

**ROLE OF PERFORMANCE APPRAISAL ON EMPLOYEE
TRAINING AND DEVELOPMENT:**

A case study of the Ministry of Trade and Industry, Kenya.

BY

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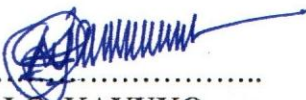
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DECLARATION

I Naftali O Kayuko, hereby declare and certify that this is my original work and has not been presented anywhere for the award of any other degree anywhere.

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Recommendation

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ABSTRACT.

The aim of this study was to determine the role played by performance appraisal on employee training and development. The focus of the study was on the employees of the Ministry of Trade and Industry. The study tried to determine whether decisions regarding employee training, transfer or promotions are made with appropriate reference to the outcome of the employees' performance appraisal outcomes.

The study population was employees of the Ministry of Trade and Industry, Kenya in job group "H" and above. The population was divided into two categories of "H" to "K" and "L" and above. A sample of size fifty (50) was drawn from each category. The data was collected from this sampled population by use of structured and unstructured questionnaire questions. The analysis was done using SPSS, employing such techniques as chi-square (chi-) test, the analysis of variance and correlation. The study revealed that performance appraisal information neither plays any role in decision making regarding employee training and development nor the development of employee profiles for the purpose of human resource planning. As a result, there are 58% gaps in senior positions ("L" and above). The study found out that performance appraisal exercise is a favored ritual, which is not supported. In conclusion, the inefficiency in the Kenyan civil Service can be attributed to the inappropriate role of performance appraisal exercise on employee training and development.

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CHAPTER 1 INTRODUCTION

1.0 Background Information

The human resource is the single most important resource in any organization. All the other resources anchor and revolve around it. Appropriate training and development of the human resource, ensures the efficient use of these other resources.

For effective employee development and utilization of the human talent, performance appraisal plays a key role, since it enables an organization to identify objectively the employee's strengths and weaknesses. Appraisal is inevitable and universal. In the absence of a formal appraisal, people would tend to judge the work of others informally and arbitrarily, which may lead to misunderstanding and create serious motivational, ethical and legal problems. Therefore, if the organization's people are properly appraised and appropriately trained and developed, increased productivity, and improved quality of output will inevitably be achieved, since the human resource, is the principal agent for change and plays a catalyst role in the growth of the economy.

(Ministry of Finance, Kenya: Medium Term Expenditure Framework, 2001).

Developed employees provide a competitive advantage for any organization since they are capable of providing better due to improved skills. People and what they can do are more important than technology or product alone. Organizations that are in pursuit of success must take up the challenge of how to evaluate, utilize, and develop skills and

abilities of their workforce. (McBeath,1994, Anderson, 1993, Bohlander and Sherman, 2001).When people are treated with care, shown trust, listened to, and encouraged to do better, they generally reciprocate by being responsible and productive (Neebere, 2000).

When economies perform poorly, the main cause is usually not lack of finance or technology, but rather, the ineffective development and inefficient utilization of the human talent. That is why countries that have done very well in the area of industrialization have tended to pay special attention to the development of their human resources. For example, during the transition from war to peace, for instance, Western and Central European countries in order to face the challenge of rebuilding and reestablishing their social, economic, and political structures, they embarked on the development of the human resources. Training and development focused on the individuals within the organization, and tried to identify ways in which they could release their own potentialities in line with the organization's goals (Stewart and McGoldrick, 1996)

The newly industrialized countries of Southern Asia have also adopted a similar approach to industrial development, and have so far achieved remarkable success in the area of industrialization. They have been entered in the register of the Newly Industrialized countries (NIC).

The civil service being the prime mover of economic and industrial development, influences the private sector for better or for worse. Appropriate management of the civil service personnel will have a positive influence on the performance of the private sector.

Hence the employee efficiency and effectiveness in the civil service are greatly critical factors in a countries overall development. It therefore means that there is need to address the issue of employee development in the Kenyan economy, in a more focused and articulate manner. To do this, we need to use the instruments, which have been found to be useful in making the employees more efficient. One such instrument is the employee performance appraisals. Through performance appraisal, an organization will be able to establish the various employee strengths, talents and weaknesses. It provides a better basis for human resource planning and decision-making regarding employee training and development, a factor, which improves employee efficiency and effectiveness.

Generally, the civil service employees in Kenya are promoted on the basis of the number of years one has served in one given job group. This approach does not take into consideration differences in employee learning abilities. For example, most schemes give three years as mandatory period for one to serve in a given grade before he/she can be considered for promotion. This plays an inhibitive role towards employee creativity and innovativeness, and consequently frustrates high performers. It is not right to tie for instance, promotion to the number of years an employee has served in a given job group, because learning is personal and is a function of factors such as: basic ability to learn, willingness to learn (motivation), the learning environment and so on. Since employee performance appraisal is a systematic evaluation of the employee's job relevant strengths and weaknesses, employee development will be more objective and result oriented if it is tied to the recommendations made at the end of performance appraisal exercise.

1.1: Statement of the problem.

The role of the performance appraisal instrument in enhancing employee competencies, efficiency and effectiveness, through appropriate employee training and development in Kenya, is unclear. It was not certain whether the appraisal data was developed and used for purposes of decisions regarding employee training and development. In the absence of a clear linkage between performance appraisal results and employee training and development, employees who do not need training would be trained, and those who do not deserve to be promoted would be promoted. Hence, training and development of the civil service workforce does not translate into an efficient and effective workforce because it does not target the right people. This then would be the source of the inefficiency in the Kenyan civil service, in spite of the high expenditure on employee training and development by the government.

1.2: Objectives of the study.

The study objectives:

- i) To determine whether performance appraisal plays a role in decisions made regarding employee training and development.
- ii) To determine whether there is a significant difference between the management and staff, as regards performance appraisal exercises.
- iii) To determine whether performance appraisal exercises play a role in the development of employee profiles for human resource planning.

1.3 Hypotheses.

- i). Performance appraisal does not play a role in decisions regarding employee training and development.
- ii). The staff and the management do not significantly differ in their attitudes towards performance appraisal exercise.
- iii). The management does not use performance appraisal information to develop and keep updated employee profile for human resource planning.

1.4 Justification of the study.

No study of this kind had been conducted for the Kenyan civil service, particularly after the introduction of the current appraisal form, which was introduced in 1999. A preliminary survey conducted by the researcher on the Ministry of Trade and Industry revealed that several senior positions had not been filled, and some had been vacant for some time. It was also revealed that some officers had served in one position for a long time. Such a scenario provoked the researcher's thinking leading to asking a number of questions such as: the officers who had served in one position for along time without training or promotion, were they poor workers? If yes why were they not disciplined, taken for training or their services terminated? If the officers were good workers, why were they not been promoted? It is against such background that the researcher considered the study important. Through the study a number of useful information would be gathered which would help provide answers to questions such as given above. The study would then provide useful insights into the role played by the performance

appraisal information as regards employee training and development, which is a key prerequisite for economic and industrial development.

This study, besides providing a basis for further research in the area, would provide information that, if used, can lead to the efficient use of the civil service workforce and thereby, improve productivity.

This Ministry is particularly suitable for this kind of study for two reasons: one it plays a key role in industrial development, and secondly, the gaps at the senior levels, may have been because of inappropriate human resource planning. This would have been occasioned by lack of developed employee profiles, for purpose of employee forecasting and planning. The study would also provide basis for further researches in the area.

1.5 Scope and limitation of the study.

The research covered employees of the Ministry of Trade and industry, who were serving under job group "H" and above. Due to financial constrains, it was not possible to include the entire civil service. This however, does not invalidate or weaken the results or findings of the study.

CHAPTER 2. LITERATURE REVIEW.

2.0 Introduction

Performance appraisal is defined as a systematic description of the individual or group's job-relevant strengths and weaknesses. It is used for various purposes which can be classified into two broad functions, that is; personnel administration (personnel policy formulation, recruitment, pay, job design, job rotation discipline, lay-off, etc.) and employee development (career planning, training, counseling, coaching, etc.) (Hansen, 1984).

Performance appraisal is one of the most important tools, which if appropriately applied can lead to significant improvement in task performance and motivation. However, it is usually overlooked by many organizations. Managers need to ensure that the part of the organization's objective for which an employee is responsible for is met with optimum use of resources at his/her disposal (efficiency). Secondly, the manager should ensure that there is maximum growth in the employee's knowledge that report to him, because high performance cannot be achieved without necessary attention to employee development.

Workers are not likely to develop without challenges from their work environment demanding more in terms of quality and quantity. A good appraisal system can stimulate managers towards planned actions that they might otherwise postpone or fail to accomplish (Olson, 1981).

2.1 History of the Employee Performance Appraisal.

The scheme dates back to the period of industrial revolution. This period was characterized by mass production and many management thinkers emerged during this period. One such thinker was Taylor (The Scientific Management School of Thought), who argued that, to achieve maximum output, each employee must be properly and thoroughly appraised and given the task for which he is most suited. He should also be trained on scientifically tested methods for performing each task. (Stoner and Freeman, 1989).

The human relations school, building on Owen's understanding that people are vital machines (1800), conducted studies which revealed that improved employee conditions lead to increased productivity. When workers are given adequate attention, they produce better results (Stoner and Freeman, 1989).

Since that time, many countries have tried to put in place programmes aimed at improving employee performance. One such programme is that of employee reviews (Appraisals). Congress for instance, in 1842 passed a law, which mandated the United States Federal Government to start yearly employee performance evaluation for department clerks. This quickly spread to large and small organizations, in both the public and private sector (Stewart, 1996).

Early in 1982, the government of Singapore, constituted a high powered steering committee, to study and make recommendations on how to bring about a change in the civil service. The focus was on the long-term career plan to bring the best out of the civil service, and ensure a good man-to-job match. From the team's extensive survey, it was revealed that performance reports, which emphasized open communication and employee development, was critical for an effective civil service (Rao, 1986).

Ouchi (1981), in his studies on the Japanese management, discovered that the Japanese practised a combination of McGregor 's theory X and theory Y. Ouchi called this combination theory Z. According to this theory, an employee is slowly and continuously appraised and developed. Career planning and development is effectively facilitated by the organization and an employee has a life-long contract with the organization. The Japanese recognizing the human aspect of production, have a philosophy of "IN-WA" (harmony), which espouses the principle of working together (Stoner and Freeman, 1989).

The Korean's have a similar practice where they encourage a family atmosphere in the organization, making the company a one happy family. Company presidents play roles as patriarchs rather than bosses. Company meetings are referred to as family meetings (Stoner and Freeman, 1989). What this means is that a family is where most of the fundamental rights of a human being are protected, it is where one is able to grow and develop freely. Family corrections are not meant to hurt or destroy, they are meant to

build. It is here where an individual is objectively appraised and assisted to overcome his/her shortcomings.

2.2 Performance Appraisal process / systems.

Performance appraisal is a process of determining and communicating to the employee, how he/she is performing in the job, and establishes a plan of improvement (Byars and Rue, 1997). To make employee evaluation more objective, a number of appraising systems must be put in place. Methods of appraising should be clearly stated and the individuals to be involved, identified and trained on how to carry out the exercise with minimum error. A number of approaches to measuring performance have been adopted. These include:

- Comparative Approach, under which we have; ranking methods, forced distribution method, and paired comparison.
- Attributes, under which we have, Graphic Method and mixed standard scales.
- Behavioural approach under which we, Critical Incident, Behaviour Observation Scales (BOS),
- Organizational Behaviour Modification (OBM).
- Result approach under which we have, Management by Objectives (MBO), and Productivity Measurement and Evaluation.
- Total Quality Management (TQM).

Sources to performance information include: supervisors, peers, subordinate, self, and customers/ clients.

In the past, employee appraising was considered an exclusive job of the immediate employee's superior. This method has, however, been found to suffer from a number of rater errors/biases such as: halo effect, severity, leniency, recency, central tendency, contrast, and so on. To minimize these errors, a number of appraisal schemes have been suggested. They range from combination of raters to multi rater approaches. These are: a combination of self rating and superior rating, combination of self rating, superior rating and juniors or a combination of all the above plus peers (360⁰) and some times even other stakeholders like customers, suppliers, etc. (560⁰), are involved in the employee rating process. However, the method to be adopted will depend on the use of the information thus generated, the time available and cost considerations (Byars and Rue 1997, Anderson, 1993).

Before any appraisal is conducted, the standards by which performance is to be evaluated against should be clearly defined and communicated to the employee. The standards should be based on the job relevant requirements, derived from job analysis and reflected in job description and job specification. The standards should permit the manager in consultation with the employee to specify and communicate precise information regarding, quality and quantity of out put. The standards should also be written in quantifiable and measurable terms as far as possible (Bohlander and Sherman, 2001).

In the employee evaluation process, rating may be based on a number of factors. The commonly considered factors are: employee traits, employee behaviour, or employee output. Rating employees using one of the factors in the exclusion of all the others may not

give adequate information regarding the employee contribution. However, all these can be minimized by providing adequate training to raters and specifying the acceptable behaviour, with properly developed, valid, reliable, understandable, timely, and comprehensive performance indicators (Rao, 1986, Anderson, et.al, 1993).

2.3 The need to appraise employee performance

Illgen and Pulakos (1999), commenting on performance appraisal, say that, employee performance is a critical component of organizational effectiveness. Mbiti (1974) gave the human temperaments as the reasons why we need to appraise employees. He classifies employees into four major categories, namely: Loyalists, Bargainers, Agitators, Vegetators, and Rejecters. Mbiti describes vegetators as people who care for nothing except their pay at the end of the month. They have no initiative; they will take the slightest excuse to be off duty, because this gives them more pleasure than working. They require constant supervision (constant watering like vegetables). Without appraising them, they will try to hide amongst others while they do nothing. It is, therefore, necessary to ensure that best practices are put in place, which control the negative behaviour such as exhibited by these categories.

Similarly, Adam Smith (1776), remarked that, “ it is not from the benevolence of the butcher, the brewer, or the baker that we expect our dinner, but from their regard to their own self interest. We address ourselves, not to their humanity but their self-love, never talk to them of our own necessities, but of their advantage”.

From this statement, it is therefore not right to expect that employees will do that which is in the organization's best interest, without any regard to their self-interest. It is important to realize that an employee has his own reason for working. Continuous appraising helps to balance between the employee needs and institutional needs. Thus, to fail to evaluate and adopt effective practices, is to try to get by with less than fully effective human resources, and therefore to have less than an optimally performing organization. It is easy to be busy, but if you are not working towards the right goals, you are just burning energy. Also employees take evaluation as a sign of importance attached to the activity. Therefore what is measured gets done, and if you cannot measure results you cannot reward it, and if you cannot reward success, you are probably rewarding failure (Tobin and Baebler et al 2001).

According to guidelines on staffing (The Directorate of Personnel Management, Kenya 2002), one of the factors that have contributed to poor performance in the civil service has been the inappropriate deployment and redeployment of employees leading to imbalances in the establishment. Under such circumstances some employees are qualitatively overloaded/ underlaoded (doing work in which they lack skills and competencies / doing work which is below their basic competencies), while others are quantitatively overloaded/underlaoded (having more than they can do at the given time period/having too little to do in a given period). Properly and regularly conducted employee performance appraisals, will not only expose these imbalances, but can be used to plan and ensure appropriate employee placement.

One of the key activities that benefit both the employee and the organization is employee training and development. Training helps to answer key employee performance questions such as; is the task well designed? If I try, will I succeed? If I succeed will I be rewarded? And is the reward something I value? And if yes is it fair? (Hess and Siciliano, 1996).

A study done by the National Center for Public productivity (Rutgers University, 1997), at Sunnyvale California, a city of 120,000 (population in the heart of Silicon Valley), revealed that, Sunnyvale measures performance to reward successful managers. If a program exceeds its objectives for quality and productivity, the manager can receive a bonus of up to 10%. Using this system, the city recorded a cost reduction of 20% between 1985 and 1990, and according to a 1990 comparison, Sunnyvale used 35% to 45% fewer people to deliver more services than other cities of similar size and type.

2.4 Kenya's Civil Service Performance Appraisal instruments.

The main appraisal tool is the Annual Staff Appraisal Report (G.P 247). This tool has been revised twice. The first revision was done in 1991 and the second in 1999. The form is marked as confidential and it was filled annually by officer in job group "G" and above, however, now those who are required to fill it are those in "H" and above.. The first section is a personal particulars section, the second dealt with employee record, the third was about qualification and courses attended, the fourth was the assessment section where job elements, such as knowledge of work, quality/quantity of work,

judgments and other elements were evaluated and rated between good and poor. The first edition contained five sections. The first section provided for comments regarding employee potential for further advancement. In this sections the reporting officer had to answer the questions whether:

- i). the officer is suited for the job;
- ii). Is ready for promotion;
- ii) requires further training, and possible type of training.

Obviously, this instrument was limited in many respects. It is not the interest of this study to explore this. However, some of these limitations have been addressed in the subsequent revisions.

The first revision was done in 1991. This was also filled annually for officers in job group "H" and above. There was no major changes. Change made was on those categories to be appraised. Instead of "G" and above it changed to "H" and above.

The second revision was done in 1999. This revision made some important changes to the appraisal blank (form). The guidelines were more elaborated. The section on qualification was expanded to include membership/affiliation to professional organizations. A section on self assessment was added. The section on the assessment by the reporting officer was expanded and so on. For a detailed copy see Appendix 4.

2.5 The need for employee training and development.

The inability of African nations to train capable managers for their industrial, commercial and service organizations has been the main inhibiting factor for really economic and social development (Blunt and Popoola, 1990).

Drucker (1999), commenting on American and European industries, says that the difference between the two is not a matter of capital investment. In many European industries, capital investment and equipment were found in the study carried out by a Stanford research Institute to be fully equal to America, and yet productivity was as much as two-thirds below that of the corresponding American industry. Drucker attributes this difference to lower proportion of managers and technicians and the poor organizational structure of European industry with its reliance on manual skill. He further says that the American economy's increased productivity has been entirely the result of replacement of labour by planning, brawn by brain, and sweat by knowledge. In short what Drucker is saying is that the development of the human resource is the most important aspect in any effort towards increased productivity.

Edward and Freeman (1989), in an article entitled Japanese companies in America, attribute the success of Japanese companies to their management practices, particularly that aspect where training is encouraged and where employees participate in quality circles. The American Company (Kentucky Fried Chicken) in Japan also succeeded by adopting the Japanese approach of hiring for life, and making extensive investment in employee training. Mc Beath (1993) also says that best organizations are those that

manage their human resources well, by understanding people and trying to get the best out of every employee by providing scope and training.

Performance is a function of ability, motivation and environment. Both ability and motivation relate to the intrinsic environment of man, and training is the one important activity that can significantly influence ability and motivation (Cole, 1996).

Training does more than fill the gaps in people's repertoires for doing assigned tasks. Training develops people for the next job, for retirement and for other roles in society outside the employing organization. (Drucker, 1999).

The lost opportunity cost that results from not having skilled employees is frightening. Training improves employee confidence, motivation and commitment. It enhances employee responsibility, Personal satisfaction, career progression and promotion, quality of staff, which ultimately improves organizational performance (Webber, 1999)..

Training, besides providing the required motivation, fills the gap between the required knowledge, skill and attitude possessed by the employee. (Weihrich and Koontz, 1993, Appleby, et al 1993). The other reason why we need to provide training is the fact that after professional training, the know-how declines with passage of time. This decline in know-how is referred to as continuing ignorance. To prevent this (continuing ignorance), we need to have continuing education. This education builds on the basic training, and

improves the worker's competencies and enables him to adapt to changing work needs and practices (AMREF, 1983)

When ignorance is allowed to increase by not putting in place intervention such as training, performance is adversely affected. Catastrophe theory given by Rene Thom, states that, gradual changes can cause sudden catastrophic changes in behaviour. (Appleby, 1994).

The mind is like a parachute; it works best when fully open. Learning is the fuel that keeps the mental engine primed and running. It is the studies that you do after your school days that really count. Many people fail because they let their knowledge buckets run dry. The bucket is more like a funnel, it has a hole in it that drains over time, and if not continually filled, will run dry (Saleemi and Bogonko, 1997).

2.6 Role of Performance Appraisal on employee training and development

Although a person may be successful in his current job, the next level may require behaviours and skills that the current job does not demand. Unless the performance appraisal system allows management to determine if he/she has these attributes, mistakes in promotion decisions are inevitable (Cascio, 1986). There is no need in training people to do what they already can do. Training is an appropriate solution to job-related problems for people who have deficiencies of knowledge or performance (Laird, 1985). Therefore appraising helps the management to identify those who need training, or a challenging job.

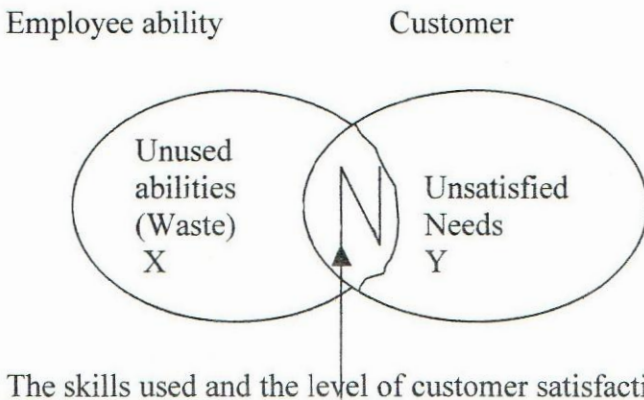
Employees want jobs to be challenging, they want to derive personal meaning from their work. They need to know that they are using their abilities to do a good job of something that is genuinely important. In evaluating, the management can ensure that they are helping to achieve organizational objectives by making the individual jobs not only challenging, but also important (Kennard, 1996).

Personal data analysis is usually used to define employee developmental needs, which can be identified during the periodic performance evaluation. Skills inventory can be developed which will also help in determining a person's need for training (Harris and Desimore, 1994).

In a study done on some U.S.A. corporations (1984), the use of performance appraisal for employee training and development was found to make the employees more effective (Hansen, 1984). Reviews may also reveal the needs of the next job, to which the individual is likely to move to. In this case, the individual's present competencies are evaluated and compared against the competencies required by the next job. Training is also provided after employee review has revealed that current competencies do not meet the anticipated future job requirements, which may be occasioned, by social / economic and technological change. In all these situations, performance review is an important step in identifying the required training.

Using the TQM approach, performance evaluation helps to identify the level and direction of employee efforts. It makes it easy to identify the misplaced efforts, which do not help contribute to customer satisfaction and therefore provide the required skills to redirect the efforts to customer satisfaction and minimize the waste and frustration from employees and customers respectively. This is illustrated in Fig. 1 below:

Fig. 1: **Talent utilization and satisfaction of needs.**



The skills used and the level of customer satisfaction.

Source: Adapted from: Management, by Hess and Siciliano (1996)

What this means is that the employee has skills which can not be utilized so as to enhance customer satisfaction. The skills can be however be used for a different task, which has to be identified. Has long as this has not been done, the resources spent in acquiring this skills is a waste. To minimize this waste, acquisition of skills must be tied to job needs. To identify job needs a job analysis has to done, and to discover the missing required employee competencies, staff performance appraisal needs to be conducted.

2.7. Studies on employee Appraisal in Kenya.

A study conducted by Mzenge (1983), at the Teachers Service Commission (TSC, Kenya) headquarters, revealed that performance reports play a relatively minor role in

influencing management decisions regarding the general management of the human resources. Appraising was found to be based on personality traits, while actual job performance and ability to achieve goals was given little emphasis.

Nyamunga (1999), pointed out that civil service performance evaluation is subjective, and cited this as a factor which has affected the performance of the civil service, since it does not help to identify the employee talents, nor reward best performance. However, this research will be based on the new appraisal instrument, which was developed in 1999 and has more features, which capture more information regarding employee training and development.

Performance appraisal reports did not influence employee promotion in the sugar and paper companies in Kenya (Lijungu, 1996). It is here, perhaps, where the country has gone wrong. Where it trains people who do not deserve to be trained. To succeed we are not just going to train people for general knowledge. They must fit into some need. The need must be identified through an effective appraisal system. A goal general literacy is good, but specific and relevant knowledge is better for the civil service (Kerre, 1980). Generally no significant study has been done on the civil service performance appraisal and how it impacts on employee training and development.

2.8 Theoretical Framework.

Two approaches to performance appraisal have been used so far. The first approach is the Traditional Approach, which focuses on the overall organization and deals with the past

performance. The Traditional approach uses performance for purposes of separation, promotion, transfer, feedback to employees, evaluation of the relative individual contribution, reward decision, among others. However, this approach has been criticized on the basis that it is concerned more with the past than the future. Secondly, salary review is tied to performance appraisal, an aspect that often tends to inhibit employee creativity which is an important element in development.

The second approach is that where performance appraisal focuses more on employee development and it is used for such purposes as employee motivation, employee development, employee training, and general human resource planning. It focuses on providing an employee with opportunities and formally indicates the direction and level of the employee's ambition. It shows organizational interest in employee's development as a measure for the organization to retain ambitious and capable employees and avoid losing them to competitors. It further provides a structure for a two-way communication between the employee and the management, which helps to clarify expectations from both parties. Under such a system, an employee who has been trying to perform better is encouraged.

You cannot manage what you cannot measure. Performance appraisal is the lifeblood of any institution. The process is continuous, never-ending until one die. It begins at that point where performance objectives are established and standards set. This is followed by the actual measurements of performance. The measured performance is then compared with performance objectives and standards, after which necessary action is

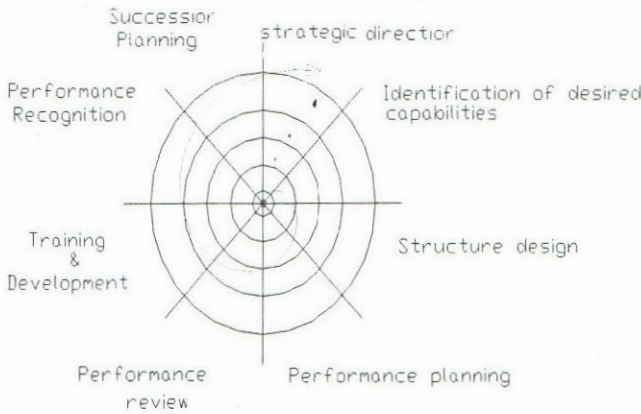
taken and then the process goes back to establishing performance objectives and performance standards, among other things (Zairi, 1996).

TQM approach to management, support the cyclic approach to employee development. According to them, the first step is to choose the area of improvement, organize a quality improvement team, identify bench-marks, perform analysis of current performance using the standards problem solution technique, perform a pilot study, manage and implement the improvement which also completes the cycle (Koontz and Welhrich, 1990).

2.9 Conceptual Framework.

The researcher intends to adopt the second approach to performance appraisal, because employee development plays a significant role in the organization's productivity and improved quality of output. As already noted, Zairi (1996) considers performance measurement as the lifeblood of organizations and the process is that of a never-ending improvement approach. This means that once an employee enters the service, he/she enters in an un-ending improvement program, of training and development. As the organization adjusts her strategic direction to capture new opportunities and climb to new heights, so the strategic objective for each employee should change and thereby the need to be trained and developed. The process will be continuous with a spiral effect as illustrated in figure. 1.

Fig. 2 Spiral Effect on employee development.

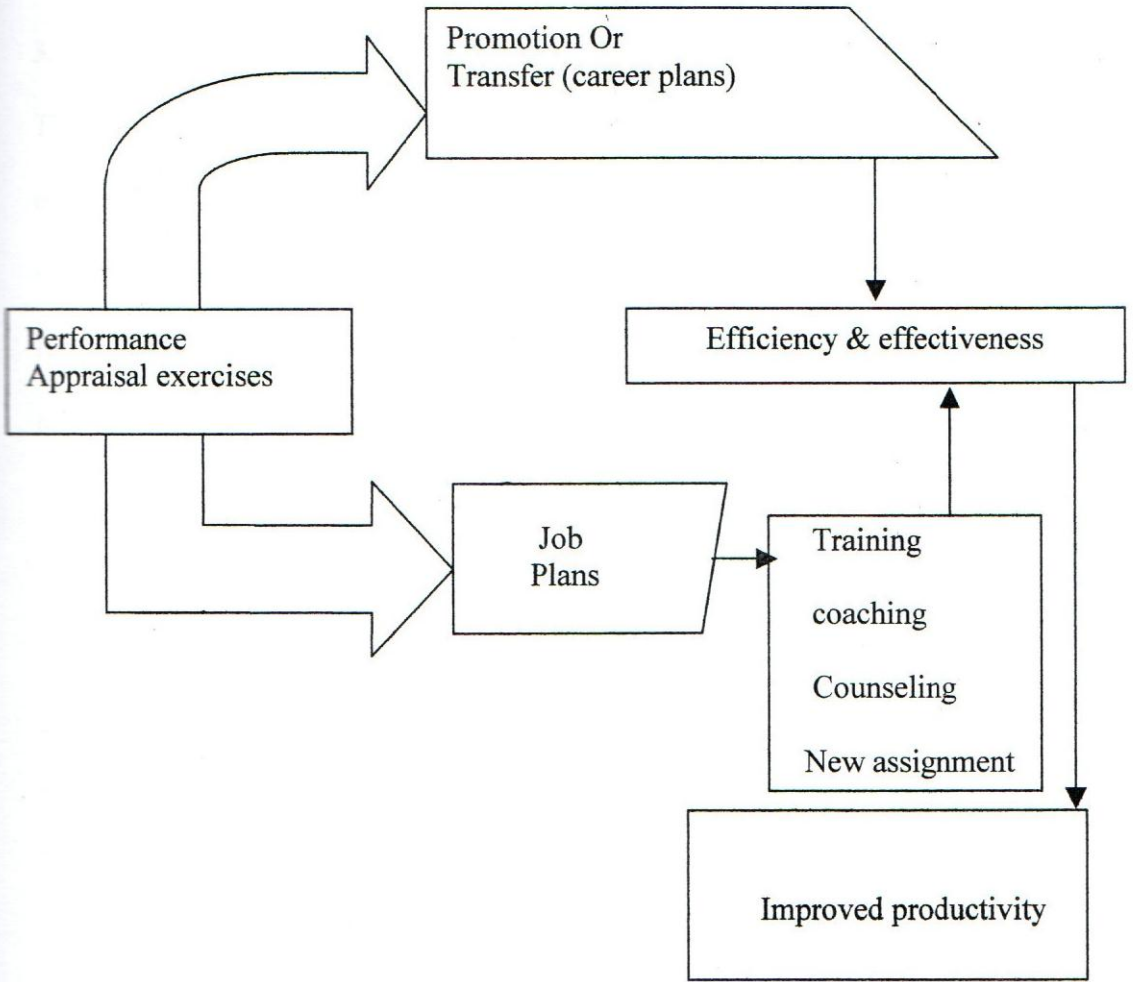


Source: adapted from the Commonwealth Secretariat (2000)

From the figure above it is clear that the organization's strategic direction, is what make the organization want to hire a given type of employees who have specific skills. However, because strategic directions of organizations keep changing depending on the available opportunities, employee skills must also be improved in order to meet the new job demands. The skill development follows the principles of the archmeadian spiral.

Every additional circle represents a new height of employee experience and development. The first circle shows the level of knowledge and experience an individual had during the time of recruitment. Performance appraisal needs to play a major role towards employee development. Fig. 3 below illustrates the role to be played by performance appraisal exercises.

Fig. 3: A chart showing events leading to employee efficiency.



Source: Adapted from Cole (1998)

CHAPTER 3: RESEARCH METHODOLOGY

3.00. Population

The employees of the Ministry of Trade and Industry in job group “H” and above were considered. The total employees under this category were, three hundred and twenty five(325). Two random samples of size fifty ($n=50$) was selected. One sample was drawn from heads of departments / sections, while the other was drawn those in job group “H” to “K”.

The civil service employees are ranked and categorized using the method of job groups. The job groups range from “A” to “U”. Job group A is the lowest in the scale, while job group U is the highest job group. Job groups “A” to” G” are given to staff members who provide services such as: messengerial, manual labour, typing, clerical services and so on. These are junior staff and are normally not officially appraised. Therefore, they did not qualify for purposes of this study. The second category is from job groups “H” to “K”. This is a category for junior professionals and a direct entry to this category requires a minimum academic qualification of a diploma / degree or the equivalent. The third category is that of “L” to “U”. This is a senior category of workers. Direct entry to this category requires a higher professional degree in specialized fields such as: medicine, pharmacy, engineering, or a presidential appointment.

3.01: Research Design.

The researcher purposively stratified the Ministry into ten divisional categories. This was to ensure that the samples, selected would be more representative of the general population. The researcher randomly selected proportionate members from each division, which constituted two samples of size fifty each. The first sample was that of heads of departments/sections in job group “L” and above. The second sample was drawn from employees in job group “H” to “K”.

3.02. Sampling Design.

The study focused on employees in job group “H” and above. This is because; this is the category of workers, who are officially appraised. From the preliminary survey of the ministry’s workforce, the total number of under this category were three hundred and twenty five (325), among these were those in job group “L” and above were one hundred and one (101). The researcher selected two samples of size fifty ($n=50$) each of workers in category “H” to “K” and “L” and above respectively. Category “H” to “K” are here also referred to as “appraisees’ (those appraised), while those selected from category “L” and above will represent the category which will be referred to as appraisers (those who appraise others).

The population under study was purposively clustered into ten strata to capture the main departments of the ministry. The stratified departments were as follows: The general administration, which had 39 members who were between “H” and ‘k” and 22 “L” and above. From category “H” and above; six (6) members were randomly (ruffle method)

selected, while twelve (12) were randomly selected from category “L” and above. The second department was that of personnel with twelve (12) members of staff with three (3) under category “L” and above. From this category two were randomly selected from category “H” and one from category “L” and above. This was done for all selected remaining departments of; Accounts, Business Premises, Internal trade, Trade Monitoring and Research, KIBT (Kenya institute of business training), External Trade, Industry, Weights and Measures, Property Office, and KITI (Kenya industrial training institute). For a detailed sampling frame see, appendix. 1

3.1 Data collection.

The researcher employed the questionnaire method of data collection. Two sets of data was collected, one was that of employees in job group “H –K” and the other was that of employees in job group “L” and above. The researcher administered the questionnaire personally, to make sure that variability was minimized. See appendix2 and 3 for the sample of the questionnaires used. The specific data collected included:

- i) The number of: training, promotion, new assignments, transfer, coaching, and counseling recommended.
- ii) The number of: training, promotion, new assignments, transfer, coaching, and counseling executed during the period under review.
- iii) Whether the performance appraisal exercise was an exercise which was highly regarded and favoured.
- iv) Whether employee profiles are developed from the data generated for planning purposes.

3.2 Data Analysis.

The data analysis software such as SPSS, Excel were employed to ensure proper analysis of data. The χ^2 (Chi-square test) was used in analyzing data to determine the various relational problems under the study. The χ^2 test being a nonparametric test, was best suited for this study. The χ^2 test is defined as:

$$\chi^2 = \sum \frac{(O_{ij} - E_{ij})^2}{E_{ij}}$$

Where: O_{ij} = observed / actual frequencies.

E_{ij} = expected frequencies.

The test was used to determine whether, there was a significant relationship between how the performance appraisal exercise was viewed by both the management and the staff. The null hypothesis (H_0), was that there was no significant difference between how the management and the staff regarded performance appraisal exercises. This was tested against the alternative hypothesis (H_1), that there was, a significant difference between the two. The relationship was tested at level of significance 0.05. If the calculated χ^2 is found to be greater than the tabulated value, the null hypothesis will be rejected. However, if the calculated value is found to be less than the tabulated value, then, the null

hypothesis (Ho:), would be accepted. The expected frequencies were determined by use of the formulae below.

$$E_{ij} = \frac{\text{Marginal row total} \times \text{Marginal column total}}{\text{Sample size}}$$

Where, E_{ij} are expected cell frequencies.

To test the difference between category ‘H’ and category ‘L’ in terms of whether they favour performance appraisal exercises or not, a Chi-square test was applied by use of a contingency table as illustrated below:

Attitudes towards performance appraisal exercises.					
Category Of employee	Strongly In favour	In favour	Indifferent	Not in favour	Total
“H” and above	(a)	(b)	(c)	(d)	M1
“L” and above	(f)	(g)	(h)	(i)	M2
Total	(a+f)	(b+g)	(c+h)	(d+i)	N

The degrees of freedom for the above contingency table will be $(4 - 1) (2 - 1) =$ three degrees of freedom. For these degrees of freedom at 0.05, level of significance, the tabulated chi- square is: 7.815.

$$\chi^2 = \sum \frac{(O_{ij} - E_{ij})^2}{E_{ij}}$$

Inference: If the tabulated χ^2 will less than the calculated, then the null hypothesis would be rejected and the alternative hypothesis adopted.

3.3 Data Presentation

The analyzed data is presented using descriptive statistics, that is, means, standard deviations, frequency tables, charts and graphs. The test statistics is discussed and inferences made as stated in the analysis of methodology.

CHAPTER 4: DATA ANALYSIS AND RESULTS.

4:1. Responses from category “L” departmental/section heads:

Of those interviewed under this category, forty two percent (42%) reported that the appraisal exercise leads to a better understanding between superiors and subordinates. Thirty percent (30%) were indifferent, while twenty-eight percent (28%) said that the exercise does not lead to a better relationship between superiors and subordinates (See Appendix 6). Ideally, the exercise is supposed to improve the relationship between superiors and subordinates since the two are supposed to discuss the outcome of the appraisal, in an effort to removing any impediments or constrains towards achieving higher efficiency. Forty two percent indicates that the instrument is on an average, not appropriately used for the purposes for which it was intended.

On the issue of employee productivity, 44% indicated that performance appraisal leads to improved productivity, 16% were indifferent, while 40%disagreed (See Appendix 7). Performance appraisal as currently conducted and used does not enhance employees Productivity. Under the ideal circumstances where the instrument is properly administered for purposes of identifying strengths and weakness and taking corrective measures, employee efficiency and effectiveness, is likely to be enhanced and thereby improve productivity. The information here obtained is an indication that those who conduct the appraisal do not seem to be using the information gathered for purposes of employee training and development.

On whether decisions regarding employee training and development are made based on the information gathered through performance appraisal, 56% of the officers indicated that the information is not used for this purpose, 18% were indifferent while 26% said it does (See Appendix 5 & 6). On the average, we can say that the instrument is not used for the purposes of decision-making. Hence, the countries' stagnation in economic and industrial development can be attributed to the inappropriate use of the performance appraisal instrument, which has led to employee inefficiency and ineffectiveness.

In terms of using the information collected to develop the employee profile for purposes of human resources planning, 74% reported that the information is not used to develop employee profiles for purposes of human resource planning, 20% were indifferent, while only 6% reported that performance appraisal helps develop employee profiles for purposes of human resources planning (See Appendix 9). This small ratio is perhaps the reason why there are gaps in senior position ranks (unfilled vacancies). With appropriately developed employee profiles, showing specific employee competencies at each position, expected retirement and possible source of recruitment, the current 58% of unfilled senior level positions, would have been avoided. This scenario has far reaching influences on employee efficiency and effectiveness. It is a common practice in the civil service that when an officer is said to be performing duties which should be performed by his senior, he /she does not receive appropriate recognition and support. His senior colleagues who do not consider the officer has their equal often intimidate the

officer. This may lower his efficiency and effectiveness, besides, the officer may lack certain needed competencies for the job.

In terms of attitude, 40% of respondents feel obliged to put the very best into performance appraisal exercises, while 60% do not feel obligated to give their very best to the exercise. Those interviewed under category "L", 76% reported that they do not maintain updated employee profiles. The negative attitude exhibited by the senior staff members can be the reason why data obtained is not developed into an employee profile, which is maintained and continuously updated.

It is observed that Performance appraisal is conducted regularly (70%). However, it does seem that the information obtained is not further processed to make it usable. Regarding its role in employee Training and development, 18% identified no benefit for performance appraisal, 14% said it is used for counseling purposes 8% said it is used for coaching purposes, 6% said it is used for new assignments, 36% for training and 18% for promotion purposes. This outcome does reveal that the respondents were not keen on the answers they were giving. Even after ascertaining that the information is used for training and promotion purposes, seventy-two percent (72%), of those interviewed under category 'H' indicated that training and development was not based on the appraisal outcomes (See Appendixes 5 & 6). This is due to the fact that most of the activities conducted were based on the availability of finances and individual employee initiatives.

4:2.CATEGORY “H” TO “k”.

The range of years the employee had served under the current job group was between 1 year and 14 years; the mean was 6.08 years. Those who had served in their current job group for more than five years constituted 60%. What this means is that officers are not often considered for promotion .As per the Civil Service Code of Regulations (2000, revision), an officer is deemed eligible for promotion after serving in a job group for at least three years. Comparing this with performance appraisal outcomes in which it was reported that 74% of the officers were rated between good and very good, it means that the majority of the workers were rated as promotable and yet they were not promoted. This is a situation created by not using the performance appraisal information. Therefore, lack of utilizing appraisal information can be the main reason for the unfilled vacancies.

In terms of commitment to the performance appraisal exercise, 40% reported regular appraisals. Has for the appraisal coverage, there is fair understanding of the areas considered during appraisal. Of those interviewed, 50% reported a multifactor while 40% thought it was based on work performances (See Appendix 14).

Concerning who performed the rating, 82% reported that their immediate supervisor did it, 18% indicated that they rated themselves. This is obviously not correct, since it is a requirement that both the superior and the subordinate participate in the exercise. The process was however, on an average, described as objective, with only 4% describing the process as subjective. In terms of the purposes for appraisal 26% said it is done so as to communicate to the employee his/her work performances, 4% said it is done for purposes

of guiding and counseling the employee, 40% said it is meant to identify training needs while 29% said it is meant to justify transfer (See Appendixes 5 & 6).

Looking at the relationship between the performance appraisal result and the employee, training and development, 66% reported that the two are not related, while 30% indicated an average relationship. In spite of this, 68% of the respondents indicated that they favoured performance appraisal exercises. Even then, 72% of the respondents said that development activities received by them were not based on performance appraisal outcomes (See Appendixes 5 and 6).

4:3. Comparisons of what was recommended and executed.

When what was recommended is compared with what was executed, the data shows some relationship, as revealed in the following table and chart.

Table 4.1. Shows comparisons of recommended and executed actions.

The table below shows the variables that were considered during the study and the responses in terms of what was recommended and what was executed.

Table 4.1. Comparisons of recommended and executed after appraisal principles.

	RECOMMENDED			EXCUTED		
	1999	2000	2001	2000	2001	2002
TRAINING	60%	56%	46%	16%	30%	34%
PROMOTIONS	42%	42%	46%	30%	32%	40%
NEW ASSIGNMENTS	8%	16%	10%	16%	2%	8%
COUNSELING	4%	2%	4%	2%	0%	8%
COACHING	2%	0%	0%	0%	2%	6%

Note that the comparison is made between what was recommended in time t_n say, against what was executed in the proceeding period t_{n+1} say.

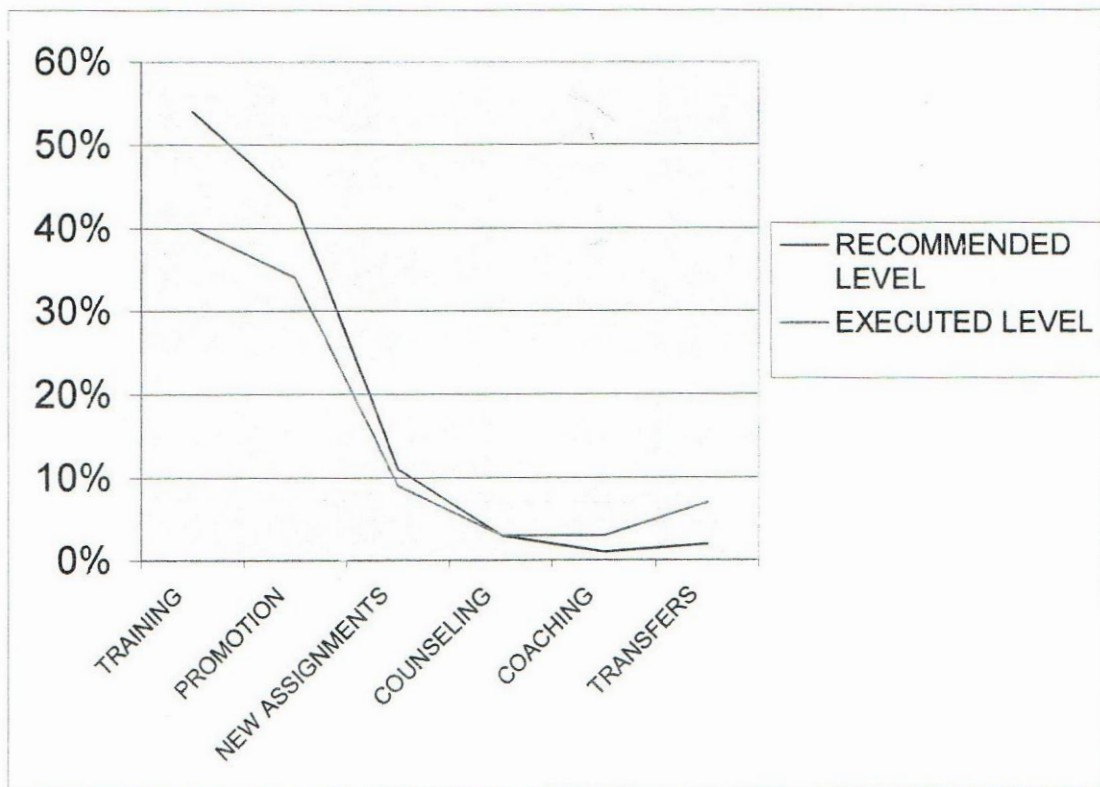
The variance table below has been obtained by subtracting what was executed from what was recommended in the previous year. This is because there is time lag between recommendations and implementations.

Table 4.2. Variance between the recommended and the executed.

VARIANCE		
R 1999 - E 2000	R .2000 - E 2001	R 2001 - E 2002
44%	26%	12%
12%	10%	6%
-8%	14%	2%
2%	2%	-4%
2%	-2%	-6%

From the above variance table it is clear that there is a big difference between what was recommended denoted by R against those executed in the proceeding year denoted by E. It is therefore clear that the appraisal information was not used in conducting training and development programmes for employees. The appraisal information played no role here. The variance value of 44%, 26% and 12% are quite large. Even though the comparison between the trend of what was recommended is similar to that of what was executed, as shown in Figure 4.1, the relationship can be regarded as spurious.

Fig. 4.1: A graph showing a comparison between the recommended and executed principles.



The above relationship could be attributed to fact that the government has yearly budgetary allocations for employee training and development. However, those who benefit from this fund are not necessarily those who merit in terms of the desired competencies. Therefore, the above correlation can be said to be a chance correlation (spurious).

In terms of whether, the instrument is accepted by both the supervisors and the worker, the following responses were obtained from the respondents as given in table—below.

Table 4.2. Those favouring/not favouring appraisal exercises.

Level of acceptability	category "H".	Category "L."
Strongly favour	24	20
Favour	10	18
Indifferent	13	12
Not favour	3	0

The values which were less than five were pooled together in order to apply the chi-square test. See Appendix 5 table 5 and Appendix 6 table 2. The pooling of the cell frequencies which were less than five changed the degrees of freedom to two. For this number of degrees of freedom, the tabulated chi-square (χ^2) is 5.991. From the analysis, it means that the null hypothesis H_0 : is to be accepted since the tabulated χ^2 (5.991) is greater than the computed χ^2 (3.220779). See appendix 6 table 4.5 for computation of the test.

The result shows that the two groups do not significantly differ in terms of the need to have performance appraisal exercise. However, a good number of respondents indicated that they are not committed to it, since it does not serve the purpose it was meant for. They reported that the exercise is a burdensome ritual, which serves no purpose. Perhaps this helps to explain the inefficiency in the civil service has occasioned by inappropriate

employee training and development, as a result of poor utilization of the performance appraisal information.

CHAPTER 5: CONCLUSION AND RECOMMENDATIONS.

5:1. Conclusions.

From the study, it is clear that the government does provide training and development for her employees even though not adequate. The level of training recommended was only fifty four percent (54%), which is rather low. However, the major drawback was the fact that the employee training and development provided was not based on the recommendations made during performance appraisal exercises. Seventy two percent (72%) of those interviewed indicated that, the training and development provided by the government, was not based on the performance appraisal interview outcomes. This means that the performance appraisal exercises do not contribute to decisions regarding employee training and development. Seventy two percent (72%) is too high an index. This can be the reason for the high civil service inefficiency and ineffectiveness in spite of the high financial commitment from the government towards employee training and development, as provided for in the government's annual budgetary reports.

Regarding the support and commitment towards the exercise, fifty six percent (56%) of the officers who conduct the appraisals, indicated that the instrument is not used in making decisions regarding employee training and development. A much higher percentage of seventy two percent (72%) was indicated by those appraised (category

'H'). However, sixty four percent of those interviewed under category "L" indicated that they prefer having the exercise and sixty eight percent (68%) of those under category "H" also supported the appraisal exercise.

The result of the chi-square test revealed that, there is no significant difference between the two groups. The computed chi- square (3.221) was less than the tabulated chi – square (5.991) for three degrees of freedom. However, the two groups reported that there was no commitment to the exercise. This perhaps is the reason for the inappropriate employee training and development thereby, occasioning the inefficiency and ineffectiveness in the civil service.

When performance appraisal information does not play a role in employee training and development, then, employees who do not need training are trained while those who need training are promoted instead. The consequences of such action are that, those promoted can not be effective and efficient because they lack skill competencies, while those trained add no value because they already had the required competencies.

5:2. Recommendations:

The Human Resource is the single most important resource of any organization. In order for this resource to play its role effectively, there is need to appraise each employee more comprehensively in a view to discover employee potential, to harness and develop this potential and also to discover and eliminate employee weaknesses through appropriate

training. To achieve this, the appraisal information should not be treated as confidential information to be kept under lock and key, as is the case currently.

The data collected through performance appraisal exercises should be developed into appropriate employee profiles for purposes of human resource planning. This would avoid a situation where vacant positions remain unfilled for a long period. The Gantt charts should be used. This is where at least three officers are adequately trained and developed in readiness to move to the next level in the event that occupant leaves the service. For example, provisions should be made for the anticipated retirement of an officer. In general, all schemes of service should provide for a pyramid structure.

Performance appraisal exercises need to be given more support from government policy makers who should also ensure that employee training and development is based on the outcome of performance appraisal exercises. The employees need to be sensitized on the importance of accurate appraisal information. Both the management and the staff do favour performance appraisal exercises but they are not committed to it. It is therefore necessary to try and determine the reasons why through further research.

Finally, there is need for further research to cover all sectors of the Kenyan civil service.

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APPENDIX 1: Sampling Frame.

	Total Population "H" and above	No. to be selected	Total No. "L" and above.	No. to be Selected
General				
Administration	39	6	22	12
Personnel	12	4	3	1
Accounts	16	5	4	2
Internal trade	25	4	8	5
KIBT	20	3	5	3
External trade	37	6	5	3
Industry	36	6	10	6
Weights & Measures	10	2	4	2
Property Office	48	7	16	8
KITI	49	7	16	8
TOTAL	325	50	101	50

APPENDIX.2: QUESTIONNAIRE FOR CATEGORY 'H' TO 'K' EMPLOYEES.

The purpose of this questionnaire is to collect data, which will be used for an academic research; leading to an award of an MBA degree of Egerton University. The information will be treated as confidential and will be used for this purpose only. Please answer the following questions as objectively as possible.

Q1. Please indicate your current department/section in space here provided.

Q2. Please indicate your job grade (job group). -----.

Q3 For how long have you served in this grade? -----.

Q4. In the last three years (2000 –2002), how many times have you been appraised?
Please tick one.

a). Once b). Twice. c). Three times. Specify. -----.

Q5. What would you say this appraisal was based on? Tick the most appropriate.

a) Work performance b). Punctuality c). How you related with others.

d)Your personality e) None of the above f). All the above. g). Specify. --

Q6. Who conducted the appraisal? Tick the most appropriate statement (s).

a) You appraised yourself by the performance appraisal form.

b) Your immediate supervisor appraised you.

c) Your peers appraised you.

d) Your juniors appraised you.

e) Customers / Clients.

F) If none of the above, please specify. -----

Q7. How would you describe the appraisal process above?

a) Very objective.

b) Objective

c) Fairly objective

d) Subjective.

Q8. What would you say are the reasons for conducting performance appraisal?

a) To find mistakes and take disciplinary action.

b) To communicate to employee how he /she is doing.

c) To provide guidance and counseling.

d) To determine the employee's training needs.

e) To promote the employee.

f) To justify transfer

g) It is just a formality.

Q9. In front of each of the personnel / developmental activities listed below, indicate how many times you have been affected / benefited during the specified period under review (2000 to 2002) from:

<u>Activity</u>	<u>2000</u>	<u>2001</u>	<u>2002</u>
a) Training. -----	<input type="text"/>	<input type="text"/>	<input type="text"/>
b) Transfer. -----	<input type="text"/>	<input type="text"/>	<input type="text"/>
c) Promotion. -----	<input type="text"/>	<input type="text"/>	<input type="text"/>
d) Counseling. -----	<input type="text"/>	<input type="text"/>	<input type="text"/>
e) Coaching. -----	<input type="text"/>	<input type="text"/>	<input type="text"/>
f) More challenging assignments.	<input type="text"/>	<input type="text"/>	<input type="text"/>

Q10. How would you describe the relationship between what you have indicated in Q10 above and performance appraisal results (plan of action), of your last appraisal?

- a) There is a strong relationship.
- b) The two are averagely related (50%).
- c) The two are poorly related (less than 50%).
- d) There is no relationship.

Q11. Regarding performance appraisal in general, would you say that you:

- a) Strongly favour it?
- b) favour it?
- c) Are neither for nor against it (indifferent)?
- d) Against it?
- e) Strongly against it?

Q12. Which of the following statements fairly describe the reason for your above opinion?

- a) It is objective and serves well the purposes for which it is conducted.
- b) It is subjective and does not serve the purpose for which it is conducted.
- c) I do not understand its role.
- d) It is wrongly used.
- e) It does not serve any purpose.

Q13. In your last performance appraisal, was the outcome (how you were rated) made known to you?

Yes

No

Q14. If your answer in question 14 above was yes, what was this outcome?

a. Excellent.

- b. Very Good
- c. Good
- d. Satisfactory
- e. Unsatisfactory.

Q 15..After you were rated as you have indicated in question 15 above, a recommendation was made for either improvement or promotion, please indicate what was recommended.

Recommended	1999	2000	2001
Training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Promotion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
New Assignment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Coaching	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Counseling	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Transfer	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Q16. The action that was taken after your appraisal, would you say that it was based on the outcomes of your performance appraisal?

- a) Yes
- b) No
- c).To some extent.

Q17. do performance appraisals play a role in employee Training and Development?

Yes No

Briefly explain-----

APPENDIX 3: QUESTIONNAIRE FOR OFFICERS IN JOB GROUP "L" AND ABOVE (HEADS OF DEPARTMENT/ SECTION).

This questionnaire is intended to collect data that will be used for a Master of Business Administration Degree research project. The information thus provided will be confidentially treated and used for academic purposes only.

Please answer as objectively as possible the following questions, regarding employee performance appraisal, and the developmental factors recommended and executed.

Tick the options below, which describe better your position regarding the pre-ceding statement.

Q1. Performance appraisal helps to develop a better understanding between superiors and subordinates.

- a) Strongly agree.
- b) Agree
- c) Neutral
- d) Disagree.
- e) Strongly Disagree

Q2. Performance appraisal makes a useful contribution to the department / section by encouraging employees to perform more productively in their jobs.

- a) Strongly agree.
- b) Agree.
- c) Neutral (indifferent).
- d) Disagree.
- e) Strongly disagree.

Q3. In most cases decisions regarding employee training, promotion, transfer, counseling, coaching and new assignment, are based on the outcome of performance appraisal interviews.

- a. Strongly agree.
- b. Agree
- c. Neutral (indifferent)
- d. Disagree.
- e. Strongly Disagree

Q4. How often do you conduct performance appraisal interviews for your staff?

- a) Regularly (every year)
- b) Less regularly (some years may pass)
- c) Occasionally (when asked).

Q5. Employee performance appraisal results are not used in developing employee profiles for purposes of human resources planning.

- a. Strongly agree.
- b. Agree
- c. Disagree.
- d. Strongly Disagree

Q6. How have employees under you benefited as a result of performance appraisal exercise between 2000 and 2002?

- a) Counseling
- b) Coaching
- c) New more challenging assignments
- d) Training
- e) Promotion.

Q7. Based on the current uses of performance appraisal outcomes, do you feel personally obliged to give your very best into the exercise? In other words are you in favour of the exercise considering it's current use? Select one of the options below.

- a) Strongly in favour
- b) In favour
- c) To some extent (indifferent)
- d) Not in favour
- e) Strongly not in favour..

Q8. In your department / section, do you develop, keep an updated employee profiles showing each employees competency level, when due for promotion, retirement and the possible sources of replacement if necessary?

- a) Yes
- b) No

Q9. do you think performance appraisals play a role in employee Training and Development? Yes No

Q9. How can performance appraisal be made to serve employee developmental function better?

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APPENDIX 4: Kenyan Civil service Annual Staff Appraisal Report Form.

ANNUAL STAFF APPRAISAL REPORT

GP 247 (Revised 1999)

General Guidance

1. The basic purpose of the Staff Appraisal System is to assess an officer's performance in the job as comprehensively and objectively as possible, with the help of full knowledge and understanding of the job descriptions and job requirements. The information in the Appraisal Report will be used assessing the training needs and in determining the officer's potential for promotion. It is therefore, important to provide accurate information on the officer.
2. In proposing the amendments in the current in the current GP. 247, consideration has therefore been given to the objectives of an efficient and effective appraisal system in the Civil Service. The appraisee should be supplied with a copy of the form and agreed workplan, at the beginning of the review period.
3. The Staff Appraisal Report should reflect a series of incidents covering and should normally be submitted once at the end of each calender year.
4. In addition to personal particulars which include employment track record and qualifications/experience, an officer's self assessment, in terms of work performance and results is provided in Section 4.
5. As a guide for objective assessment, the Reporting Officer is required in section 5 to give the job description and job requirements for the position for which an officer is being appraisal.
6. While retaining the current format for assessing an officer's performance by the immediate supervisor, the Reporting Officer is further required to give details on the performance of the appraisee during the period. In doing so, the reporting officer has to indicate any constraints which may have prevented the appraisee from achieving better results/performance in the job.
7. The reporting officer is also required in Section 6, 7 and 8 to comment in detail, on the potential for promotion and also make proposals for performance improvement of the appraisee.
8. In Section 9, the reporting officer is required to ensure that the appraisal report has been fully discussed with the officer being appraised.
9. The Report covers all staff in Job Group "G" and above in the Civil Service and officers in Local Authorities who are in salary scales 1 – 15. However, the reports for staff in Job Groups "G" to "H" and officers in Local Authorities in salary scale '10' to '15' will not be forwarded to PSC but will be retained for use by the respective Ministries or Local Authorities.

10. The reporting officer will normally be the officer's immediate supervisor and the countersigning officer will be the immediate superior of the reporting officer. The examples below illustrate how this could be done:
- (a) For a Report on a District Officer, the reporting officer will be the District Commissioner while the countersigning officer will be the Provincial Commissioner.
 - (b) An Appraisal Report on an Assistant Agricultural Officer, the reporting officer will be the Agricultural Officer in-charge of a District and he countersigning officer will be the Provincial Director of Agriculture in-charge of a Province.
 - (c) An Appraisal Report on an Assistant Secretary, in a Ministry Headquarters, Section Heads such as Under Secretary or Deputy Secretary under whom the Assistant Secretary works, will be the reporting officer and the countersigning officer will be the Permanent Secretary.
 - (d) For Local Authorities, Reporting Officer will be Town Clerk, Provincial Local Government Officer and the Countersigning Officer will be the Permanent Secretary.
11. Section 8 (b) will only apply to District/Provincial Technical Heads, where the respective District/Provincial Commissioners will make the overall assessment on the officer's general performance.
12. Once the Report has been completed in all sections, it should not be altered. However, if the countersigning officer does not agree with the views of the reporting officer, the appropriate counterviews should be recorded in Section 10.
13. At least four (4) copies of the Appraisal Report should be completed and distributed as follows:-
- (a) Reports for officers in Job Groups "J" and above.
 - (i) Original to the Secretary, Public Service Commission of Kenya.
 - (ii) One copy to the Directorate of Personnel Management or in the case of staff in Local Authorities, the Ministry responsible for Local Authorities.
 - (iii) One copy to be kept in the Officer's Confidential file.
 - (iv) The remaining copy should be given to the Officer.
 - (b) All the copies of Appraisal Reports for officers below Job Group "J" and officers in Local Authorities below salary scale "10" to be retained by the Ministry of Local Authority.
14. Sections 1, 2, 3, and 4 should be completed by the officer being appraised.

SECTION 1. PERSONAL PARTICULARS

Name Personal No.(Male/Female)
 (Surname first)

Date of BirthMarital Status

Ministry/Department/Local Authority

Division

Section

Duty Station

SECTION 2. EMPLOYMENT RECORD

- (i) Terms of Service (Probation, Temporary, Permanent & Pensionable, Contract)
- (ii) Date of Entry into the Service
- (iii) Designation
- (iv) Present Substantive Appointment
- Job Group With effect from
- Basic Salary K£ p.a
- (v) Acting Appointment (if any)
- Job Group with effect from
- Basic Salary K£ p.a
- (vi) Special Duty Allowance (if any)
- Job Group with effect from

SECTION 3. QUALIFICATIONS

- (i) Academic Qualifications

SCHOOL/COLLEGE/UNIVERSITY	QUALIFICATION	YEAR

- (ii) Professional/Technical Qualifications

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- (iii) Other Courses/Seminars/Workshops attended including self-sponsored, attachment(s) or other experiences.

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- (iv) Membership/Affiliation to Professional Organizations

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SECTION 4. SELF ASSESSMENT (OFFICER BEING APPRAISED)

- (i) Summary of duties and responsibilities attached to the post during the year under

review, stating specific objectives to be achieved.

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(ii) How have the courses that you have attended assisted you in the performance of your work?

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(iii) Other factors apart from training which have assisted you in performance of your duties. Give details.

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.....

(iv) (a) Did you accomplish all the work that you were assigned during the appraisal period? Yes/No.

(b) Would you have managed to handle a heavier workload? Yes/No. Give reasons

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.....

(c) If the answer is no, indicate specific tasks not accomplished giving reasons.

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(v) What tools/facilities would you consider necessary to enable you perform your work more efficiently and effectively?

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(vi) State what further training you would require that would assist you in improving your performance.

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(vii) State any other factors including experience that you consider necessary for improving your performance.

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.....

(viii) Are you fully utilized? If not give details

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.....
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.....

(ix) What is the overall assessment of your performance during the period of assessment?

Excellent Very Good Good Satisfactory
Unsatisfactory

Please indicate the appropriate Rating in the box

(x) What is the overall assessment of your job satisfaction during the period of assessment?

Satisfied/fairly satisfied/dissatisfied
Give details

.....
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.....

(xi) What is your overall assessment of your organization/ministry?

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.....

Appraiser's Signature

Date

SECTION 5. ASSESSMENT BY THE REPORTING OFFICER (IMMEDIATE SUPERVISOR)

(i) (a) Job description of the appraisee during the period of appraisal

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.....

(b) Job requirements (qualification, skills and experience)

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.....

Each officer should be evaluated on the job now being performed. Mark "X" over the dot in the space above the horizontal line which most nearly coincides with your overall judgement on each quality. The care and accuracy with which this appraisal is made will determine its value to you. To the other officer and to the ministry/department.

ASSESSMENT	5	4	3	2	1	Additional comments
KNOWLEDGE OF WORK: Consider knowledge of the job gained through experience, general education and specialized training	Understands all aspects of work very well	Understands work well	Requires occasional assistance	Requires constant assistance	Poor knowledge of work	
QUALITY/QUANTITY OF WORK: Consider the speed and quantity of work under normal conditions.	Excellent	Good output of work	Satisfactory output of work	Fair output of work	Poor output of work	
INITIATIVE AND ABILITY TO LEARN: Consider the speed and initiative the employee has in performance of work.	Has exceptional ability in understanding and initiating new ideas.	Learns quickly and handles situations effectively	Average in understanding issues and initiating new ideas.	Rarely shows initiative and constantly requires supervision	Too slow in grasping and retaining ideas.	
CO-OPERATION: Consider manner of handling work relationships.	Has exceptional ability in creating team work	Resourceful member of any team	Acceptance and gets along with colleagues	Takes time to get along with colleagues	Has poor co-operation	
JUDGEMENT: Does the officer think intelligently and make decisions in a logical manner	Thinks quickly, logically and accurately	Thinks logically and accurately	Judgement fairly reliable	Too cautious for effective decisions	Poor unreliable judgement	

ASSESSMENT	5	4	3	2	1	Additional comments
DILLIGENCE AND MORALE:						
Consider general attitude to work, dedication, commitment and conscientiousness.	Highly motivated	Motivated	Moderately motivated	Low motivated	Not motivated	
DISCIPLINE AND CONDUCT:						
Consider responsiveness, personality, integrity, punctuality and general behaviour.	Highly Discipline	Disciplined	Fairly disciplined	Low disciplined	Indisciplined	
COMMUNICATION:						
Ability to communicate effectively	Excellent	Above average	Average	Below average	Poor	
OTHER COMMENTS						

(ii) Comment on any other major achievements or contributions which the officer made to the Department/Section

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(iii) Are there any constraints which made it difficult for the officer to perform current duties and responsibilities effectively? Yes/No

If yes, give details

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(iv) Has the officer shown improvement during the year? Yes/No

Give reasons

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Overall Rating

- | | |
|-------------------|-----------------|
| 1. Unsatisfactory | 2. Satisfactory |
| 3. Good | 4. Very good |
| 5. Excellent | |

(Please indicate the appropriate rating in the box)

SECTION 6 PROMOTION POTENTIAL

Rating: Above Average

Average

Below Average

(Please indicate the appropriate rating in the box)

Give details

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

SECTION 7. PROPOSALS FOR PERFORMANCE IMPROVEMENT

(i) Does the officer require training for performance improvement?

Yes/No

Please indicate the kind of training required

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.....

(ii) Does the officer require other non-training solutions e.g. counseling?

Yes/No

Indicate the details and course of action required

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SECTION 8. (a) overall comments by the reporting officer

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.....
.....

Reporting officer

.....

(Name in block letters)

Designation

Period of Assessment: From To.....
Signature Date.....

(b) GENERAL ASSESSMENT BY DISTRICT COMMISSIONER/PROVINCIAL COMMISSIONER (Where applicable – See Note 11 page 2)

.....
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Reporting District/Provincial Commissioner
(Name in block letters)

District/Province

Period of Assessment: From To.....

Signature Date

SECTION 9. TO BE COMPLETED BY THE APPRAISEE

(i) I confirm that the Reporting Officer has discussed the report with me.

(ii) Comments (if any)

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.....

Signature Date.....

SECTION 10. REMARKS BY THE COUNTERSIGNING OFFICER

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Name

(Name in block letters)

Designation

Signature Date.....

Appendix 5: **FREQUENCY TABLES FOR “L’ CATEGORY RESPONSES.**

Table 1: Role of Appraisal towards better understanding between workers and management.

Response:	Frequency	Percentage
Strongly agree	5	10%
Agree	16	32%
Neutral	15	30%
Disagree	9	18%
Strongly disagree	5	10%
Total	50	100%

Table 2: Performance appraisal play a role on employee productivity.

	Frequency	Percentage
Strongly Agree	11	22%
Agree	11	22%
Disagree	15	30%
Strongly disagree	5	10%
Total	50	100%

Table 3: Decisions on employee training and development are based appraisal outcome.

	Frequency	Percentage
Strongly agree	4	8%
Agree	9	18%
Neutral	9	18%
Disagree	20	40%
Strongly disagree	8	16%

Total	50	100%
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Table 4: Appraisal outcome is not used for developing profiles for human resource planning.

	Frequency	Percentage
Strongly agree	23	46%
Agree	14	28%
Neutral	10	20%
Disagree	2	4%
Strongly disagree	1	2%
Total	50	100%

Table 5: Do you favour the appraisal exercise?

	Frequency	percentage
yes	20	40%
To some extent	12	24%
No	18	36%
Total	50	100%

Appendix 6: Frequency Tables for category “H” responses.

Table 4. 1: Number of years served in the current grade.

Years	Frequency	Percentage
1	5	10%
2	4	8%
3	6	12%
4	5	10%
5	2	4%
6	5	10%
7	4	8%
8	4	8%
9	6	12%
10	4	8%
11	3	6%
12	1	2%
13	1	2%
Total	50	100%

Table 4.2: Do you favour performance appraisal exercises.

	Frequency	Percentage
Strongly favoured	24	48%
favoured	10	20%
Indifferent	13	26%
Against	2	4%
Strongly Against	1	2%
Total	50	100%

Table 4. 3: Employee training and development activities are based on appraisal outcomes.

	Frequency	Percentage
No response	2	4%
Yes	5	10%
No	36	72%
To some extent	7	14%
Total	50	100%

Table 4. 4: Relationship between employee activity and the reason for appraisal.

	Frequency	Percentage
Strong	2	4%
Average	15	30%
No relationship	33	66%
Total	50	100%

Table. 4.5: Computation of the chi- square test for hypothesis 2.

Observed	expected	(O -E) ² /E
24	22	2 0.181818
20	22	-2 0.181818
10	14	-4 1.142857
18	14	4 1.142857
16	14	2 0.285714
12	14	-2 0.285714
computed	χ^2	3.220779

x

Tabulated chi- square for 2df at 0.05 level of significance is 5.991

Appendix 7: Frequency tables for the Recommended appraisal principles

Recommended training 1999

	Frequency	Percent
Yes	30	60.0
No	20	40.0
Total	50	100.0

Recommended training 2000

	Frequency	Percent
Yes	28	56.0
No	22	44.0
Total	50	100.0

Recommended training 2001

	Frequency	Percent
Yes	23	46.0
No	27	54.0
Total	50	100.0

Recommended promotion 1999

	Frequency	Percent
Yes	21	42.0
No	29	58.0
Total	50	100.0

Recommended promotion 2000

	Frequency	Percent
Yes	21	42.0
No	29	58.0
Total	50	100.0

Recommended promotion 2001

	Frequency	Percent
Yes	23	46.0
No	27	54.0
Total	50	100.0

Recommended new assignment 1999

	Frequency	Percent
Yes	4	8.0
No	46	92.0
Total	50	100.0

Recommended new assignment 2000

	Frequency	Percent
Yes	8	16.0
No	42	84.0
Total	50	100.0

Recommended new assignment 2001

	Frequency	Percent
Yes	5	10.0
No	45	90.0
Total	50	100.0

Recommended coaching 1999

	Frequency	Percent
Yes	1	2.0
No	49	98.0
Total	50	100.0

Recommended coaching 2000

	Frequency	Percent
No	50	100.0

Recommended coaching 2001

	Frequency	Percent
No	50	100.0

Recommended counseling 1999

	Frequency	Percent
Yes	2	4.0
No	48	96.0
Total	50	100.0

Recommended counseling 2000

	Frequency	Percent
Yes	1	2.0
No	49	98.0
Total	50	100.0

Recommended counseling 2001

	Frequency	Percent
Yes	2	4.0
No	48	96.0
Total	50	100.0

Recommended transfer 1999

	Frequency	Percent
No	50	100.0

Recommended transfer 2000

	Frequency	Percent
Yes	1	2.0
No	49	98.0
Total	50	100.0

Recommended transfer 2001

	Frequency	Percent
Yes	2	4.0
No	48	96.0
Total	50	100.0

Appendix 8: Frequency table for the outcome of the appraisal principles.

Training out come 2000

	Frequency	Percent
Yes	8	16.0
No	42	84.0
Total	50	100.0

Training out come 2001

	Frequency	Percent
Yes	15	30.0
No	35	70.0
Total	50	100.0

Training out come 2002

	Frequency	Percent
Yes	17	34.0
No	33	66.0
Total	50	100.0

Transfer out come 2000

	Frequency	Percent
Yes	6	12.0
No	44	88.0
Total	50	100.0

Transfer out come 2001

	Frequency	Percent
Yes	4	8.0
No	46	92.0
Total	50	100.0

Transfer out come 2002

	Frequency	Percent
Yes	1	2.0
No	49	98.0
Total	50	100.0

Promotion out come 2000

	Frequency	Percent
Yes	15	30.0
No	35	70.0
Total	50	100.0

Promotion out come 2001

	Frequency	Percent
Yes	16	32.0
No	34	68.0
Total	50	100.0

Promotion out come 2002

	Frequency	Percent
Yes	20	40.0
No	30	60.0
Total	50	100.0

Counseling out come 2000

	Frequency	Percent
Yes	1	2.0
No	49	98.0
Total	50	100.0

Counseling out come 2001

	Frequency	Percent
No	50	100.0

Counseling out come 2002

	Frequency	Percent
Yes	4	8.0
No	46	92.0
Total	50	100.0

Coaching outcome 2000

	Frequency	Percent
No	50	100.0

Coaching outcome 2001

	Frequency	Percent
Yes	1	2.0
No	49	98.0
Total	50	100.0

Coaching outcome 2002

	Frequency	Percent
Yes	3	6.0
No	47	94.0
Total	50	100.0

New assignments 2000

	Frequency	Percent
Yes	8	16.0
No	42	84.0
Total	50	100.0

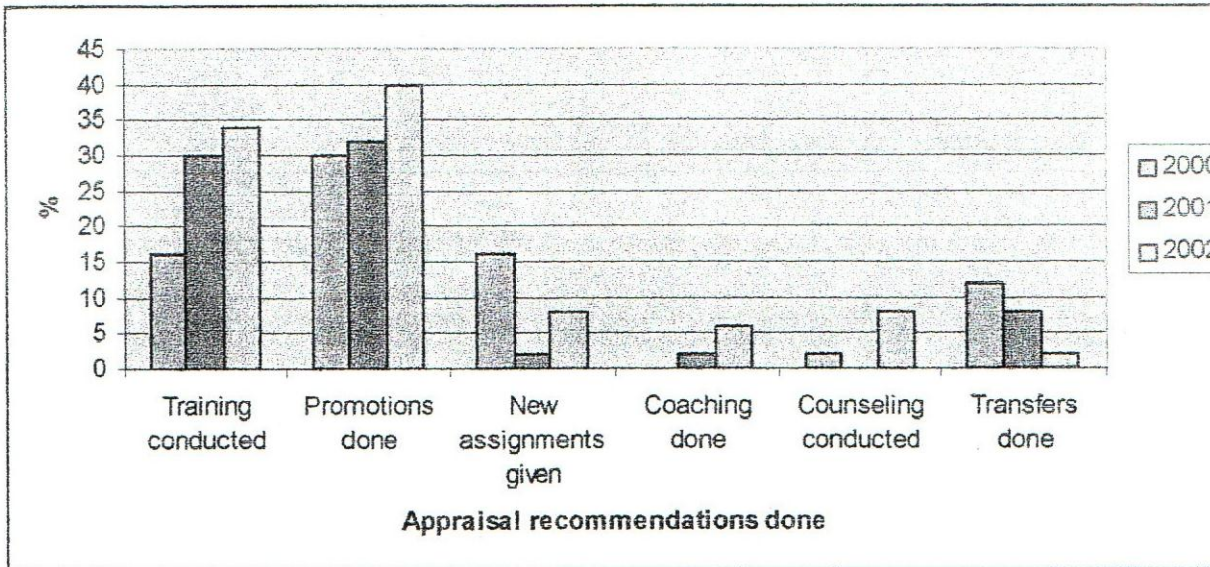
New assignments 2001

	Frequency	Percent
Yes	1	2.0
No	49	98.0
Total	50	100.0

New assignments 2002

	Frequency	Percent
Yes	4	8.0
No	46	92.0
Total	50	100.0

Fig. 1: Graph showing the appraisal recommendations done between 2000 and 2002



Appendix 9. a letter of introduction from the course coordinator.

**EGERTON UNIVERSITY
NAKURU TOWN CAMPUS**

Tel: (037) 215648/215798
Fax: (037) 62527
E-mail: nrc@egerton.ac.ke



P. O. Box 13357
Nakuru

SELF SPONSORED PROGRAMMES OFFICE

3/6/2003

TO WHOM IT MAY CONCERN

RE: NAFTAL KAYUKO – CM11/0023/01

This is to confirm that the above named is a bona fide student of Egerton University undertaking an degree MBA course.


He has completed his course work and is now proceeding for data collection for his research project.

Any assistance accorded to him is highly appreciated.

Thank you.


Dr. Margaret Ngiigi
Coordinator, Self Sponsored Programs
NAKURU TOWN CAMPUS

REPUBLIC OF KENYA



MINISTRY OF TRADE AND INDUSTRY

Telegrams: TRADE, Nairobi
Telephone: Nairobi 33(639/31500)
Fax: 213583

HEADQUARTERS
P.O. BOX 30450, 00100
G.P.O. NAIROBI, KENYA

When replying please quote
Ref. No. **MTTI/1/31/010/(150)** 17th June 2003

- ✓ 6 The Director
Department of Internal Trade
- ✓ 6 The Ag. Director
Department of External Trade
- 23 The Director
Department of Industry
- The Ag. Director
Department of Weights & Measurers
- The Managing Director,
Kenya Industrial Property Institute
- ✓ The Principal
Kenya Industrial Training Institute
NAKURU
- The Chairman
Business Premises Rent Tribunal
- 15 Senior Deputy Secretary/A
- 14 Senior Principal Personnel Officer
- ✓ 14 Accounts Controller

RE: MR. NAFTALI O. KAYUKO

The above named is our staff member based at KITI but is currently pursuing a masters degree course in Business Administration at Egerton University, Njoro.

The officer has completed his course and would like to embark on a research project as part of the course programme. He will be touring your office with a view to collect data for his thesis.

Please accord him all the necessary assistance.

E.A. M. KHAOYA (MRS)
FOR: PERMANENT SECRETARY

c.c.

✓ Mr. Naftali Kayuko 

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