent on length of service, educational qualification of employees and the frequency of appraising staff is discussed. The procedure of setting targets and employees' involvement in the appraisal system is also examined.

The basis for categorising length of service is to ascertain whether employees were promoted at least every five (5) years as stipulated in the promotion policy of QCD. The information is then used to analyse the period employees had to wait before promotion.

Table 5: Length of service of respondents

Category	Mgt. & Senior		Junior		Total	
	Freq.	%	Freq.	%	Freq.	%
Up to 5 years	21	31.3	6	7.5	27	18.4
6 to 10 years	16	23.9	0	0.0	16	10.9
10 years +	30	44.8	74	92.5	104	70.7
Total	67	100.0	80	100.0	147	100.0

Source: Field survey, 2006

The data in Table 5 show that staff up to 5 years service (18.4%) in the organisation is a useful group to provide information about the way they perceive the performance appraisal system during the past 5 years.

On the academic qualification, Table 6 shows that about 63% of the respondents have qualifications below diploma certificate and about 32% possess qualifications above diploma. One will deduce from the data that the organisation has quite a number of lower academically qualified personnel because majority of the staff perform jobs that are routine in nature. The analysis of the personal data depicts that the survey involved respondents with educational background that range from middle school level to higher education level, thus making it a good representation to present all shades of opinions.

Table 6: Academic qualifications of respondents

Category	Junior		Mgt. & Senior.		Total	
	Freq.	%	Freq.	%	Freq.	%
M.S.L.C.	39	48.8	10	14.9	49	33.3
GCE O' level/SSSCE	18	22.5	5	7.5	23	15.7
GCE A' Level	15	18.7	5	7.5	20	13.6
Proficiency certificates	8	10.0	0	0.0	8	5.4
Degree	0	0.0	35	52.2	35	23.8
Masters	0	0.0	12	17.9	12	8.2
Total	80	100.0	67	100.0	147	100.0

Source: Field survey, 2006

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As the results in Table 6 also show, about 49% of the junior staff have M.S.L.C. During interview it was evident that about 41% of the staff with GCE 'O' and 'A' Levels were employed with those qualifications. Similarly, the M.S.L.C. holders had never been encouraged to upgrade their educational qualification even though most of them would have liked to further their studies if they had the opportunity to do so.

It is inferred from Tables 5 and 6 that about 90% of the staff who had done at least 5 years in service had not gained any further academic training. It is therefore indicative that the performance appraisal system is not being effectively utilized to identify level of competence, weaknesses and strengths in staff for possible employee training and development. The HR manager, however, intimated that most of the employees had weak educational backgrounds such that exposing them to higher academic training was difficult.

In examining how frequent staff were appraised, data received were analysed as in Table 7. From the table it can be seen that 85% and 82% of the junior staff and managers and supervisors senior staff, respectively, acknowledged that their performances were appraised in 2005.

At the time of collecting the data, the 2006 performance appraisal was not due. The staff could therefore not confirm whether it will be implemented for 2006. Nearly 4% and about 3% of the junior staff and managers/supervisors, respectively, had never been appraised; with about 11% and 7.5% of junior and managers supervisors respectively, who had been appraised only once in 2 – 5 years.

Table 7: Last time appraisee was appraised

Criteria	Junior staff		Mgt. & Senior staff	
	Freq.	%	Freq.	%
Last year	68	85.00	55	82
2 - 3 years ago	6	7.50	3	4.5
4 - 5 years ago	3	3.75	2	3
Never	3	3.75	2	3
No response	0	0	5	7.5
Total	80	100	67	100

Source: Field survey, 2006

In spite of the fact that some staff were not appraised in 2005, the HR manager confirmed that the policy on performance appraisal prescribes an annual exercise for the organisation. The human resource manager explained that the 15% and 10.5% of junior staff and management and senior staff, respectively, who were not appraised annually or who had never been appraised within the last 5 years could be that at the time of the appraisals, the staff concerned might have been on annual leave, interdiction, suspension, etc. and could not be contacted. He said, however, that as much as possible, efforts were always made by supervisors to invite staff on annual leave for the appraisal. Contrary to Mullins (1999) assertion that more frequent appraisals, more than once a year, should be adopted in organisations because the work environment is dynamic and changing, and should also be related to the characteristics of the staff employed, QCD was not ensuring that every staff was appraised at least once in a year, thereby putting the commitment level low.

A similar question to managers and supervisors/senior staff reveal the following results as compiled in Table 8. There was no appraiser who indicated that he/she was not appraised. Indeed, about 63% of them had been appraised between 1 – 3 times, whilst 37% indicated 4 – 6 times during the past decade.

Table 8: Number of appraisals conducted since 1996 by appraisers

Category	Frequency	%
Nil	0	0
1 – 3	42	63
4 – 6	25	37
Total	67	100

Source: Field survey, 2006

One therefore wonders how effectively management ensured that appraisals were conducted annually. It is the appraisal that will generate data on employees' level of competence, their weaknesses and strengths, which guide management in designing appropriate interventions for staff development.

It was further enquired from respondents (appraisees) how long it took them to gain promotion. The responses are provided in Table 9. The results indicate that 68% of the staff waited for more than a decade before they were considered for promotion. During discussion, it was explained that even though performance appraisal was an annual affair, it took management some time to promote staff. The delay was blamed on a

policy management adopted that until one upgrades him/herself with the requisite educational qualification, he/she cannot be promoted.

When the issue of attainment of requisite academic qualification before promotion was explored, it became evident, and indeed data confirm, that about 80% of the staff who have been in the employment of the Division for at least 5 years have not had the opportunity to develop themselves. There was no criterion in place to ascertain training needs of staff.

As a follow-up to the above, the survey enquired about the waiting period before one could be promoted. The data collected are analysed as in Table 9.

Table 9: Waiting period for promotion

Category	Junior		Mgt. and Senior.		Total	
	Freq.	%	Freq.	%	Freq.	%
Up to 5 years	12	15.0	3	4.5	15	10
6 – 10 years	18	22.5	14	21.0	32	22
10 years & above	50	62.5	50	74.5	100	68
Total	80	100	67	100	147	100

Source: Field survey, 2006

The Human Resource manager confirmed that for about ten (10) years (i.e. 1995-2005) a job evaluation exercise conducted in 1995 abolished the hierarchy in both the junior and senior staff grades. He said as a result, staff have not taken performance appraisal seriously because

they perceive that even hard work will neither be recognized nor gain them promotion or pay-raise. The employees' perception is in line with that of Robins (1993) who opines that if employees lack confidence that their efforts will lead to satisfactory appraisal of their performance or believe that there will be an unsatisfactory pay-off by the organisation when their performance objectives are achieved, it should be expected that individuals would work below their potential.

The HR manager admitted that the structure de-motivated staff to put in their best and this indirectly affected productivity. Asked whether that was the best practice, the HR manager responded in the negative. He, however, said that the COCOBOD policy on promotion is to consider staff for elevation between three (3) to five (5) years, subject to outstanding performance (on merit) and availability of vacancies. He said the period mentioned above was an exception and the situation had been reversed.

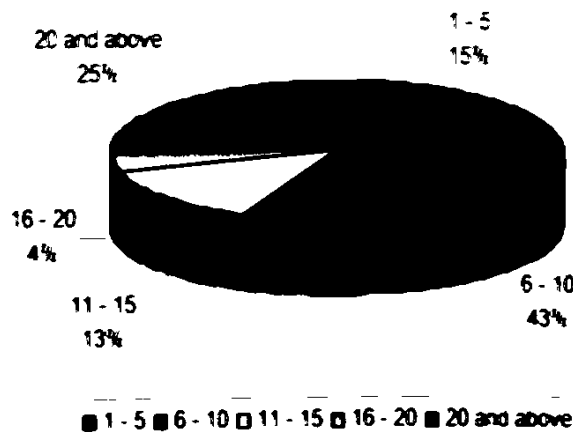


Figure 7: Appraisers' span of control

Source: Field survey, 2006

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The survey also examined and assessed the level of practice of the performance appraisal to confirm whether a performance appraisal system of some sort was being practiced in QCD. Data collected confirm overwhelmingly, that a system to measure performance was in place.

As shown in Figure 7, appraisers indicated that there was direct supervision of subordinates as a first step to any performance appraisal system. Every appraiser had a number of subordinates whom he/she supervised (span of control). From the figure, fifteen percent (15%) of the appraisers had up to 5 subordinates to supervise; 43% also supervised between 6 and 10 employees, etc. It was after this direct supervision that the stage was set for formal performance appraisal to be carried out.

Table 10: Subordinates' job assessor

Response	Freq.	%
Myself	48	75
My boss	6	9
Head of department	8	13
No response	2	3
Total	64	100

Source: Field survey, 2006

The supervisors also responded as shown in Table 10 that 75% of them appraised their subordinates themselves, with 9% indicating that their subordinates were appraised by their bosses. Heads of department also directly appraised about 13% of the staff, which includes senior staff who

are not supervisors. The existence of span of control implies that supervision of subordinates was being seriously practised.

According to Beach (1980), Kavangah (1987), Byars and Rue (1994) and Mathis and Jackson (2000), performance appraisal is about systematic evaluation of individual's performance by a superior exercising his span of control and communicating results to the subordinates.

Having obtained results for the span of control and who appraises employees, information was gathered on how performance targets were set in the organisation. The results obtained are presented in Table 11.

The analysis shows that 45% of appraisees and 31.3% of appraisers, respectively, both confirmed that targets were set together, which is in line with the American Society of Personnel Administration (1973) standards. However, the worry is that the commitment from the side of appraisers was very low. Indeed, to buttress the point, 48.8% and 44.8% of appraisees and appraisers, respectively, indicated that it was only sometimes that targets were set together.

Table 11: Setting of targets together

Response	Appraisers		Appraisees	
	Freq.	%	Freq.	%
Always	21	31.3	36	45.0
Sometimes	30	44.8	39	48.8
Never	16	23.9	5	6.2
Total	67	100.0	80	100.0

Source: Field survey, 2006

It is worth noting that 23.9% of the appraisers did not set targets at all. This number could be part of those senior staff who were not supervisors and therefore could not have set targets with subordinates. Interestingly, this figure of 23.9% almost tallies with the data in Table 10, where a total of 22% of supervisors/senior staff indicated that their subordinates were appraised by their bosses and heads of department.

Discussing the results with the HR manager, he said that supervisors had been directed to set targets with their subordinates but some had failed to do so. Performance standards should describe the level of performance employees are expected to achieve. Thus, levels of employee performance must be defined by measuring performance against established and clearly defined performance standards. It is when performance has been measured against these clearly defined standards that any meaningful results can be derived for human resource decision making. While performance standards show the expected levels of performance, rating scales indicate the level of performance of employees. The rating scales in QCD are expressed in absolute terms. Even if clear guidance of the rating parameters were given, the rating would still pose some difficulties for appraisers because standards might not have been well set and clearly defined. This was confirmed when a cross section of the appraisers were interviewed.

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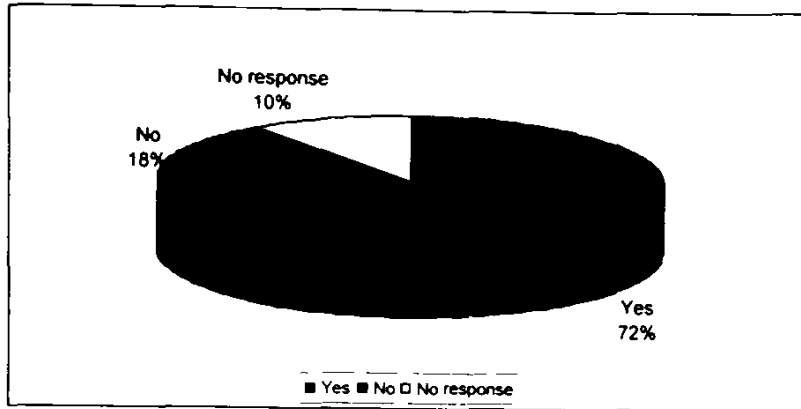


Figure 8: Constraints to performance measurement

Source: Field survey, 2006

It is evident from Figure 8 that there could be problems with the performance appraisal system in QCD. As many as 72% of the managers and supervisors/senior staff indicated that they felt there were constraints to the system, while 18% thought that there were no constraints. There was a follow-up question for those who thought there were constraints to list some of them.

In Table 12, the supervisors listed and ranked the constraints, which were not different from the twelve top reasons assigned to performance appraisal failure by Clinton and Denise (1992). The supervisors enumerated lack of regular training of appraisers, poor management support for the system, lack of understanding of the instruments being measured and unclear procedures, and to quote some of them verbatim, they “find the methods of rating fraught with inconsistencies and very subjective”. Most of the appraisers had not been exposed to any training to gain skills in how to set targets, monitor and measure performance.

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Table 12: Ranking of constraints to performance measurement

Response	Ranking
Lack of regular training	1 st
Poor management support	2 nd
Lack of understanding of criteria	3 rd
Poor rating system	4 th

Source: Field survey, 2006

Suitability of the performance appraisal formats for effective performance measurement

In enquiring whether supervisors were involved in the design of the performance appraisal system, which was to ascertain their commitment level to the system (Kreitner and Kinicki, 2004), the responses received have been shown in Table 13.

Table 13: Appraisers involvement in appraisal system design

Response	Freq.	%
To a substantial extent	5	7
To some extent	8	12
Not at all	51	76
No response	3	4
Total	67	100

Source: Field survey, 2006

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Only 7% of supervisors provided inputs for the designing of the current performance appraisal form in use. However, as many as 76% of the supervisors did not participate in the designing of the appraisal forms.

The results indeed confirm the lack of commitment from supervisors and did not conform to a condition both Pollack and Pollack (1996) and Kreitner and Kinicki (2004) recommend that commitment and support from top management and the extent to which employees are involved in designing the appraisal system is paramount to its successful implementation.

It is imperative for the human resource manager to involve appraisers in the design of the appraisal system because they are also in a position to determine the performance criteria of the jobs. If it is developed without the involvement of the appraisers there may arise little ownership of the system. The appropriate data will, thus, not be generated for effective human resource management. As revealed by the data in Table 13, 76% of management and senior staff indicated that they were "not at all" involved in the design of the performance appraisal system currently in use in the organisation, a situation which is not the best. Where appraisers have no clear guidance as to what are to be assessed and the objectives for which the appraisals are being undertaken, they may play it safe by not unduly rating appraisees very high or very low but rather around the mid-point. This would be a clear demonstration of central tendency and leniency errors (Byars and Rue, 1994), which indicate appraisers' biases, prejudices and idiosyncrasies (Robbins, 1993). When the completed appraisal forms for the past three years were examined that

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was what was revealed. As a result, data generated were inadequate for effective human resource development. Though rating other people is not an easy task, it can be structured such that it can measure, as objectively as possible, what it is supposed to measure.

A number of questions sought to find out, in general terms, what both appraisers' and appraisees' perceptions were about the objectives of the QCD performance appraisal system and how they understood them. Figure 9 shows the responses received from appraisers. On the average, appraisers had a fair understanding of the objectives of the performance appraisal system. As summed up by Robins (1993), for a good appraisal system, the objectives that employees are expected to achieve must be clear and also be communicated to them to ensure employee confidence in the system. From the figure, it can be seen that 52% of the respondents said they understood the performance criteria while 36% indicated they understood the criteria to some extent.

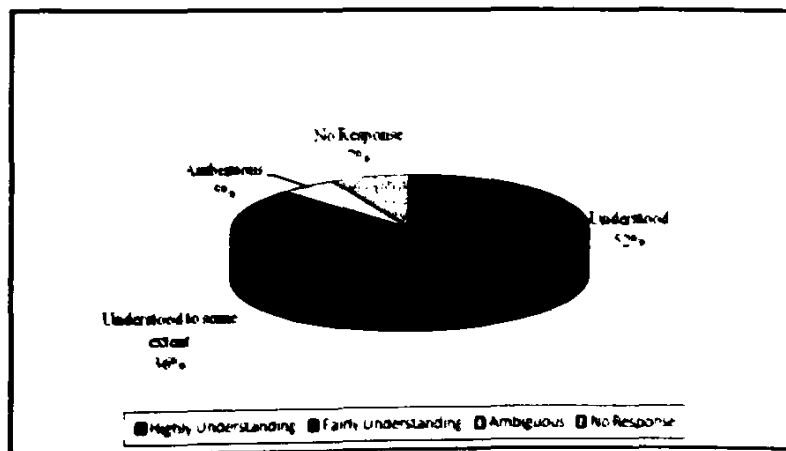


Figure 9: Appraisers' understanding of performance criteria

Source: Field survey, 2006

This implies that about 88% of the respondents had some understanding to enable them operate the system efficiently. On the other hand, only 5% of the appraisers felt that the objectives were ambiguous, with 7% not offering any comment.

It must be noted that criteria are variables useful for measuring individual workplace behaviour, hence an appraiser's inability to fully understand all of the criteria would impact on the data that would be generated in such an exercise (Robbins, 1993). Any effective measuring instrument needs to provide relevant and sufficient measurement criteria that are explicitly understood by both appraisers and the appraisees if it is to be useful in analysing individual performance (Overman, 1989).

An examination of the appraisal forms in use revealed that adequate explanations had been provided to most of the criteria and how they should be applied, but the problem was that appraisers had not been trained enough to objectively apply them. This situation is at variance with what Mullins (1999) prescribes.

A similar pattern of response was observed when the junior staff (appraisees) were asked to indicate whether they knew, and were familiar with, the criteria used in assessing their performance. Table 14, which contains the responses, indicates that 90.0% of the appraisees were aware of the criterion "work output", 56.3% of them were also aware of the criterion "dependability".

Criteria such as "working relationship", "verbal and written communication", and "health record" are not directly performance-related and therefore showed appraisees' scanty knowledge of them.

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Table 14: Appraisees' awareness of performance criteria

Criteria	Yes		Not aware		Total	
	Freq.	%	Freq.	%	Freq.	%
Work output	72	90.0	8	10.0	80	100
Working relationship	39	48.8	41	51.3	80	100
Dependability	45	56.3	35	43.8	80	100
Verbal and written communication	30	37.5	50	62.5	80	100
Punctuality	41	51.3	39	48.8	80	100
Health record	32	40.0	48	60.0	80	100

Source: Field survey, 2006

Even though there were a number of appraisees who said they were aware of the criteria, the number that responded in the negative was substantial to affect the credibility and objectivity of data generated through the performance appraisal system.

The human resource manager contended that performance measurement is a difficult exercise in the organisation because the whole system is very subjective and prone to abuse. In his view, the criteria on the appraisal forms are difficult to measure because some of them are trait-based and behavioural in nature, which uses attributes rating methods on a graphic rating scale (Sherman et al, 1995). He said some criteria were also concerned with issues that should be dealt with under disciplinary matters. According to him, disciplinary issues are not performance factors and should therefore not be included on the appraisal forms.

When the current appraisal forms were examined, they corroborated the assertion and concerns of the HR manager. There are

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assessment criteria such as: "initiative", "willingness to accept higher responsibility", "interest in team work", "capability for further development", and "punctuality" found on the senior staff form (Appendix 4). Similarly, on the junior staff appraisal form (Appendix 5), the following are listed: "working relationship", "verbal and written communication", "punctuality", and "health record".

There are wide variations as to the level of understanding of the criteria being used for appraising staff by both appraisers and appraisees. In such diversity of understanding and misunderstanding, it is obvious that it will be difficult to have any meaningful performance measurement made for any effective and meaningful human resource decision making. When the appraisal forms were examined, it was found that a particular type of form was used to either assess senior staff or junior staff irrespective of the department or unit they belong. It is therefore difficult to suggest common criteria, which can be used in all departments of the organisation because a criterion may be relevant in one department and irrelevant in the other, in view of the fact that their functions differ. As a result, each appraiser is left to his/her own understanding as to what to assess in relation to the criteria stated on the appraisal form. Criteria must reflect the strategic objectives of the company and must be agreed upon between the head of department, supervisors and subordinates so that they can be operationalised and measured (COCOBOD Performance Manual, 2005).

If we have to go by the best practice as prescribed by the American Society for Personnel Administration (1973), Overman (1989) and Casio (1995), as well as, COCOBOD Performance Management Manual (2005),

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then the appraisal forms in use need to be modified to rather spell out clearer performance criteria based on corporate objectives of the organisation and job-related requirements, derived from Job analysis and reflected in job descriptions and job specifications to suit its culture and particular requirements.

Having realised the problems being encountered by appraisers with the present appraisal forms, management of COCOBOD has reviewed the appraisal forms for senior and junior staff (see appendixes 6 and 7) and was discussing them to conform to best practice. During examination, the new forms show an improvement upon the ones in use.

Usage of performance appraisal data

When asked what criteria they would have wished to be promoted on, the appraisees intimated that even though they agree that promotion must be based on performance, there is the need to also consider length of service so as not to de-motivate the aged in the system. Their responses are collated in Table 15

Table 15: Perceived criteria for promotion

Criteria	Freq.	%
Length of service	15	18.75
Performance	50	62.50
Length of service & performance	15	18.75
Total	80	100.0

Source: Field survey, 2006

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It is interesting to note that 62.5% of the appraisees vouched for performance only as against about 18.8% of their colleagues who felt that promotion should be subject to either long service only or length of service plus performance.

Contrary to the prescription of various authors such as Wright and Noe (1995), Sherman et al (1996) and Mathis and Jackson (2000) who posit that employee appraisal must be based on the criteria of employee performance, and discussed various methods of measuring it, the staff were advocating for length of service as a criterion when it should not be so.

When the HR manager's opinion was sought on the demand by the employees, he intimated that though it is not a good practice, staff were sometimes considered for promotion on length of service, especially when they were nearing their retiring age and said the essence was to motivate them to continue to offer dedicated service. This practice defeats the purpose of the appraisal process. It makes it very subjective, with several biases. The HR manager's assertion implies that there are inadequate appraisal data being used to take employee development decisions, which can affect the whole appraisal system.

The attitudes of staff and their opinions about performance appraisal were sought through the questionnaire. Table 16 highlights the responses of appraisers. Only 13.4% of the appraisers indicated that the criteria were alright. However, as much as 82.1% of the appraisers were of the opinion that the criteria were not the best in measuring performance accurately. In fact, most of the supervisors who shared that opinion were part of a group that went on a performance appraisal seminar a few weeks

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before the questionnaires were administered. The seminar created the awareness for the supervisors to realise that the system in operation was not efficient to generate appropriate appraisal data and needed to be reviewed.

Table 16: Appraisers' opinion about appraisal criteria

Response	Freq.	%
Right criteria	9	13.4
Only some are right	43	64.2
Some are irrelevant	12	17.9
No response	3	4.5
Total	67	100.0

Source: Field survey, 2006

Junior staff responses as to what performance appraisal results were used for have been compiled in Table 17. The data in the table show the frequencies and percentages in relation to the number of respondents in each case. In the "always" category, 30% of the respondents said performance appraisal results were used for promotion or training, followed by 19% of them indicating salary increment or feedback.

According to the respondents, decisions on career development, redeployment, incentive rewards and transfers were not "always" taken on the basis of performance appraisal data as evidenced by the low percentages of 11%, 8%, 4% and 4%, respectively, shown in the Table. However, 45% and 49% of the appraisees indicated that it was "sometimes" used for transfer decisions and redeployment respectively,

while 41% said it was "sometimes" used for career development. Thirty-eight percent (38%) said it was "sometimes" used for promotion or training decisions.

Table 17: Uses of performance appraisal data

Response	Always		Sometimes		Not at all		No response	
	Freq.	%	Freq.	%	Freq.	%	Freq.	%
Salary increment	15	19	24	30	21	26	20	25
Promotion	24	30	30	38	21	26	5	6
Transfer	3	4	36	45	24	30	17	21
Incentive Rewards	3	4	24	30	30	38	23	29
Training	24	30	30	38	15	19	11	14
Career Development	9	11	33	41	18	23	20	25
Feedback	15	19	21	26	9	11	35	44
Redeployment	6	8	39	49	21	26	14	18
Total	99	15	237	37	159	25	145	23

Source: Field survey, 2006

It is worth noting that 23% and 19% of the respondents indicated that the performance appraisal data was "not at all" used for career development planning and training respectively, which is one of the strategic human resource decisions that need to be taken. These results corroborate the earlier results obtained on training and career development where 48.8% and only 10% of respondents said supervisors held discussions with them on their training needs and career development,

ANNEXURE 17

respectively. There are indications that performance appraisal results were "sometimes" put to these uses but "not always."

Management and Senior staff responses to a request to list and rank, in their opinion, what performance appraisal results should be used for had been presented in Table 18.

Table 18: Supervisors' ranking of uses of performance appraisal data

Response	Ranking
Promotion	1 st
Training	2 nd
Additional responsibilities	3 rd
Career Development	4 th
Incentive rewards	5 th
Succession planning	6 th
Transfer	7 th
Redeployment	8 th

Source: Field survey 2006

The table gives the indication that management had the will to develop her human resources as shown by the 2nd and 4th ranking of training and career development, respectively. The only thing left was to develop systematic programmes to address the needs. An interview with the HR manager revealed that QJ D was poised and committed to staff development. He said each year a budgetary provision of about 10 billion cedis was made available for training and career development, which in most cases were not fully utilised. He said, however, that as it happens in

most organisations, any time the organisation faced some financial difficulty, the training budget was the first to be sacrificed.

To buttress the point, when supervisors were asked to indicate what influenced their decisions to either recommend promotion or training for their subordinates, they provided responses as shown in Table 19.

Table 19: Criteria for promotion and training decisions

Response	Freq.	%
Strictly on performance	5	7.5
Partially on performance results	18	26.9
Has nothing to do with performance results	33	49.3
No response	11	16.4
Total	67	100.0

Source: Field survey, 2006

The table shows the responses given by management and senior staff as the basis for their promotion and training decisions. About forty-nine percent (49.0%) indicated that their recommendations for training and/or promotion were not based on current performance appraisal results. It became evident that performance appraisal data were not often used for human resource and employee development decisions.

This confusion was evidenced in the data collected. As already indicated there was no evidence of the existence of clearly defined appraisal objectives. The appraisal forms were designed making room for recommendation on a range of uses – including promotion, training, and pay-raise. If the objectives for which the results are to be achieved are not

clear, they will be outputs that cannot be used for any meaningful and relevant human resource decision-making. Interviews, however, conducted gave the general impression that apart from promotions, which are subject to vacancies, employees who are rated high were usually recommended for pay-raise, subject to the fact that such employees were not on maximum notches in their respective salary scales.

According to Randell (1984) all uses of appraisal can be divided into three categories and for each category, an appraisal system should be designed to satisfy only one. These categories are reward reviews, potential reviews, and performance reviews. This is to avoid a situation where the appraiser finds him/herself playing conflicting roles of a "helper" and a "judge". According to Fletcher and William (1989), if the system is designed for salary awards and at the same time to improve performance, it becomes difficult for the appraiser to be impartial. Similarly, the employee is also careful when discussing job related problems in order not to jeopardize possible pay-raise. Randell et al (1984) therefore assert that to overcome these problems, organisations have to take into consideration the primary purpose of the appraisal system and ensure that procedures, training and individual expectations of the system are not in conflict. They further claim that given the choice of the system to be used for performance appraisal and reviews, meeting of objectives, identification of training needs, problems preventing and better performance will provide the greatest advantage. The question is whether organisations should settle for reward reviews and forgo the advantages of

performance reviews or whether they have to put in place two different systems?

Performance appraisal system as a tool for human resource development decisions

General impressions about performance appraisal were received, as summarised in Table 20, from respondents when they were requested to state whether performance appraisal was necessary in the organisation.

Table 20: Employees' perception about the performance appraisal system

Response	Mgt. and Senior staff		Junior staff	
	Freq.	%	Freq.	%
Very necessary	45	67.2	45	56.3
Useful but not essential	12	17.9	15	18.8
Of little value	10	14.9	9	11.3
Completely unnecessary	0	0.0	9	11.3
No response	0	0.0	2	2.5
Total	67	100.0	80	100.0

Source: Field survey, 2006

From the table, 56.3% of the junior staff (appraisees) and about sixty-seven percent (67.2%) of management and senior staff (appraisers) were of the view that performance appraisal was "very necessary" while as low as 11.3% of the appraisees indicated that performance appraisal was "of little value" or "completely unnecessary". About 14.9% of appraisers

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stated that it was “of little value” and none indicating that it was “completely unnecessary”. The responses confirm the work of Locker and Teel (1988) where, after their survey of 324 organisations in the US, they assert that performance appraisal is potentially necessary as a valuable tool for assessing performance and for taking HR development decisions.

As to whether the appraisal system is useful, respondents had these to share as shown in Table 21. The table shows the opinions of respondents, both management and senior staff (appraisers), and junior staff (appraisees) on the usefulness of the performance appraisal system in the organisation.

Table 21: Respondents’ description of the appraisal system

Response	Mgt. and Senior staff		Junior staff	
	Freq.	%	Freq.	%
Useful	35	47.5	38	52.2
Can be useful	28	22.5	18	41.8
Waste of time	4	10.0	8	6.0
No response	0	20.0	16	0.0
Total	67	100.0	80	100.0

Source: Field survey, 2006

About 52.2% and 47.5% of appraisees and appraisers, respectively, were of the opinion that performance appraisal procedures in the organisation are “useful”, even though little value and commitment are attached to the appraisal system. The respondents share the views of

Kavangah (1987), Byars and Rue (1994) and Mathis and Jackson (2000) that performance appraisal determines how well employees do their jobs compared with set standards, and communicating the information to the employees, and ideally establishing a plan of improvement.

When asked how staff perceived the fairness of their performance appraisal by their supervisor/boss/head of department, about eighty-two percent (82.5%) of the junior staff considered their assessment as “Unfair”, while 3.8% said their assessment was “Fair” as shown in Table 22.

Table 22: Appraisees’ impression of assessments

Response	Frequency	%
Fair	3	3.8
Unfair	66	82.5
No response	11	13.8
Total	80	100.0

Source: Field survey, 2006

Those who felt unfairly treated believe that their appraisers did not know how to assess objectively and that the appraisers had no basis for their actions. Indeed, Mullins (1999) in his contribution to performance appraisal system states that top management must make adequate provisions for the proper training of appraisers. If this is done, appraisers will have the skills for objective performance measurement.

To buttress the point, data in Table 23 indicate that about 78.8% of the junior staff view the appraisal system as subjective.

Table 23: Level of objectivity of the performance appraisal system

Response	Freq.	%
Objective assessment	8	10.00
Subjective assessment	63	78.75
Favouritism	9	11.25
Total	80	100.00

Source: Field survey, 2006

Overman (1986) indicates that for any appraisal exercise, the standards by which performance is to be evaluated should be clearly defined and communicated to the employee. Pollack and Pollack (1996) conclude that commitment and support from top management is very paramount to a successful appraisal system. Employees are more likely to accept and be satisfied when they are involved. It is obvious that there were some dissatisfaction among staff with the performance appraisal procedures, based on their level of commitment and performance. One way by which assessment can be considered to be fair is for appraisers and appraisees to understand the bases of the assessment.

When asked how frequently appraisees' supervisors counselled them to improve on their performance, only 30.0% of them said "anytime" while 45.0% responded "occasionally" and about 25% who are seldom and never counselled as shown in Table 24. This corroborates the point earlier made that the performance feedback is not conscientiously done.

Table 24: Frequency of supervisors' discussions on job performance

Response	Freq.	%
Anytime	24	30.0
Occasionally	36	45.0
Seldom	8	10.0
Never	12	15.0
Total	80	100.0

Source: Field survey, 2006

The practice of inappropriate feedback and counselling at QCD is in contrast to the view of James (1988) where he points out that people work, learn or achieve more when they are given adequate and objective feedback as to how they are performing. According to Mathis and Jackson (2000), feedback is to change or reinforce individual behaviour.

Table 25: Assessment of supervisors by subordinates

Response	Freq.	%
Yes	9	11.25
No	71	88.75
Total	80	100.00

Source: Field survey, 2006

Another interesting observation as revealed in Table 25 indicates that as many as 88.8% of the junior employees do not have the opportunity to appraise their bosses while only 11.3% had the opportunity to do so. According to McGarvey and Smith (1993), it is often unrealistic to

presume that one person (supervisor) can fully observe and evaluate an employee's performance. They therefore recommended that realistic raters should include subordinates who rate their supervisors.

Table 26 indicates that there were appraisal interview sessions. Seventy-five percent (75.0%) of the appraisees reported that ways of improving their performance were discussed and 15% said discussions centred on their weaknesses and how to eliminate them.

Table 26: Areas of discussion during appraisal interviews

Response	Freq.	%
My weaknesses	12	15.0
Ways of improving performance	60	75.0
No response	8	10.0
Total	80	100.0

Source: Field survey, 2006

This corroborates the view of Weitzel (1987) who prescribes regular dialogue leading to improve supervisor-subordinate relationship. According to him, dialogue must be co-operative and constructive and focus on the strengths, weaknesses and accomplishment rather than on faults and failures. He concludes that feedback will lead to plans for the future development and progress of individuals.

Some of the appraisees confirmed that such discussions had helped them to improve upon their performance. Additional information was also provided as in Table 27, which reveals that apart from the above,

discussions also centred on training needs and career development as well as promotion prospects.

Table 27: Additional areas of discussion during appraisal interviews

Response	Freq.	%
Promotion prospects	33	41.25
Training needs	39	48.75
Career development	8	10.00
Total	80	100.00

Source: Field survey, 2006

It was the view of some respondents that the discussions on training and development were personal interest supervisors showed in their subordinates and that the HR department hardly did anything with the information provided on appraisal forms.

When the HR manager had the opportunity to comment, he admitted that the main issues that two promotion committees - the Salaries & Wages, and the Senior Staff Promotion Committees - considered were solely on promotions and pay-raise. He however, confirmed that the committees did little with information on the appraisal forms concerning staff improvement and development.

Appraisal systems can be improved by training the appraising supervisors (Mullins, 1999). In many organisations like COCOBOD, managers and supervisors have had very little appraisal training. This was reflected in the responses to questions as shown in Table 28, where as

many as 53.7% of appraisers indicated that they had not undergone any appraisal training.

Table 28: Number of times appraisers had undergone training

No. of times	Freq.	%
Nil	36	53.7
1 – 2	31	46.3
3 – 5	0	0.0
Total	67	100.0

Source: Field survey, 2006

According to Lawrie (1990), appraiser training is inevitable and valuable. He said appraisers are offered insights and ideas on employee rating, documenting appraisals and conducting appraisal interviews will no doubt increase the value and acceptance of appraisal programmes by staff. According to him, training appraisers gives them confidence in their ability to appraise and handle appraisal interviews without antagonism.

However, about forty-six percent (46%) of the appraisers said they had undergone appraisal training once or twice. They indicated that the training exposed them to a clearer understanding of the appraisal system and how to be objective in appraising staff on the basis of comparing performance with defined targets (Overman, 1989; Lawrie, 1990). About fifty-four percent (54%) of the appraisers indicated that they were ready to avail themselves for training to gain understanding and the requisite skills for effective appraisal process. Appraisers had little or no training, designed to equip them with appropriate skills for appraising employees as

evidenced from Table 28. This explains the lack of enthusiasm showed by most appraisers to effectively appraise their subordinates. Consequently, performance appraisal was carried out as a routine administrative exercise.

The extensive process of providing effective performance feedback and interview was missing in the performance appraisal system in QCD. An effective feedback and performance interview would have provided the necessary leverage within the system to deal with anxieties in staff of perceiving the appraisal system to be unfair. The data show that no detailed performance appraisal interviews, counselling and feedback as outlined by Sherman et al (1995) was effectively being practiced in the organisation.

Interviews conducted reveal that the latter was informally done, in the course of performing one's job, and not necessarily during performance interviews. When the last three years' appraisal forms were examined nothing was documented on the forms to guide management in drawing up development programmes for employees. The understanding gained was that they are normally instructions for subordinates to perform some tasks and not counselling per se. The appraisal system is without any effective feedback machinery, except for the appraisees made to sign their appraisal forms to confirm whether assessments made on them were fair or unfair. The procedures of performance measurement being implemented in QCD therefore cannot generate adequate and relevant information for effective human resource development.

The data reveal that appraisers have difficulty relating overall rating of appraisees to the recommendations they make. Appraisers

believe that one of the human resource decisions to which appraisal results should be put to in the organisation was training. Meanwhile, the data reveal that employees were not recommended for training based on appraisal results. It is at appraisal interviews that a lot of discussions can be held to provide adequate information on employees' weaknesses and strengths and how to develop their potentials.

Unless QCD clearly define the objectives for the appraisal system to reflect its major objectives, develop clearly defined criteria that is based on jobs, and equip both appraisers and appraisees with the skills that they require to play their respective roles, assessing performance will not provide adequate and relevant data for effective human resource management.

The expositions above would therefore help in drawing up conclusions and recommendations in the next chapter with regards to the propositional statement as to whether the performance appraisal system in QCD is effective to generate appropriate data to be used, strategically, as a tool for administrative decisions and for developing her human resource or that it is ineffective.

CHAPTER FIVE

SUMMARY OF FINDINGS, CONCLUSIONS AND RECOMMENDATIONS

Introduction

The study sought to ascertain whether the performance appraisal system in QCD was adequately designed and implemented to generate appropriate data in terms of adequacy, relevance, accuracy and practicality effective human resource management. The study further examined the extent to which data generated through performance appraisal were utilized as a management tool for administrative and human resource development decisions in QCD. The study therefore focused on the performance appraisal system since it was the only formal appraisal activity in the organisation. At the end of the study, summary of findings were obtained from the data analyses as presented in the next session.

Summary of findings

The survey revealed that targets were not jointly set between supervisors/appraisers and subordinates/appraises. In addition, the criteria that had been established were not clearly defined and procedures were unclear for objective appraisal. The appraisers had not been trained on how to appraise staff and therefore lacked the skills needed for objective

assessment of appraisees. Consequently, top management and appraisers had little commitment to the performance appraisal system, which had resulted into appraisals not being conducted annually for every staff. The system, thus, became ineffective.

Supervisors/appraisers had no opportunities to participate in the design of the performance appraisal forms. The objectives for performance appraisal were not clearly defined. The appraisal forms had criteria which border on disciplinary issues and traits rather than key result areas, which should be directly related to the strategic objectives of the organisation, and an employee's job description. Indeed, some staff were not aware of the criteria their appraisers measured during performance appraisal exercises. Some appraisers were themselves confused as to what exactly were to be measured and how to objectively measure them. In general, only two sets of criteria had been spelt out on either a senior staff or a junior staff performance appraisal form to measure performance of staff, irrespective of the department they belonged and their job description. In addition, appraisal forms had performance review, reward review and potential review all focused on one form, which made it difficult for supervisors/appraisers to be impartial. The appraisal forms gave little room for appropriate data generation to assist management in HR development decisions.

Consequently, inadequate, inappropriate and unreliable data were generated because of high level of subjectivity. About 50% of supervisors/appraisers indicated that their recommendations for administrative and developmental decisions were not dependent on

performance appraisal data. The system had little effective feedback on performance to aid HR decisions. In effect, the usage of performance appraisal data generated in QCD was limited to only promotion and pay raise. Decisions on transfer, training, career development, succession planning, incentives rewards, etc were, to a very limited extent, based on performance appraisal data. This made staff and supervisors uncomfortable to wholly accept the performance appraisal system because data generated from the system were not reliable.

Both supervisors/appraisers and subordinates/appraisees, however, contended that the performance appraisal system was potentially necessary as a valuable tool for assessing performance and for taking HR development decisions. The staff saw the system useful, even though little value and commitment were attached to it. The performance appraisal system was fraught with problems, which made it subjective and full of favouritism. Consequently, it was inferred that the performance appraisal system at QCD was not being used as an effective tool for staff development decisions because the system lacked effective feedback and counselling.

Conclusions

At the end of the study, the following conclusions were made based on the summary of findings:

The performance appraisal system at QCD was ineffective. Targets were not set and measured jointly by both appraisees and appraisers. The

criteria used in assessing staff were not performance related. As a result, appraisers' and appraisees' commitment to the appraisal system was low.

Secondly, the performance appraisal forms in use were not suitable for objective measurement of staff performance and performance reviews. There were two forms in use – one for seniors and the other for juniors and were used to assess staff irrespective of the individual's job description and the department he/she belonged.

Thirdly, the data generated from the performance appraisal system were inadequate and inappropriate to aid appropriate decision-making. In effect, decisions on promotion were sometimes based on the employee's length of service and not performance. Staff training was planned in the organisation without recourse to appraisal data. The use of appraisal data was, thus, limited to only promotion and pay raise.

Lastly, as a result of the insufficient data generated because of ineffective performance feedback and interviews, it became difficult for the organisation to use the performance appraisal system as a tool for effective human resource development decisions. HR development decisions were taking on ad-hoc basis with little or no reference to performance data.

Recommendations

From the conclusions above, it became evident that the performance appraisal system in QCD was not being effectively handled, which calls for appropriate steps to be taken by management, supervisors, employees, as well as, the HR Manager to address the short-comings.

Consequently, the following recommendations are made to for their study and possible implementation for improvement.

Management should:

- ✓ Clearly define objectives for which the appraisal procedures in the Company were designed to achieve
- ✓ Ensure that corporate objectives and goals are clearly determined by heads of department.
- ✓ Clearly outline contributions of each department in achieving corporate goals.
- ✓ Heads of department to jointly discuss with supervisors and determine their respective roles in achieving departmental goals and set targets.
- ✓ Ensure that performance appraisals are conducted half-yearly to objectively measure performance. Heads of department should effectively discuss appraisal results with subordinates and be committed to address shortfalls in performance and consciously upgrade knowledge and skills of staff to deliver appropriately.
- ✓ Embark on vigorous appraisal training programmes for all employees . Appraisers should be trained to fully understand the principles of goal setting and performance measurement. Secondly, appraisees should be educated to appreciate the procedures involved in objective performance appraisal process and use them.

- ✓ Organise periodic training for supervisors/appraisers to acquire the needed skills for objective performance measurement.
- ✓ Establish standards by which performance is to be evaluated and clearly defined, and communicate these standards to employees, prior to appraisal exercises. The standards should be based on job-related requirements derived from job analysis and be reflections of job descriptions and job specifications.
- ✓ Redesign appropriate performance appraisal forms with criteria derived from job descriptions; identify key result areas of each job; establish standards and use them as basic criteria for measuring employee performance.
- ✓ Be committed and supportive of the performance appraisal system, which is very paramount to a successful appraisal system. Managers from the operating departments should be actively involved, particularly in helping to establish objectives for appraisal programmes. Furthermore, employees should be offered opportunities to contribute to development of the appraisal system.
- ✓ The Transitional Appraisal Forms (appendixes 6 and 7) should be thoroughly discussed with all employees and supervisors to offer them the opportunity to make inputs, understand the various criteria and how they will be measured. It must also be revised periodically.

- ✓ Redesign the appraisal forms to generate relevant data, which will be used to take HR decisions.
- ✓ Conduct further research on this topic to include the effect of organisational culture and values on performance appraisal processes in the organisation.
- ✓ Conduct an in-depth study after the transitional performance appraisal forms become operational for at least two years to ascertain its comparative relevance and effectiveness as against the current one in use.

Supervisors should:

- ✓ Acquire the requisite skills to determine key result areas, set criteria to objectively assess performance, offer timely feedback and discuss strengths and weaknesses of subordinates.
- ✓ Be able to establish with subordinates various developmental interventions that can be introduced to upgrade their capacities to improve performance.
- ✓ Educate subordinates on the performance appraisal process.
- ✓ Redesign the appraisal forms to generate appropriate data during appraisal processes to aid management in decision-making.

Subordinates should:

- ✓ Ensure that supervisors jointly discuss and set targets with them.
- ✓ Understand the objectives of performance appraisal and be committed to it.

- ✓ Thoroughly discuss their performance and development prospects with supervisors.

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APPENDIX 1

UNIVERSITY OF CAPE COAST CENTRE FOR DEVELOPMENT STUDIES

INTERVIEW GUIDE QUESTIONS ON PERFORMANCE APPRAISAL

SYSTEM IN QUALITY CONTROL DIVISION OF COCOBOD

Human resource manager

This survey is to sample opinions among staff on the performance appraisal practices and the use of performance appraisal data for effective human resource decisions in your organisation. It would be appreciated if you could spare sometime and think through the questions for an interview at your convenience. Information provided will be used for academic work only. Strict confidentiality is assured.

1. How many direct subordinates do you have?
2. Who appraises them?
3. When did the appraisal form in use come into effect?
4. Who were involved in the designing of the current Appraisal system?
5. What factors were taken into consideration when designing the appraisal?
6. Would you say that Top Management gives the necessary support for the appraisal system in your organisation?
7. Are you a member of the strategic planning team of your company?
8. What is your perception of the present performance appraisal procedure in my company?
9. What human resource decisions are taken based on performance appraisal results in your organisation?

- 10 How many times are employees appraised in a year?
- 11 To what extent are appraisers given the necessary training to implement the appraisal system?
- 12 To what extent are Heads of departments/supervisors encouraged to set and agree on future performance objectives and targets?
- 13 In your view, what are the challenges to the effective implementation of the performance appraisal system in your organisation?

Thank you

APPENDIX 2

UNIVERSITY OF CAPE COAST CENTRE FOR DEVELOPMENT STUDIES

QUESTIONNAIRE ON THE PERFORMANCE APPRAISAL SYSTEM IN QUALITY CONTROL DIVISION OF COCOBOD

Managers and supervisors (senior staff)

This survey is to sample opinions among staff on the performance appraisal practices and the use of performance appraisal data for effective human resource decisions in your organisation. It would be most appreciated if you could spare some time and complete this questionnaire. The information provided will be used for academic work only. Strict confidentiality is assured. (In all questions please tick only one unless otherwise indicated).

1. Length of Service up to 5 years
 6 to 10 years
 10 years and above

2. How many staff members do you have under your direct supervision?
 1 to 5 5 to 10 10 to 15
 15 to 20 20 and above

3. Who appraises your subordinates?
 myself my boss my head of department

4. Would you say that some form of performance appraisal in your organisation is:
 very necessary useful but not essential
 of little value completely unnecessary

5. How would you describe the appraisal procedure in your organisation?

(a) Senior Staff

(b) Junior Staff

useful

useful

waste of time

waste of time

can be useful

can be useful

6. Indicate your level of understanding of these criteria against which you assess your subordinates

	Highly	Fairly	Ambiguous
Overall Knowledge of Work	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Quality of Work	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Initiative	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Willingness to Accept Additional Responsibility	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Interest in work	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Team Work	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Communication Skills	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Capacity for Future Development	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Punctuality at Work	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

7. As far as the jobs of your subordinates are concerned, would you say that the above listed criteria ... *(please tick appropriate box below to complete sentence)*

are the criteria against which performance should be measured?

are only some of the criteria against which performance should be measured

includes some criteria which are irrelevant and do not measure performance *(please indicate them)*:

.....
.....

8. Would you say your subordinates have a clear understanding of what specific results they are expected to achieve on the job?

Yes No *(please explain your answer)*

.....
.....

9a. Are there some constraints to the implementation of performance appraisal results? Yes No

(please explain your answer)

.....
.....

9b. If 'Yes', in your view, which of the following prevents the effective implementation of performance appraisal system in your organisation.

poor to management support

poor rating system

lack of regular training for appraisers

workers do not understand the appraisal system

10. How many times have you had your performance appraised since 1996?

Nil 1-3 times 4-6 times and more

11. How many times have you had performance appraisal training?

Nil 1-2 times 3-5 times and more

12a. If you answer in 11 was 'Nil', would you like to trained?

Yes No

12b. How useful was the training programme in increasing your understanding of performance?

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

13. To what extent were you involved in the design of the appraisal system in your organisation? (*explain*)

to substantial extent

to some extent

to limited extent

not at all

14. To what extent did you and your subordinates agree on setting future objectives and targets for work? (*explain*)

to substantial extent

to some extent

to limited extent

not at all

15. In your opinion what decision should performance appraisal results be used for? (*please tick as many as applicable and explain*)

training

promotion

transfer

redeployment

- incentive rewards
- additional responsibilities
- succession planning
- career development programmes
- other(s) (please indicate)

16. Are performance results in your organisation used for taking all or some of the decisions indicated in (15) above? (*Explain with evidence*)

- Yes No No idea

.....

17. Which decisions are performance appraisal results in your organisation are used for?

(please tick as many as applicable)

- training (identification of training needs)
 - promotion
 - transfer
 - redeployment
 - incentive rewards
 - additional responsibilities
 - succession planning
 - career development programmes
 - identification of potentials
 - other(s) (please indicate)
-

18. The design of appraisal forms in your opinion ... *(you may tick more than one)*

makes it easy to assess subordinates objectively

does not make it easy to assess subordinates

gives room for favouritism and other forms of biases

others (please specify)

19. Would you say that all or any promotion/training you have had since joining the organisation was based:

strictly on current performance appraisal results

partially on current performance appraisal results

has nothing to do with current performance appraisal.

20. When was the last time your performance was appraised?

last year

two years ago

more than two years ago

never

21. On the whole, would you say that performance appraisal system in your organisation ... *(tick one(1) to complete)*

is working well

is working fairly well

needs to be modified

is not working at all

needs to be completely abandoned

Any other comments you wish to make.....

.....

.....

Thank you.

APPENDIX 3

UNIVERSITY OF CAPE COAST
CENTRE FOR DEVELOPMENT STUDIES

QUESTIONNAIRE ON THE PERFORMANCE APPRAISAL SYSTEM
IN QUALITY CONTROL DIVISION OF COCOBOD

Junior staff

This survey is to sample opinions among staff on the performance appraisal practices and the use of performance appraisal data for effective human resource decisions in your organisation. The information provided will be used for academic work only. Strict confidentiality is assured. (In all questions please tick only one unless otherwise indicated)

1. Length of service
 - up to 5 years
 - 6 to 10 years
 - 10 years and above
2. What is your highest educational level?
 - MSLC GCE'O' level/SSS/R.S.A.
 - GCE'A' level Diploma Other(s) please
specify
3. How long did it take you to progress to your current grade?
 - up to 5 years
 - 6 to 10 years
 - 10 years and above
4. Would you say your promotion was based on
 - seniority
 - performance
 - both
 - other(s) (please indicate)
5. When was the last time you were formally appraised?
 - last year 2-3 years ago 4-6 years ago Never

6. How would you describe performance appraisal procedure in your company?
 useful waste of time can be useful
7. Would you say some form of appraisal in your is (please tick)
 very necessary of little value
 potentially de-motivating completely useless
8. Have appraisals improved your general motivation for increased job performance? (*Explain your answer*)
 Yes.....
 No
9. How often have you and your boss agreed on setting future objectives and targets on your work?
 very often sometimes not at all
10. Did you feel your boss's assessment of your performance was:
(*Explain your answer*)
 unfair,
 fair
11. Please indicate how frequently your boss counsels you to help you improve your performance?
 Anytime Occasionally Seldom Never
12. Which of these was most time spent in discussing ...?
 your strengths your weaknesses
 ways of improving performance primarily on your personality
13. Every year are you assessed on under listed qualities? Would you say that you understand how each affect your work and are you aware of them?

	Yes	No	Comment
Work Output	<input type="checkbox"/>	<input type="checkbox"/>
Working Relationship	<input type="checkbox"/>	<input type="checkbox"/>
Dependability	<input type="checkbox"/>	<input type="checkbox"/>
Verbal and Written Communication	<input type="checkbox"/>	<input type="checkbox"/>
Punctuality	<input type="checkbox"/>	<input type="checkbox"/>
Health Record	<input type="checkbox"/>	<input type="checkbox"/>

14. As far as your job is concerned would you say that the qualities in

Q 13 are the only ones you need to be assessed on?

- There are only some of the qualities that need to be assessed
- All these qualities are irrelevant
- Some of these qualities are irrelevant *please list those that are irrelevant*

15. Would you say that selection criteria in your organization are used for making the following decisions?

	Always	Sometimes	Not at all
Salary
Promotion
Transfer
Retention
Training
Career planning
Feedback
Reemployment
Other: <i>include</i>

16. Would you say any of the following has been discussed with you during selection interviews?

- promotion prospects
- training needs
- career development plans
- potential for higher positions

17. Would you say the following programs are discussed with you during selection interviews?

	Yes	No	Unsure
Changing work methods

Giving you more responsibilities or

Guidance

Recommending a transfer

Other(s) (please indicate)

18. Performance appraisal in my organisation, in my opinion, is based on

objective assessment

subjective assessment

favouritism

other(s) (please indicate)

19. Do you have the opportunity to assess your immediate boss?

Yes No

Thank you

APPENDIX 4

**GHANA COCOA BOARD
P.O. BOX 933
ACCRA**

CONFIDENTIAL

ANNUAL ASSESSMENT REPORT – SENIOR STAFF

NAME: AGE:
 JOB TITLE:
 DEPARTMENT: LOCATION:
 DATE OF ENGAGEMENT:
 PERIOD OF ASSESSMENT:

For the purpose of this report, in parts I and II, insert the appropriate marks in the space provided as follows:

- | | | | | | |
|---------|---|--------------|---|---|-------------|
| 5 | - | Outstanding | 2 | - | Indifferent |
| 4 | - | Very good | 1 | - | Below |
| Average | | | | | |
| 3 | - | Satisfactory | | | |

If 5, 4 or 1 is awarded, a short explanatory remark must be added in the "Remarks" column. The report is to be kept under confidential cover, when completed, should be returned to the Senior Human Resource Manager.

PART I – ASSESSMENT OF WORK & CAPACITY	GRADE	REMARKS
1. Overall Knowledge of the work of the department		
2. Quality of Work (Technical Proficiency)		
3. al skills (ability to control and organize subordinates		
4. Initiative (Consistent self-starter, anticipating difficulties and initiating remedial suggestions)		
5. Willingness to accept additional responsibility (to undertake extra duties or to work overtime)		
6. Interested in work (interest to learn and do more than required		
7. Team Work (Eager to co-operate with others)		
8. Communication skills (spoken and written English)		

9. Capability for further development		
10. Punctuality to work (maximum 3 points)		

I certify that the above is a fair/unfair* assessment of my work and ability during the period under review.

.....
(SIGNATURE OF EMPLOYEE)

.....
(DATE)

(* Where the employee considers the assessment made to be unfair, he/she should write a memorandum to the Ag. Deputy Director, Human Resource/ Executive Director, outlining his/her reasons within 7 days of signing this report).

PART II - SUPPLEMENTARY QUESTIONNAIRE	ANSWER
1. Has he/she shown progress in his/her work during the last year?	
2. If he/she has shown no progress, what are the reasons? (Incapability, lack of training, wrong attitude, poor health or any other reasons?)	
3. Can the defects in (2) be considered capable of correction?	
4. Can he/she be considered <u>eventually</u> for promotion to a more responsible position?	
5. Has he/she any special abilities or talents?	
6. If so, are these abilities being used fully in hi/her present post?	
7. Would he/she benefit from further training? If so, specify	
8. What increment would you recommend? (Delete where Not applicable)	(a) Normal (b) Double (c) Withholding
9. Does he/she merit promotion now?	

PART III - FINAL COMMENTS (if any)

SIGNATURE
(SUPERVISOR) DATE

SIGNATURE
(HEAD OF DEPARTMENT) DATE

PART IV – DEVELOPMENT NOTES

1. What are his/her development prospects?
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.....

2. Does he/she require any training? If so, specify the kind of training
you recommend (paragraphs 2 and 7 of Part II of Assessment Report
refer)

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

SIGNATURE DATE
(HEAD OF DEPARTMENT)

APPENDIX 5

**GHANA COCOA BOARD
P.O. BOX 933
ACCRA**

CONFIDENTIAL

ANNUAL ASSESSMENT REPORT – JUNIOR STAFF

NAME: AGE:

JOB TITLE:

DEPARTMENT: LOCATION:

DATE OF PRESENT APPOINTMENT:

PERIOD OF ASSESSMENT:

NOTE

For the purpose of this report, mark 'X' where applicable in the space provided as follows:

- | | |
|------------------|-------------------|
| 5 - Outstanding | 2 - Indifferent |
| 4 - Very good | 1 - Below Average |
| 3 - Satisfactory | |

ASSESSMENT OF WORK & CABABILITY	JOB REQUIREMENTS AS REFLECTED IN OVERALL PERFORMANCE				
	Out-standing	Above Average	Average	Below Average	Unsatisfactory
1. WORK OUTPUT (Quality and output of work under normal and stressful conditions).					
2. WORKING RELATIONSHIP (interaction with employees, colleagues, visitors).					
3. DEPENDABILITY (ability to carry out assigned tasks efficiently with minimum supervision or direction).					
4. VERBAL & WRITTEN COMMUNICATION (in English)					
5. PUNCTUALITY (in coming to work and remaining at post).					
6. HEALTH RECORD (frequency of absenteeism through sickness, sick leave, etc.)					

6. SALARY & WAGES COMMITTEE'S RECOMMENDATION

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SNR.HUMAN RESOURCE MANAGER

.....
DATE

NB: In the case of Withholding of increment, the Head of Department or Supervisor is requested to indicate whether the incumbent has previously been warned for unsatisfactory performance of duties and there should be evidence on his Personal File to that effect.

APPENDIX 6

GHANA COCOA BOARD

TRANSITIONAL PERFORMANCE APPRAISAL FORM
(2005/2006)

Senior staff

<p>1.0 PERSONAL INFORMATION</p> <p>Name Date of Birth..... .. Age.....</p> <p>Qualification.....</p> <p>Job Title Grade</p> <p>Department/Division Location</p> <p>Date of First Appointment Date of Last Promotion</p> <p>Review Period: From To</p> <p>Review carried out by</p> <p>Reviewer's Job Title</p> <p>Date</p>

The purpose of this Performance Appraisal is to promote the effective use of our staffing resources. The essential requirement in this process is to review duties and performance levels, identify development needs and objectives for the coming year, and to reward performance.

AIM

The aim of the Performance Appraisal and Development Plan is to:

- (a) Encourage meaningful communication between the employee and supervisor
- (b) Inform employees of their level of performance
- (c) Identify skills and aptitudes for development
- (d) Challenge the employee to continually improve performance and personal effectiveness.

2.0 INSTRUCTIONS

- i) Before completing the form, please:
 - (a) Refer to the employee's job description to review the major duties and responsibilities
 - (b) Review the objectives for the previous year
 - (c) Consider the following points:
 - 1. What results are expected from the employee?
 - 2. What has been the employee's contribution?
 - 3. Has the employee been working to full potential?
 - 4. How could this employee's performance be improved?
 - 5. What potential exists for growth?

This finalized copy is signed by the employee, appraiser, and forwarded to the reviewing supervisor for signature. Please forward the completed form to the Human Resource Management Department, not later than two days after completed process.

- ii) For the purpose of this report, discuss with the appraisee at a review meeting the outcome of the rating, and insert the appropriate rating in the space provided, as follows:

- 5 - Outstanding/Exceptional Performance
- 4 - Very Good/Exceeds Expectations
- 3 - Satisfactory/Meets Expectations
- 2 - Indifferent/Marginal Performance
- 1 - Below Average/Unsatisfactory

Rating	Explanation	Deviation
5	Excellent performance in exceeding objective	Exceptional Performance: If performance is above +10% of the required standard
4	Objective met at a level of performance above required standard	Exceed Expectation: If performance is above +5% of the required standard
3	Objective met at the standard required	Meet Expectation

2	Performance has not met some of the requirements of the objective. May have some development needs	Marginal Performance: If performance is below -5% of the required standard
1	Performance has met few of the requirements of the objective and performance must improve significantly	Unsatisfactory Performance: If performance is below -10% of the required standard

3.0 EVALUATION OF KEY RESULT AREAS AND STANDARDS

Key Result Areas	Standards	Rating (Appraisee)	Rating (Appraiser)

3.1 Overall Rating

Sum Total Rating
Number of Key Result Areas
Total Average Score

4.0 RECOMMENDATION BY SUPERVISOR (Tick Appropriate Box)

DOUBLE INCREMENT	3.5 TO 4.4	
NORMAL INCREMENT	2.0 TO 3.4	
NO INCREMENT	BELOW 2.0	

(NOTE: 4.5 and above – One may be recommended for promotion depending on availability of vacancies).

I certify that the above is a fair/unfair* assessment of my work and ability during the period under review.

.....
SIGNATURE OF APPRAISEE **SIGNATURE OF APPRAISER**

DATE DATE
(*Where the appraisee considers the assessment made to be unfair, he/she should write a memorandum to the Director, Human Resource/Executive Director, outlining his/her reasons within 7 days of signing this report).

5.0 HEAD OF DEPARTMENT'S COMMENTS (if any)

6.0 DEVELOPMENT/TRAINING NEEDS

1. What are his/her development prospects?
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.....
.....

2. Does he/she require any training? If so, specify the kind of training you recommend
.....
.....

SIG..... DATE.....
(HEAD OF DEPARTMENT)

7.0 PROMOTION COMMITTEE'S RECOMMENDATION

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HUMAN RESOURCE MANAGER **DATE**

APPENDIX 7

GHANA COCOA BOARD

TRANSITIONAL PERFORMANCE APPRAISAL FORM
(2005/2006)

Junior staff

<p>1.0 PERSONAL INFORMATION</p> <p>Name Date of Birth..... Age.....</p> <p>Qualification.....</p> <p>Job Title Grade</p> <p>Department/Division Location</p> <p>Date of First Appointment Date of Last Promotion</p> <p>Review Period: From To</p> <p>Review carried out by</p> <p>Reviewer's Job Title</p> <p>Date</p>
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The purpose of this Performance Appraisal is to promote the effective use of our staffing resources. The essential requirement in this process is to review duties and performance levels, identify development needs and objectives for the coming year, and to reward performance.

AIM

The aim of the Performance Appraisal and Development Plan is to:

- (e) Encourage meaningful communication between the employee and supervisor
- (f) Inform employees of their level of performance
- (g) Identify skills and aptitudes for development
- (h) Challenge the employee to continually improve performance and personal effectiveness.

2.0 INSTRUCTIONS

- i) Before completing the form, please:
 - (d) Refer to the employee's job description to review the major duties and responsibilities
 - (e) Review the objectives for the previous year
 - (f) Consider the following points:
 1. What results are expected from the employee?
 2. What has been the employee's contribution?
 3. Has the employee been working to full potential?
 4. How could this employee's performance be improved?
 5. What potential exists for growth?

This finalized copy is signed by the employee, appraiser, and forwarded to the reviewing supervisor for signature. Please forward the completed form to the Human Resource Management Department, not later than two days after completed process.

- ii) For the purpose of this report, discuss with the appraisee at a review meeting the outcome of the rating, and insert the appropriate rating in the space provided, as follows:
 - 5 - Outstanding/Exceptional Performance
 - 4 - Very Good/Exceeds Expectations
 - 3 - Satisfactory/Meets Expectations
 - 2 - Indifferent/Marginal Performance
 - 1 - Below Average/Unsatisfactory

Rating	Explanation	Deviation
5	Excellent performance in exceeding objective	Exceptional Performance: If performance is above +10% of the required standard
4	Objective met at a level of performance above required standard	Exceed Expectation: If performance is above +5% of the required standard
3	Objective met at the standard required	Meet Expectation

2	Performance has not met some of the requirements of the objective. May have some development needs	Marginal Performance: If performance is below -5% of the required standard
1	Performance has met few of the requirements of the objective and performance must improve significantly	Unsatisfactory Performance: If performance is below -10% of the required standard

3.0 EVALUATION OF KEY RESULT AREAS/DUTIES

Key Result Areas	Standards	Rating (Appraisee)	Rating (Appraiser)

3.1 Overall Rating

Sum Total Rating
Number of Key Result Areas
Total Average Score

4.0 RECOMMENDATION BY SUPERVISOR (Tick Appropriate Box)

DOUBLE INCREMENT	3.5 TO 4.4	
NORMAL INCREMENT	2.0 TO 3.4	
NO INCREMENT	BELOW 2.0	

(NOTE: Above 4.5 – One may be recommended for promotion depending on availability of vacancies).

I certify that the above is a fair/unfair* assessment of my work and ability during the period under review.

.....
SIGNATURE OF APPRAISEE
DATE

.....
SIGNATURE OF APPRAISER
DATE

(*Where the appraisee considers the assessment made to be unfair, he/she should write a memorandum to the Director, Human Resource/Executive Director, outlining his/her reasons within 7 days of signing this report).

5.0 HEAD OF DEPARTMENT'S COMMENTS (if any)

6.0 DEVELOPMENT/TRAINING NEEDS

1. What are his/her development prospects?

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2. Does he/she require any training? If so, specify the kind of training you recommend

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SIG..... DATE.....
(HEAD OF DEPARTMENT)

7.0 SALARY & WAGES COMMITTEE'S RECOMMENDATION

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HUMAN RESOURCE MANAGER

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DATE