Kwame Nkrumah University of Science and Technology, Kumasi

INSTITUTE OF DISTANCE LEARNING

Performance Appraisal and Human Resource Development
A Case Study of Kwame Nkrumah University of Science and Technology

KNUST

BY

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JUNE, 2009

KWAME NKRUMAH UNIVERSITY OF SCIENCE AND TECHNOLOGY, KUMASI

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PERFORMANCE APPRAISAL AND HUMAN RESOURCE DEVELOPMENT, A CASE STUDY OF KWAME NKRUMAH UNIVERSITY OF SCIENCE AND TECHNOLOGY

A THESIS PRESENTED TO THE INSTITUTE OF DISTANCE LEARNING, IN PARTIAL FULFILMENT OF THE REQUIREMENT FOR THE AWARD OF COMMONWEALTH EXECUTIVE MASTERS IN BUSINESS ADMINISTRATION (CEMBA)

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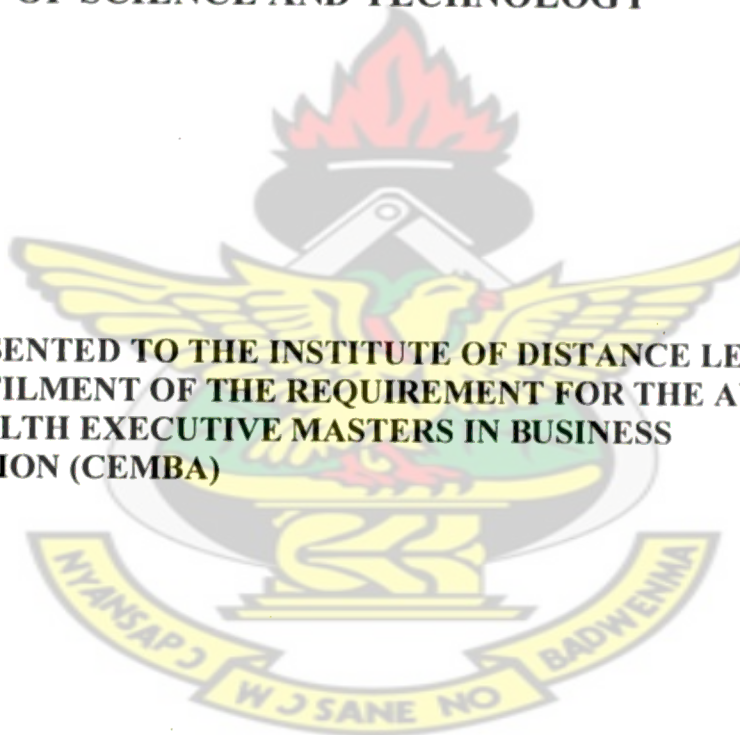
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JUNE, 2009

DECLARATION

I hereby declare that this submission is my own work towards the CEMBA and that to the best of my knowledge, it contains no material previously published by another person nor material which has been accepted for the award of any other degree of the University, except where due acknowledgement has been made in the text.

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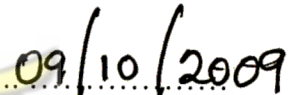Student Name and ID   Signature   Date
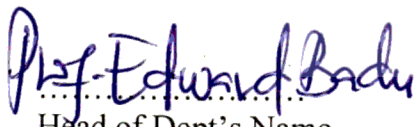
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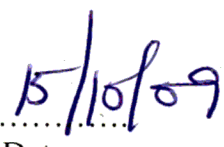
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TABLE OF CONTENTS

CHAPTER FOUR   DATA PRESENTATION, ANALYSIS AND DISCUSSION

CHAPTER FIVE   CONCLUSIONS AND RECOMMENDATIONS

LIST OF TABLES

LIST OF FIGURES

Page

ABSTRACT

Performance appraisals serve several purposes in any organization. They provide a tool for acknowledging good performance, identifying areas in need of improvement and providing documentation to justify many management decisions. Conducting performance appraisals on employees' performance should be more than a simple checklist of 'do's and don'ts'. Performance evaluations should serve as a vital component, one that is of interest to both the organization and the employee. It is for this reason that the study sought to review the effectiveness of performance appraisal system and human resource development in KNUST. The main objective of the study was to assess how performance appraisal systems help in planning employees' developmental needs with a case study of Kwame Nkrumah University of Science and Technology. The heterogeneous population had to be stratified into homogeneous groups and the simple random sampling method used to select respondents in each strata. Questionnaires and direct interview methods were used to obtain information for the study. Microsoft Office Excel was used to manage the data that was gathered from the field. It is evident from the responses that, most respondents were not happy with the way appraisals were carried out at KNUST. Appraisal results were mostly used in making decisions on staff promotions and rarely had links with the HR development of the organization. It can thus be said that management of KNUST, need to review the appraisal system of the University. In addition to this, performance appraisal outcomes should not only be used for making decisions on promotions but also for decisions on training and development. This would make staff attach the needed attention and importance to performance appraisal.

CHAPTER ONE

INTRODUCTION

1.1 Background

Education, particularly higher education plays a critical role in the development of people and a nation. Through its provision, a nation is able to develop a core of highly qualified and skilful manpower to meet its technological and developmental needs. For a developing nation like Ghana, the provision of higher education cannot and should not be taken for granted. It is in the light of this that public Universities in Ghana such as Kwame Nkrumah University of Science and Technology (KNUST) have grown over the years.

There cannot be an organization without people; similarly there cannot be work without people who do the work. The existence of organization where people work together to achieve its goals makes it imperative for the work of the people to be coordinated so as to achieve the goal of high productivity. The concept of productivity seeks to establish a relationship between inputs and the resulting output; with a view to determine whether resources are yielding the expected results.

Human resource (HR) is an essential and critical element to the survival of any organization. What differentiates an organization from its competitors are its people. Although the equipment and other resources used in the organization may be the same; it is the people that make the difference. Effective management of HRs therefore becomes an issue for everyone in management level.

Performance appraisal systems have always played a very important role in human resource management (HRM). It is a critical mechanism for organizational control, through which employees can view their past performance and take concrete action for improvement. It also provides substantial information for HRM to make fair and correct decisions regarding promotions, transfers, incentives and most importantly identify training needs of staff.

When the right people are put in the right place at the right time, their knowledge, skills and expertise can contribute to the long term success of any organisation.

Thus, when appraisal systems are not accurate and realistic enough to help assess the needs of staff, management cannot take appropriate corrective actions and decisions to change the behaviours of the employees concerned.

KNUST is one of the public universities in Ghana, situated in Kumasi, the capital of the Ashanti Region. Its vision is to advance knowledge in science and technology for sustainable development in Africa (KNUST Strategic Plan, (Plan2k14) 2005).

This challenge requires the use of human elements that can effectively and efficiently use resources at the disposal of the organisation, respond to opportunities and threats and have the ability to reason in order to achieve organisational goals.

No matter how vast your financial resources are, someone would have to decide how profitable to invest them; no matter how large your physical resources are, someone would have to decide how effectively and efficiently to use them and this is the human element.

Whenever your machines get old, the human element takes the responsibility to access the age of the machines and their continued usefulness. Whenever the tide of economic distress or depression blows, it behoves on the human elements to put heads together to fashion out rescue or survival strategies.

The University therefore expects every member of staff to contribute towards the achievement of its goals. The performance of each staff at the various levels is thus very important in determining whether the goals of the University will be achieved or not.

Beardwell et al (1998), propose that to achieve and maintain the survival and success of any organisation, its managers have not only to acquire appropriate people to resource it but they also need to train and develop their employees. Staff development is important for all facets of the University as it exposes employees to new or better ways to complete tasks or tackle problems. Since appraisal systems help identify the development need of employees, it is imperative for the University to have an effective appraisal system.

1.2 Statement of the Problem

When an organisational activity is not monitored, proper evaluation cannot be made. Deviations from the established standard may threaten the existence of the organisation. A good control system must always provide objective feedback for further management action, thus when an organisation's objectives are not met, it is possible that the control system of any one or more organisational activity has broken down.

With the rapid growth of public universities in today's complex and changing business environment, it is of utmost necessity for the institution to know that what was effective and efficient several years ago in assessing the performance of staff may not be as effective and efficient today. To this end, an appraisal system that moves with the times must be put in place so that the development and training needs of staff could be properly identified and addressed.

Debrah (2004) notes that, in most Ghanaian organisations, performance appraisals are based on supervisory ratings and are used primarily for such personnel decisions as promotions and transfers. In his view, in the absence of a systematic planning, performance goals are not set and therefore performance criteria are vaguely defined. Vagueness in terms of the performance criteria encourages subjectivity in the performance appraisal process. (http://books.goggle.com.gh/books; accessed 22nd January 2009)

Ineffective appraisal systems can be very expensive. Though the actual costs may be difficult to estimate, some of the costs are low morale among staff, high turnovers, low productivity, and de-motivation. When performed correctly, performance appraisals are a valuable management tool in developing employee skills.

Performance appraisal has been used as a strategic tool to improve or increase productivity of employees. It has been carried out several years at the University with its intended good reasons one of which is to decide on staff development needs (KNUST Recorder No. 211 October, Vol. 28 No.3 1996, p 6) in order to improve overall productivity.

Successive appraisals have however led to the de-motivation of employees, and labour turn over during or after the assessment. The performance of staff of KNUST was to be appraised annually (KNUST Recorder No. 211 October, Vol. 28 No.3 1996, p6) by their heads of departments and the reports prepared and submitted to the Registrar for the necessary action.

On the contrary, performance appraisal of staff had not been regular. Most staff requests their heads to appraise their performance only when they were presenting themselves for promotion (which was after they had served in their present capacity for a minimum of three years or a maximum of six years) or being re-engaged on contract terms. In cases where staff's performance was appraised, the appraisal was based on qualities that had no impact on performance outcomes. Apart from the above, heads hardly went through the appraisal process with subordinates.

The effect has been the low levels of morale and low levels of productivity leading to the research question: Is there a positive relationship between effective performance appraisal systems and staff development?
It is in the light of the above that the research seeks to address.

1.3 Objectives of the study

Main objective

The objective of the study was to investigate performance appraisal system and staff development at KNUST.

The specific objective of the study would be to:

- To find out whether the performance of staff is properly appraised at KNUST.

- To determine whether the appraisal procedure used provides an accurate way of identifying staff development needs.

- To determine whether staff are happy with the system of performance appraisal.

- To make recommendations on how the procedure could be more effective and efficient.

1.4 Overview of Methodology

This section looked at the research setting which was KNUST one of the five public Universities in Ghana. The research was an exploratory one.

The sampling procedure looked at the target population, study population, sampling units, sampling frame, sample selection and sample size.

Primary and secondary sources of data were gathered for the research. The questionnaire was the only tool used in collecting data for the study while Microsoft Office Excel was used to analyse data obtained from the field.

1.5 Justification for the study

Employees are a key factor in productivity, and managing them to achieve optimum results is a necessity for every organisation. The underlying objective of performance appraisal is to improve the performance of individuals leading to improvement in the

6

performance of the organisation as a whole. (Mullins, 2002). It therefore constitutes an essential part of the human resource management process.

This study is therefore conducted to evaluate the effectiveness of the performance appraisal system of KNUST and make the necessary recommendations on how to improve the performance appraisal process so that it can continue to form the basis for key managerial decisions such as those relating to the identification of training and development needs.

The study is also essential because most of the researches conducted into performance appraisals have focused on instrument reliability and validity rather than on identifying the development needs of appraisees.

1.6 Limitations of the study

The study was limited to only KNUST due to time and resource constraints. There was very limited time for the study as it had to be conducted within the limited time frame allowed for the study. This was further worsened by the fact that the study had to be conducted alongside attending face to face sessions.

With respect to financial resources, the researcher had to rely on limited sources of funds to conduct the study. These constraints of time and funds for the study made it difficult to increase the sample size and the coverage to include the other public Universities.

Besides these constraints, one major difficulty encountered in the field was that, some staff did not understand what performance appraisals were thus making them reluctant to take part in the study. There was also the incidence of non co-operation from some respondents.

Despite these constraints, strenuous efforts were made to gather reliable and adequate data for the study.

1.7 Organisation of the study

The study is organized into five (5) chapters. Chapter one outlines the introduction and statement of the problem, objectives of the study, justification, limitations of the study, and organization of the study.

Chapter two reviews the literature on the topic, while chapter three deals with the methodology used for the study.

Chapter four focuses on analysis of data collected for the study while chapter five ends the study with recommendations and conclusions.

CHAPTER TWO

LITERATURE REVIEW

2.1 Introduction

People differ in their abilities and aptitudes. There is always some difference between the quality and quantity of the same work that are performed by two different people the same job being done by two different people. Therefore, performance management and performance appraisal is necessary to understand each employee's abilities, competencies and relative merit and worth for the organisation. Performance appraisals rate the employees in terms of their performance in an organisation.

2. 2 Performance Appraisal

Performance appraisal can be viewed as the process of assessing and recording staff performance for the purpose of making judgements about staff that lead to decisions. It is undertaken to discover how productive an employee is and whether the employee can continue to perform in future to help achieve organisational goals. It constitutes an essential part of the HRM process and is a factor in determining the crucially important dimensions of employee and organisational effectiveness for success.

McGregor's Theory X postulates that the average person is lazy and has an inherent dislike for work. For this reason, people must be coerced, controlled, directed and threatened with punishment if the organisation is to achieve its objective. Naturally, when people know that their performance is monitored and that their continued existence, promotion, pay rise, training and development are dependent on the results of their assessment they would be motivated to work hard (Mullins 2002).

Drawing from the assumption of McGregor, it is important for every organisation to devise a method of setting realistic and achievable targets to enable management monitor the performance of staff. Such targets/objectives should serve as the basis for evaluating the performance of the employees.

In relation to the above, performance appraisal despite its flaws is a known effective way of setting employee targets and evaluating such targets against their performance. The above contention makes it very essential for every organization to have an effective performance appraisal process in place.

Performance appraisal systems aim to evaluate the job performance of employees in an organization. It is as important as managing financial resources and programme outcomes as it measures the qualitative and quantitative aspects of job performance.

An appraisal evaluates not only the employee's performance but also the potential for development. The primary objectives of an appraisal are to assess past performance, identify training needs, set and agree on future objectives and standards, and to facilitate the achievement of these goals.

Jon Clemens, for example, argued that the "purpose of reviews should be to drive better business results for the organization making sure that the daily efforts of employees directly contribute to both their team's goals and the goals of the organization." (Heskett 2007)

Performance appraisal systems are a major issue for most employers and different authors have put forward a wide range of responses on their essence and importance. In Heskett's (2007) paper titled 'what's to be done about performance reviews?' in which he sought people's views on the essence of having performance appraisal, this is what K. Hamm, HR Coordinator of MN Valley Action Council, Inc. had to say 'I believe that you hit on the primary question: What is the purpose of the review process itself? In my opinion, the purpose of reviews should be to drive better business results for the organization.

To this end, certainly employees need to know how they can develop to be better contributors. However, more important is making sure that the daily efforts of employees directly contribute to both their team's goals and the goals of the organization.
Additionally, the tracking of skills and competencies (for the purposes of making better staffing, recruiting, and training decisions) and the insight into these things for managers and HR teams is also vital.

Lastly, the performance review process should also provide a way that is much more frequent than once per year for the employee and the manager to enhance communication so that the employee's efforts are optimized toward achieving larger business goals.

In my experience, the nature of reviews at most companies is overly burdened with administrative headaches involved with passing documents back and forth, knowing when things are due, and getting access to timely, relevant information. This in large

part contributes to the standard practice of pain that is associated with many company's reviews.'

Creamer et al (1997) note that performance appraisal is not about a single event, such as completing a standard review form but rather a process that is ongoing. Appraisal activities as an on going process should connect the process to organizational functioning and have as their focus staff improvement, and not simply salary adjustment and or disciplinary action.

2.3   Historical Overview

The history of performance appraisal is quite brief. Its roots in the early 20th century can be traced to Taylor's pioneering time and motion studies. As a distinct and formal management procedure used in the evaluation of work performance, appraisal really dates from the time of the Second World War.

Yet in a broader sense, the practice of appraisal is a very ancient art. In the scale of things historical, it might well lay claim to being the world's second oldest profession. (http://appraisals.naukrihub.com; assessed January 28th, 2009).

Performance appraisal systems began as simple methods of income justification. That is appraisal was used to decide whether or not the salary or wage of an individual employee was justified. The process was firmly linked to material outcomes. If an employee's performance was found to be less than ideal, a cut in pay would follow. On the other hand, if their performance was better than the supervisor expected, a pay rise was in order.

Little consideration, if any, was given to the developmental possibilities of appraisal. It was felt that a cut or a rise in pay, 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 were intended; but more often than not, it failed. As a result, the traditional emphasis on reward outcomes was progressively rejected.

In the 1950s in the United States, the potential usefulness of appraisal as a tool for motivation and development was gradually recognized. The general model of performance appraisal as it is known today began from that time. (http/www.performance-appraisal.com/intro.htm;accessed 22nd April, 2009)

In the view of Apekey (2006), performance appraisal in contemporary times, gives supervisors and employees the opportunity to review the performance of the latter against set performance standards. This is to help identify their strengths and weaknesses in order to enable the supervisors design or recommend a specific program that will help employees improve upon their performance.
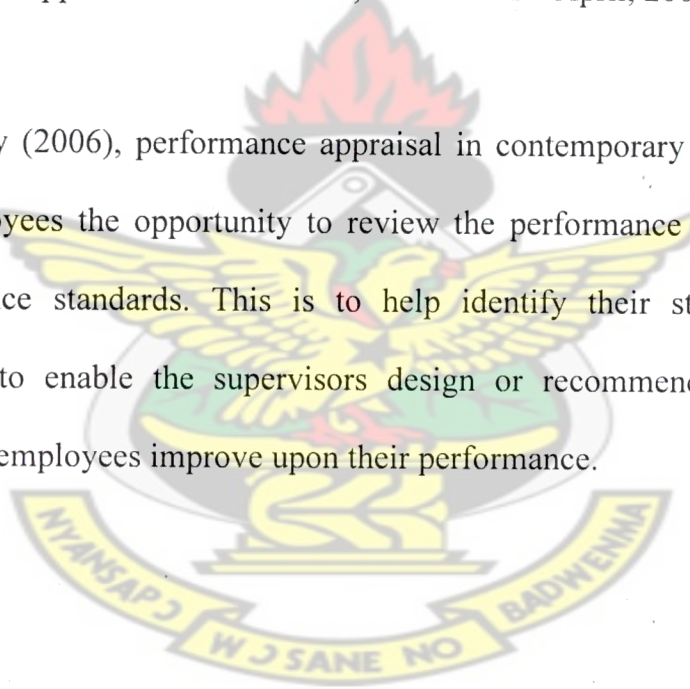
2.4   The Performance Appraisal Process

The performance appraisal process consists of six inter-related steps as follows:

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┌─────────────────────────────┐
│ Establishing Performance    │
│ Standards                   │
└─────────────────────────────┘
              │
              ▼
┌─────────────────────────────┐
│ Communicating Standards     │
│ and expectations            │
└─────────────────────────────┘
              │
              ▼
┌─────────────────────────────┐
│ Measuring the actual        │
│ performance                 │
└─────────────────────────────┘
              │
              ▼
┌─────────────────────────────┐
│ Comparing with standards    │
└─────────────────────────────┘
              │
              ▼
┌─────────────────────────────┐
│ Discussing results          │
│ (providing feedback)        │
└─────────────────────────────┘
              │
              ▼
┌─────────────────────────────┐
│ Decision making (taking     │
│ corrected reactions)        │
└─────────────────────────────┘
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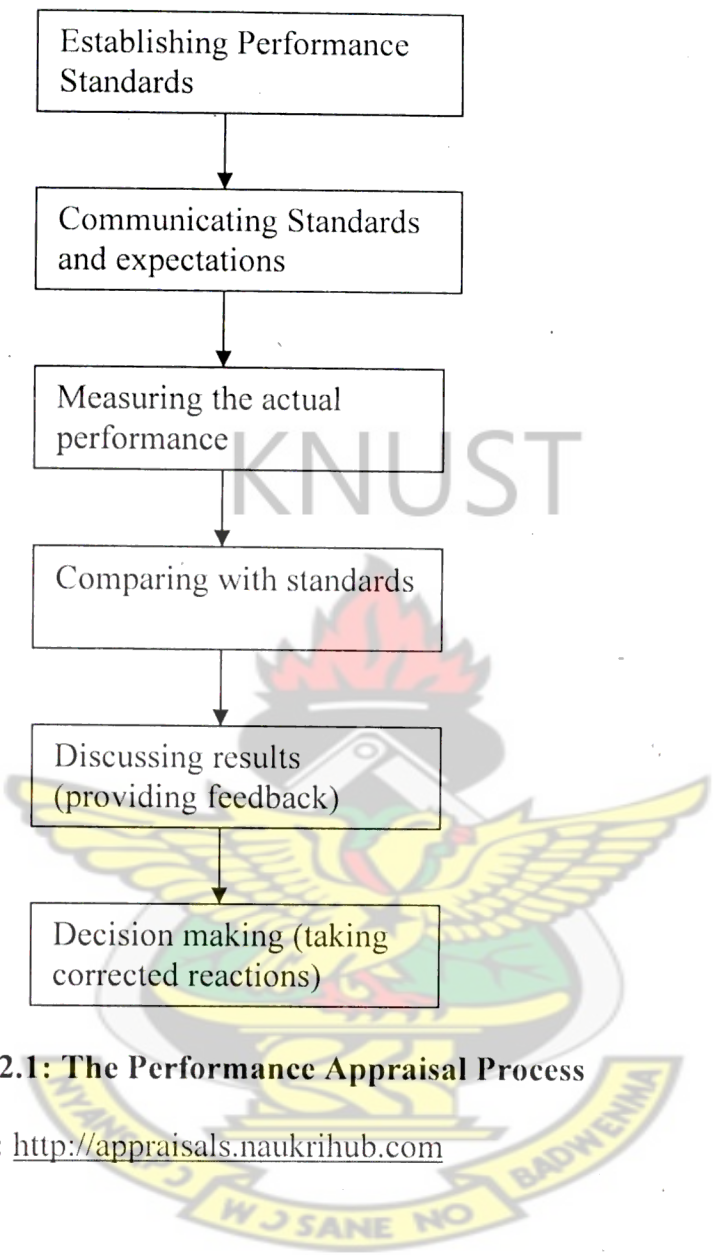
Figure 2.1: The Performance Appraisal Process

Source: http://appraisals.naukrihub.com

2.4.1   Establishing performance standards

The first step in the process of performance appraisal is the setting up of the standards which will be used as the base to compare the actual performance of the employees. This step requires setting the criteria to judge the performance of the employees as successful or unsuccessful and the degrees of their contribution to the organizational goals and objectives. The standards set should be clear, easily understandable and in measurable terms. In case the performance of the employee cannot be measured, great

care should be taken to describe the standards.

2.4.2 Communicating the standards

Once set, it is the responsibility of the management to communicate the standards to all the employees of the organization. The employees should be informed and the standards should be clearly explained to them. This will help them to understand their roles and to know what exactly is expected from them.

The standards should also be communicated to the appraisers or the evaluators and if required, the standards can also be modified at this stage itself according to the relevant feedback from the employees or the evaluators.

2.4. 3 Measuring the actual performance

The most difficult part of the performance appraisal process is measuring the actual performance of the employees that is the work done by the employees during the specified period of time. It is a continuous process which involves monitoring the performance throughout the year. This stage requires the careful selection of the appropriate techniques of measurement, taking care that personal bias does not affect the outcome of the process and providing assistance rather than interfering in an employees' work.

2.4.4 Comparing the actual with the desired performance

The actual performance is compared with the desired or the standard performance. The comparison tells the deviations in the performance of the employees from the standards set. The result can show the actual performance more than the desired performance or, if the actual performance is less than the desired performance, it

depicts a negative deviation in the organizational performance. It includes recalling, evaluating and analysis of data related to the employees' performance.

2.4.5 Discussing results

The result of the appraisal is communicated and discussed with the employees on one-to-one basis. The focus of this discussion is on communication and listening. The results, the problems and the possible solutions are discussed with the aim of problem solving and reaching consensus. The feedback should be given with a positive attitude as this can have an effect on the employees' future performance. The purpose of the meeting should be to solve the problems faced and motivate the employees to perform better.

2.4.6 Decision making

The last step of the process is to take decisions which can be taken either to improve the performance of the employees, take the required corrective actions, or the related HR decisions such as rewards, promotions, demotions, transfers, etc.

The above steps provide a framework for the study to evaluate the effectiveness of the processes involved in the review of employees' performance at KNUST.

2.5 Effective Performance Appraisal Process

For a performance appraisal system to be able to achieve its intended purposes, steps must be taken to ensure that all the pre-requisites that make it effective are present.

DeCenzo (2002) contends that effectiveness refers to goal achievement. The basic intent of developing an effective performance appraisal system is to make a company more productive, profitable and to let employees know their level of performance (Boice et al, 1997). Developing an effective performance appraisal system requires strong commitment from top management.

According to Piggot-Irvine, (2003), effectiveness occurs when appraisal interactions are non-controlling, non-defensive, supportive educative and yet confidential. Effectiveness is also linked to appraisal processes and information that have clarity, objectivity, high integrity, and where deep development is a goal. Respectful, trust-based and open relationships are at the core of appraisal effectiveness.

Murphy et al (1991) conclude that a performance appraisal system will not be effective unless it is perceived to be fair by all of those involved in the process.

It is therefore imperative for every organization to ensure that appraisers and appraisees agree on realistic targets. Furthermore, the criteria of reviewing performance must be based on employees' actual performance and must be devoid of non-performance related characteristics. This, to a large extent will help employees perceive the performance appraisal process as a fair one and invariably be satisfied with it.

From the above, it is crucial for every organization to make conscious efforts to develop an effective performance appraisal system in order to maximize the full benefits of performance appraisal in the organization. While performance appraisal plays a crucial role in a company's success, many business owners and managers find

17

they need expert guidance in developing and carrying out an effective performance appraisal system.

The following are some of the pre-requisites for effective and successful performance appraisal.

First of all, clear performance criteria must be set. Longenecker (1997) was of the view that appraising employee performance is destined to fail without having clearly established performance criteria by which to judge their performance. If ambiguity surrounds the job description, goals, traits or behaviours that will be the basis for the evaluation, the process is bound to fail.

Communication is an indispensable part of the performance appraisal process. An effective two way communication which outlines the desired behaviour or the expected results should be communicated to the employees as well as the evaluators. Open communication system motivates the employees to actively participate in the appraisal process.

An effective performance appraisal's standard should be related to the strategic objectives of the organization. The standard should include the whole range of the employee's responsibilities. Performance appraisal must also meet certain legal requirements such as reliability, fairness and validity since they constitute one basis for HRM actions (Apekey, 2006).

The objectives that the organization sets for its self also needs to be considered when developing an effective appraisal as departmental and individual position objectives are derived from these objectives.

According to Debrah (2004) in most Ghanaian organisations, performance appraisals are based on supervisory ratings and this encourages subjectivity in the performance appraisal process, thus, an appropriate rating instrument must support the appraisal process. The instrument should be tailored to capture critical desired behaviour and outcomes with corresponding meaningful performance standards and metrics (Longenecker, 1997).

Continuously noting and documenting the performance of an employee is also essential for effective performance appraisal. Managers are under expected to monitor employees' performance on an ongoing basis in order to be in a position to know what their subordinates are actually doing. Without working knowledge of the employee's actual behaviour and contributions to the organization, the review process obviously breaks down.

To increase the effectiveness of the evaluation process, regular performance feedback is needed. (Longenecker, 1997). According to Armstrong (2006), feedback should be based on factual evidence and should be presented in a manner that enables individuals to recognize and accept its factual nature. The purpose of the feedback should be developmental rather than judgmental.

To maintain its utility, timely feedback should be provided to the employees and the manner of giving feedback should be such that it should have a motivating effect on the employees' future performance (http://appraisals.naukrihub.com:accessed 22nd January, 2009).

Employees want ongoing performance feedback to reinforce appropriate actions and to be in a position to make adjustments when their performance needs improvement (Longenecker, 1997). People are more likely to work improving their performance and developing their skills if they feel empowered by the process (Armstrong 2006).

Without adequate communication between the employee and the supervisor, undesirable work habits may be formed or good work habits may be modified. Lack of such communication may be viewed by the employee as approval of their current work habits and performance (Boice et al 1997). Fair performance evaluations and frequent performance feedback constitute an important predictor of job satisfaction at the workplace and contribute significantly to personal growth.

Outputs from performance appraisal can also be the construction of individual performance development plans and organizational succession plans. (Pilbeam et al, 2006).

Beardwell et al (1998), note that today's organisations must emphasise the characteristics of quality and continuous improvement, flexibility and adaptability in order to survive and be effective. These make learning and development of their members of crucial and strategic importance, not just in terms of extensive training in task skills but completely new task boundaries and hence work relationships, and ways of working and thinking about work.

Beardwell et al (1998), propose that organisations also need to be flexible: 'the business outlook is uncertain and the response must be flexibility. The perquisite for flexibility is a highly skilled body of staff'. With a complex environment and information society, organisations need to seek competitive advantage through the use

of human resources (who at the same time have increased expectations about their job content and quality of life).

What organisations need from their members is development, for this is the process whereby a person, through learning and maturation becomes increasingly complex, more elaborate and differentiated. They, then become better able to adapt to the changing environment. The aim of staff development is to update, revise or increase knowledge or skills to improve performance or to meet any changes in direction or focus of a position in an organisation (Horner, 1992).

The importance of employee development and performance appraisal is that it provides an opportunity to develop and acquire new skills and consolidates knowledge and skills. Staff development is a continuous process, beginning formally on the first day an employee is recruited and continuing throughout an employee's career.

The focus of employee development is to improve employee competence and performance and/or to assist staff to take on new roles within the organisation. (Cuthbert et al, 1992). In addition employee development enables employees to use their initiative and to be innovative and adaptable, which leads to job satisfaction and a stable workforce. In management's perspective, employee development is a mechanism which allows for the minimization of or removal of performance deficiencies which leads to a cost and resource-efficient workforce.

For organisations which engaged in the process of employee development, the benefits include the acquisition and consolidation of knowledge and therefore, increasing confidence and competence. It is crucial for new employees that the process of employee development begins at the commencement of employment and

continues throughout the time of employment. It is argued that employers should work collaboratively with staff to identify needs and plan staff development activity which meets these needs, (Ellis et al 1995).

Management must be committed to staff development if the service provided is to meet customer expectations and the work force is to be flexible and stable. Providing support for continuing learning is integral to the concept of staff development. Management must facilitate the growth and development of employees by providing equitable access to staff development and supporting staff who undertake additional methods of professional development.

Ineffective employees appraisals include those that fail to focus on the issue of employees' development and performance improvement. Many employees complain that their personal agenda of carrier development, career development, job satisfaction and personal development is just 'tacked-on' to the performance appraisal discussion (www.rhemagroup.com assessed on 28th January 2009).

When employees' reviews fail to give adequate attention to employees' development and performance improvement the employee being evaluated generally feels short-changed and a performance improvement opportunity is lost (Longenecker, 1997).

From the literature reviewed above, it can be inferred that there is a wind of change blowing which recognises that individuals hold the key to organisational success. Individuals will provide the organisation with increased performance if the organisation provides the individual with real opportunities for personal development and growth. Organisations won't grow if the individuals within them are not growing.

Thus to increase corporate performance, performance appraisal systems must also focus on the growth and development of employees.

CHAPTER THREE

FIELDWORK AND METHODS OF DATA COLLECTION

3.1   Research Setting

KNUST is one of the five public universities in Ghana. It is situated in Kumasi the capital town of the Ashanti region. It consists of six colleges with a student population of twenty-four thousand, one hundred and eighty eight (24,188) (KNUST 42nd Congregation Basic Statistics, pp.18). The University is situated about eight kilometres away from the centre of Kumasi and has a total land area of about eighteen square kilometres.

3.2   Profile of KNUST

The Kwame Nkrumah University of Science and Technology (KNUST), which was founded to provide higher education in Science and Technology and to act as a catalyst for the technological development of the country was established by a government Ordinance on October 6th , 1951 as the College of Technology. It was however opened officially on January 22, 1952, with 200 teacher training students transferred from Achimota College to form the nucleus of the new college.

Following a report of a commission established by the government of Ghana, to advise it on the future development of University education in Ghana in 1961, the government decided to establish two independent Universities, one in Kumasi and the other at Legon, Accra. The Kumasi College of Technology was thus transformed into a full fledged University- Kwame Nkrumah University of Science and Technology

By an Act of Parliament on August 22 1961. (Strategic Plan, Plan 2k10, KNUST, pp 5-9).

The vision of the University is to advance knowledge in Science and Technology for sustainable development in Africa. The mission of the University is to provide an environment for teaching, research and entrepreneurship training in science and technology for the industrial and socio-economic development of Ghana, Africa and other nations. (Strategic Plan, Plan 2k14, KNUST, pp 7)

KNUST faculty teach undergraduate and graduate students and engage in research. There are 741 faculty members and 106 senior members (administrative and professional). The University's total teaching staff includes: Professors, Associate Professors, Senior Lecturers and Lecturers. In addition to the Faculty, there are research and administrative staff, as well as many others who directly or indirectly support the teaching and research goals of the University. This includes senior staff and junior staff.

Admission to KNUST is purely based on merit. Over the years the University has undertaken to admit the cream of qualified applicants. The total student population for the University currently stands at 22,736 undergraduate students and 1452 graduate students. (Facts and figures, 2008 pp 18-19).

The University awards degrees such as BSc Agriculture, BSc Architecture, BSc Land Economy, BFA Painting and Sculpture, BSc Civil Engineering, BPharm (Pharmacy), BSc Nursing, BSc Biochemistry, etc.

3.3 Research Design

The study area was the KNUST in Kumasi. The research started as an exploratory study since not much was known about the problem. When more light was however thrown on the problem, the design became analytical.

3.4 Sampling Procedure

3.4.1 The target population

The target population for the study was all the senior members, senior and junior staff of the University. The population size was 3,271.

3.4.2 Study Population

The study population was made up of eighty-five (85) senior members, eighty four senior staff (84) and one hundred and fifty nine (159) junior staff.

3.4.3 Sampling Units

The individual members of staff of the University constituted the sampling units for the study.

3.4.4 Sampling Frame

The list of workers obtained from the University's finance office constituted the sampling frame from which the study population was obtained. The sampling frame for the study is as follows:

(i) Senior Members (academic and non academic) - 847

(ii) Senior Staff (administrative and technical)   - 840

(iii) Junior Staff (administrative and technical)   - 1584
Total population   - 3,271

3.4.5   Sample Selection

The heterogeneous population had to be stratified into homogeneous groups to ensure

fair representation of all the major categories of staff in the University. The sample

was selected as follows:

Group	Number of Workers	Percentage of population	Sample Size
Senior members	847	847/3,271x 100 = 25.89	85
Senior Staff	840	840/3271x 100 = 25.68	84
Junior Staff	1584	1584/3271 x 100 = 48.43	159
			328

To ensure fair representation of all categories of workers in the University in choosing

from the above sampling frame, the simple random technique was used.

3.4.6   Sample Size

Out of the population size of 3,271 workers, a sample size of 328 was chosen to

provide useful insights into the subject of study. The sample represents about 10% of

the target population.

3.5   Sources of Data Collection

Primary and secondary sources of data were gathered for the research. Primary source of data was collected through the use of questionnaires and survey interviews.

The secondary data was collected from past research work, books, journals, articles, congregation reports, internet search, University recorders and Strategic Plans of KNUST.

3.5.1   Methods for collecting primary data

In collecting data for the study, questionnaire and direct interview methods were used. The questionnaire was used to ensure that only relevant questions were asked and also to ensure that the questions were properly structured. They were divided into two, one for the appraisers/heads of departments and the other for appraisees.

3.5.2   Data Collection Tool

The questionnaire was the only tool used to collect data. It consisted of a combination of close and open ended questions. The importance of the use of close ended questions was to avoid delays in responding to the questionnaire, thus enabling the respondents who had busy schedules to respond quickly.

Another reason for using close ended questions was that coding of close ended questions did not take much time as compared to open ended questions/ and also for testing hypothesis.

The open ended questions on the other hand gave flexibility to the respondents in answering the questions. They also ensured that biases were eliminated as much as possible.

3.5.3 Pre-testing of Questionnaire

The questionnaires were pre-tested before using them on the field for the study by selecting; approaching and interviewing a small segment of the population in the same manner to be followed in the full scale operation. This was to ensure its reliability and understanding by respondents.

3.5.4 Administration of Questionnaire

Most of the questionnaires were self administered. The face to face interviewing method was however used to collect data from some workers who could not complete the questionnaire themselves. This was to ensure that respondents understood the questions and were thus providing the type of information needed for the study. Separate questionnaires were administered for the appraisees and appraisers.

3.5.5 Response Rate

The response rate was not encouraging as the interviewer had to virtually plead with respondents before the questionnaires were answered. Some respondents were also reluctant in answering certain questions for fear of victimization.

3.5.6 Field Problems

One major difficulty encountered in the field was that there was the incidence of non co-operation from some prospective respondents. They complained about their busy schedules and did not have time to answer the questions which created unnecessary delays. Again some respondents felt they had to be paid after answering the questions, because the author would benefit from the study.

3.5.7 Data Analysis

The data collected for this research was analyzed with the help of Microsoft Office Excel. Graphs and tables were used to represent pictorially the data collected.

3.5.8 Ethical Considerations

In the administration of the questionnaire, the researcher ensured that, as much as possible each respondent's privacy was not encroached upon. Where respondents strongly felt they could not answer the questions, their views were respected.

Respondents were also assured that the information they provided would be used only for academic purposes and that their views would be treated confidentially.

Questions asked did not go beyond what was required for the study.
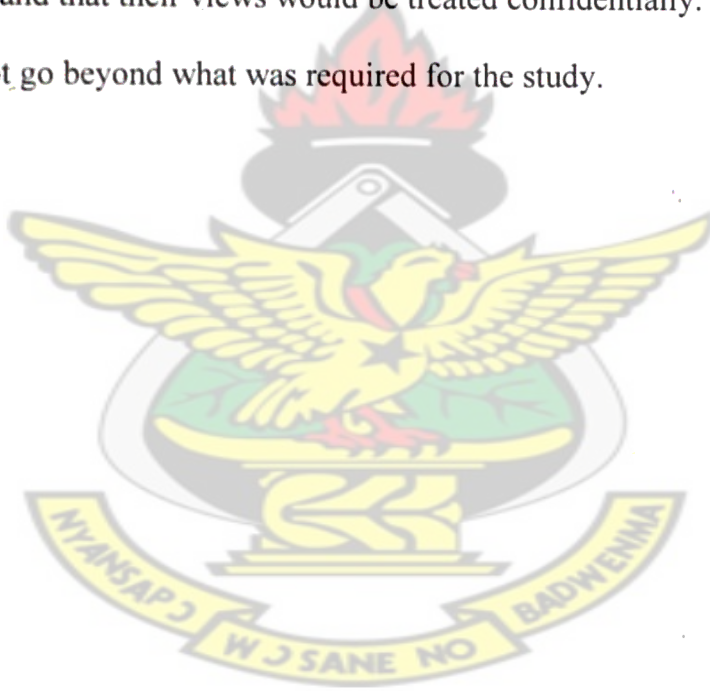
CHAPTER FOUR

DATA PRESENTATION, ANALYSIS AND DISCUSSIONS

4.1 Introduction

The chapter presents the data analysis, and discusses the results of the study. The presentations were based on the information gathered through the questionnaires administered. The results sought to determine how the performance appraisal system at the University helped to identify staff development needs. It must be mentioned that some of the findings were presented in tabular, and charts forms with absolute figures and their relative percentages.

4.2 Category of staff covered in the study

The researcher used questionnaires to solicit information from the following category of staff of the University; (See Appendix I and II for a sample of the questionnaire)

i) Senior members (both academic and administrative)

ii) Senior staff

iii) Junior staff

Table 4.1 Category of staff and response rate

Staff Categories	Total Population	Sample size	Sample Response
Senior Members	847	85	70
Senior Staff	840	84	75
Junior Staff	1584	159	110

Source: Researcher's fieldwork, 2009

4.3   Frequency of appraisal

Most performance appraisals are less effective than they could be, and the reasons lie both in the nature of appraisal and the circumstances surrounding it. Problems can however be overcome if appraisal becomes a year round activity.

In Figure 4.2., 52.94% of the appraisees said they had their performance appraised only when they were due for promotion while 23.92% said they had never had their performance appraised though they had served for periods ranging from one through to sixteen years and above. (refer to figure 4.1. below).

Figure 4.1 Years of employment
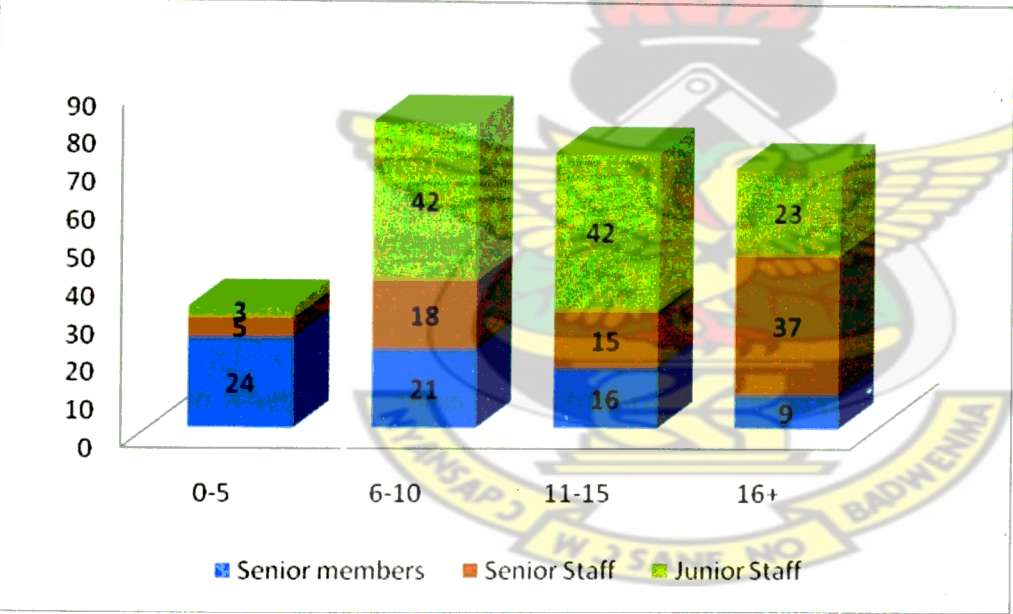
Source: Researcher's fieldwork, 2009

Figure 4.2 Frequency of appraisal
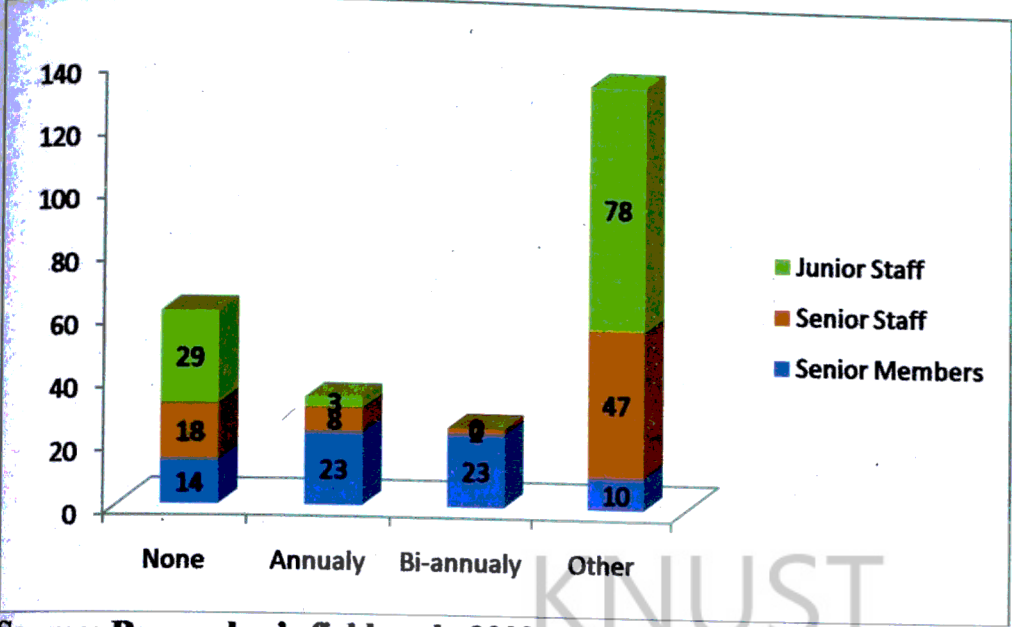
Source: Researcher's fieldwork, 2009

This was confirmed by the appraisers as in figure 4.3, where 37.50% of appraisers said they reviewed their subordinates' appraisal as and when necessary while 20% said they reviewed their subordinate's performance when they were due for promotion. 15% said they reviewed their subordinates' performance annually and another 15% said they reviewed their subordinates' performance bi-annually. When asked to explain what as and when necessary meant, most appraisers responded that they appraised subordinates performance when they were due for promotion.

The above implies that, management did not provide specific period within the year for appraising employees' performance.

Figure 4.3 Frequency of appraisal
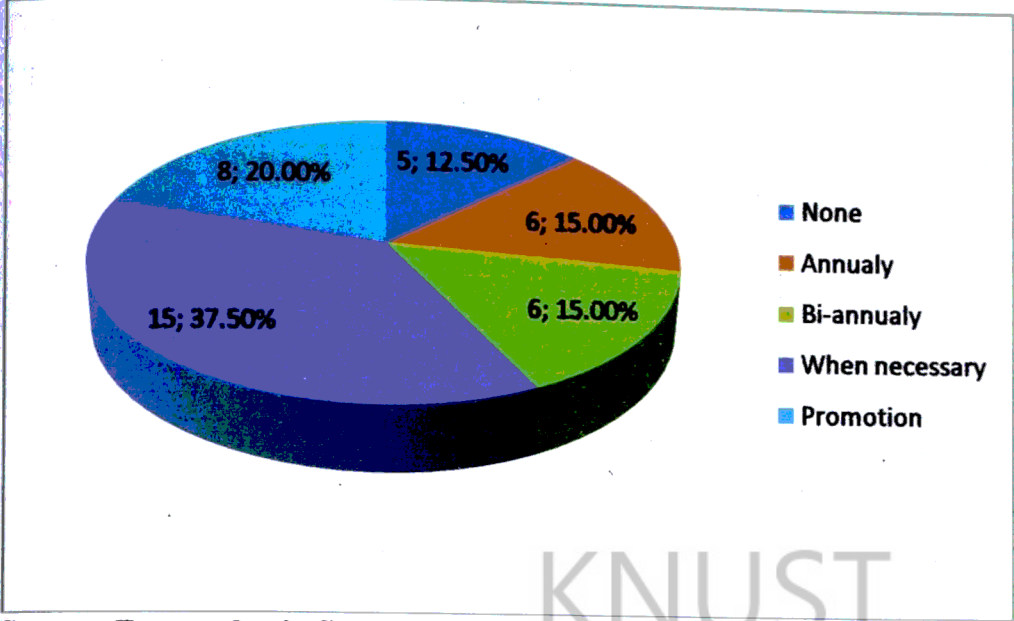
Source: Researcher's fieldwork, 2009

From the results presented, it can be inferred that management did not attach the needed importance to the performance appraisal process since they could afford not to appraise a large percentage of employees in a year. According to Williams (c/will.com/performance measurement; accessed 22nd April, 2009) performance reviews should be done on a twice a year cycle that included a comprehensive annual review with a mid-year "check-up" review.

In the view of Ritter et al (2002), competence based management creates opportunities for effective strategic human resource management. However, without performance appraisals, both for individuals and teams, a company can neither monitor its own developments nor the progress of its staff's performance. As a consequence, it cannot develop or mange its individual competencies. This is supported by Lawrie (1990) who explained performance appraisal as the most crucial aspect of organizational life.

4.4   Setting of performance targets (objectives)

Table 4.2 shows that 76.47% of appraisees said they never had performance targets set for them while 23.59% said their supervisors set performance targets for them. Those who conducted the appraisal confirmed the figures.

In figure 4.4, 60% of appraisers said they never set performance targets for their subordinates. For the 40% who said they set performance targets for their subordinates, 43% said they set the targets with subordinates, 37% set objectives for subordinates and 2.5% asked subordinates to set their targets. (see figures 4.4 and 4.5). For performance appraisals to be effective, it is imperative to ensure that appraisers and appraisees agree on realistic targets. Where this is not the case, the appraisal system can be said to be ineffective.

Table 4.2 Availability of performance targets

Availability of Performance Targets	Sample Response	Sample Response in percentage
Yes	60	23.59%
No	195	76.47%

Source: Researcher's fieldwork, 2009

Figure 4.4 Setting of performance targets

16; 40.00%

24; 60.00%

- Yes
- No
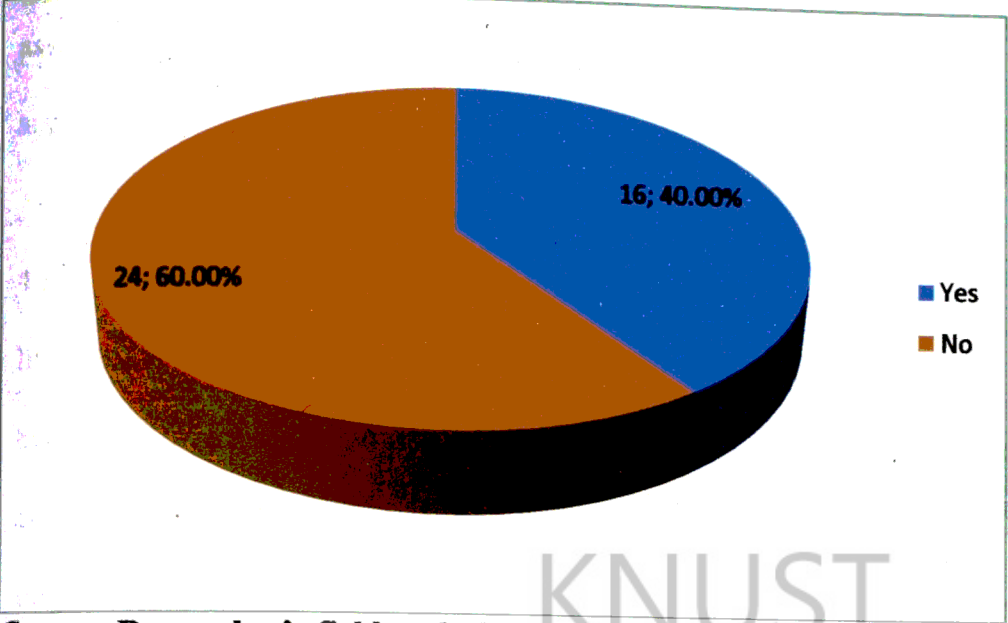
Source: Researcher's fieldwork, 2009

Table 4.3 How performance targets are set

Setting of Performance targets	Sample Response	Sample Response in percentage
Ask subordinates to set targets	2	5.00%
Set targets for subordinates	15	37.00%
Another employer sets targets	2	5.00%
Both supervisor and subordinates targets	17	43.00%
Others	4	10.00%

Source: Researcher's fieldwork, 2009

This corroborates the view of Piggot-Irvine (2003) that a key to effective appraisal is the establishment of appraisal objectives and plans for improvements. To make effective performance appraisal a reality, realistic goals must be mutually set (De Cenzo, 2002).

An important point is that the setting of objectives at the beginning of the appraisal period provides basis to compare the actual performance of an employee with the

standard. Predetermined objectives, to an extent makes appraisers focused in their assessment as the set objectives to some extent provided a framework for the appraiser.

4.5 Knowledge of performance evaluation criteria

In response to the question 'whether supervisors informed appraises of the criteria for evaluating their performance, 76.47% of appraisees said they had no knowledge of the criteria that was used to assess their performance. Of the 23.53% appraisees who said they had knowledge of the performance criteria, 33.33 % said they were informed of the criteria at the beginning of the appraisal period while 66.67% said they had knowledge of the criteria before the beginning of the appraisal period.

It could be therefore be inferred that some workers were aware of the performance evaluation criteria in the organisation. This confirmed Longenecker's (1997) assertion that in appraising employee performance, it is important to clearly establish performance criteria by which to judge employees' performance.

Table 4.4 Knowledge of performance evaluation criteria

Knowledge of Performance Criteria	Sample Response	Sample Response in percentage
Yes	60	23.53%
No	195	76.47%

Source: Researcher's fieldwork, 2009

Table 4.5 Information on performance evaluation criteria

When informed of Performance evaluation Criteria	Sample Response	Sample Response in percentage
Beginning of the appraisal period	20	33.33%
Before the appraisal period	40	66.67%

Source: Researcher's fieldwork, 2009

In contrast, figure 4.5 show that, 55% of appraisers said that they informed subordinates about performance evaluation criteria. Out of this, 50% said they informed subordinates about performance evaluation criteria before the appraisal period while 31.82% said they did so at the beginning of the appraisal period.

Fig 4.5 Informing subordinates about evaluation criteria
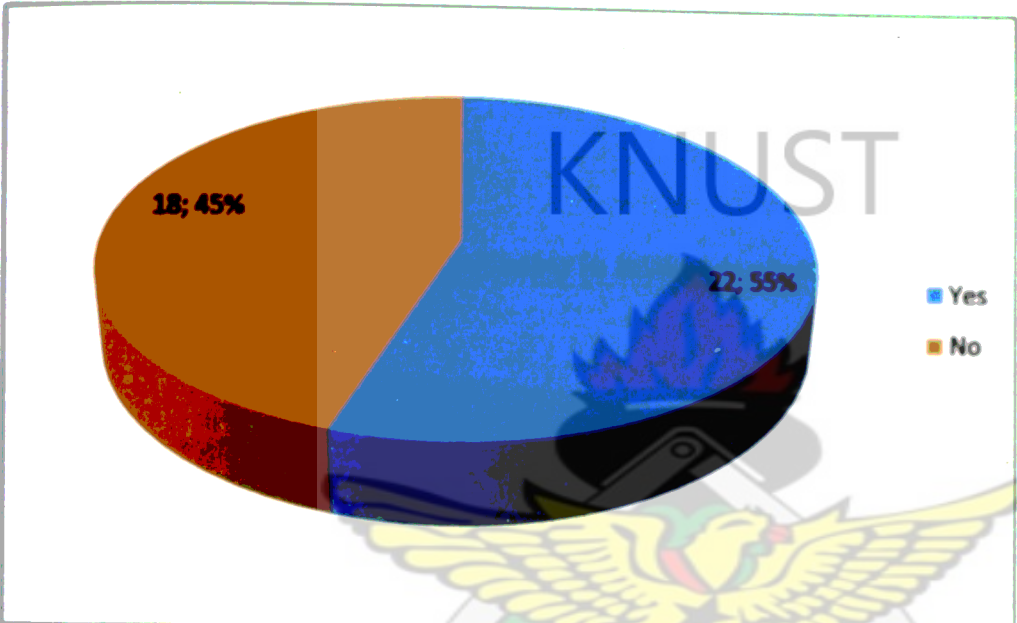
Source: Researcher's fieldwork, 2009

Table 4.6 informing subordinates about performance evaluation criteria

When do you inform subordinates of Performance evaluation Criteria	Sample Response	Sample Response in percentage
Beginning of the appraisal period	7	31.82%
Before the appraisal period	11	50.00%
Others	4	18.18%

Source: Researcher's fieldwork, 2009

Asked whether they involved subordinates in setting performance criteria, only 12.50% replied in the affirmative. Actively involving all relevant participants could increase the chances of identifying the purpose of the appraisal correctly for the appropriate appraisal method to be applied. Thus Longenecker (1997) confirms that appraising employees' performance is likely to fail when performance criteria are not established by which to judge their performance. Where ambiguity surrounds the behaviours that will be the basis for the evaluation, the process is doomed to fail from the start.

Figure 4.6 Involvement of subordinates in setting evaluation criteria
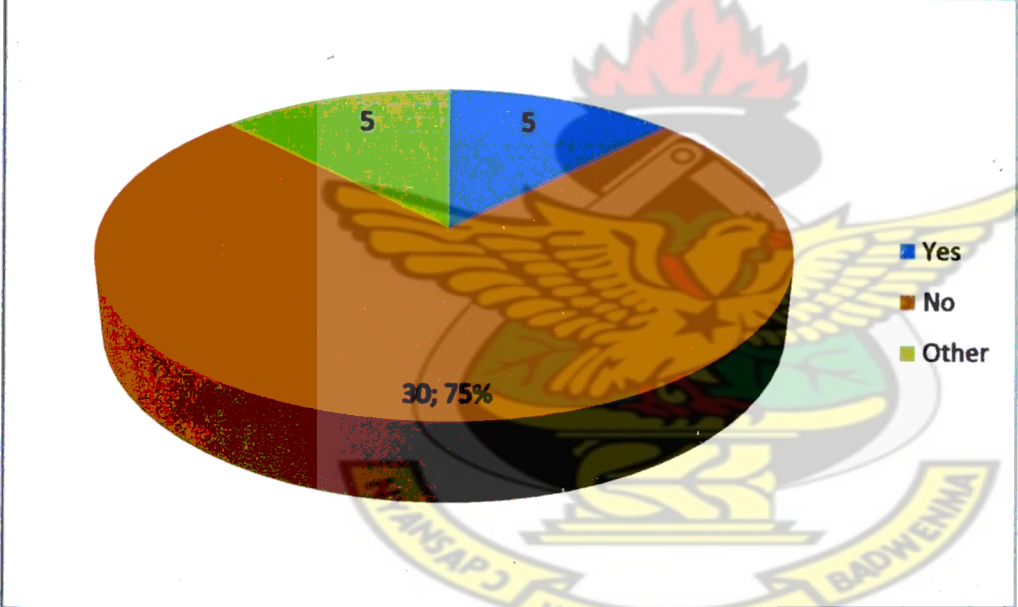
Source: Researcher's fieldwork, 2009

The response clearly showed that specific measurable qualities were not made known to employees. In such cases there was the likelihood that appraisers might not have been objective in assessing staff performance since there was no desired performance against which to compare actual performance. This corroborates what Murphy et al (1991) conclude that a performance appraisal system will not be effective unless it is perceived to be fair by all of those involved in the process.

4.6   Method of evaluating staff performance

In evaluating employees' performance, 51.37% of the respondents said their supervisors completed their performance appraisal forms without discussing their performance with them. 10.98% said their supervisors reviewed their performance with them,12.16% said they filled the promotion form for their head's signature whilst 5.10% said they were interviewed by their heads after they had filled the forms.

Table 4.7 how employees' performance is evaluated

Method of Evaluation	Sample Response	Sample response in percentage
Self evaluation with head's signature	31	12.16%
Self evaluation + interview with HOD	13	5.10%
HOD's evaluation without discussion with subordinates	131	51.37%
Self + Head's evaluation with discussion	28	10.98%
Other	52	20.39%

Source: Researcher's fieldwork, 2009

This was confirmed by the appraisers. 47% said they did not discuss subordinates performance with them before filling their promotion form. 15% said their subordinate filled the form for their signature, 13% said they discussed their subordinates performance with them before filling their promotion form whilst 25% said they interviewed their subordinates after they (subordinates) had filled the promotion form.

Figure 4.7 Evaluation of subordinates' performance
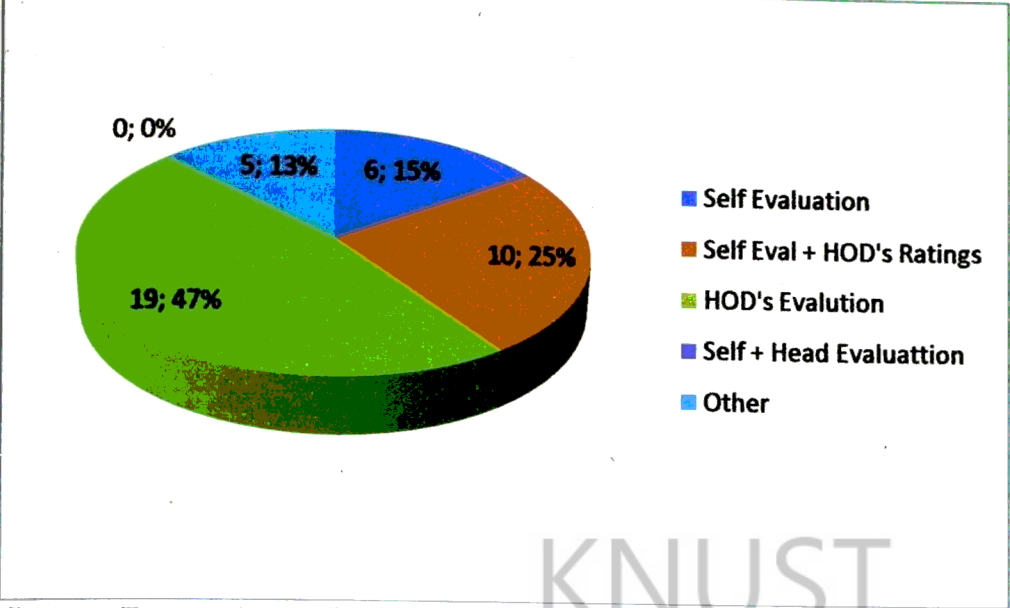
Source: Researcher's fieldwork, 2009

The data presented showed that most employees never had their performance discussed with them before their promotion forms were filled. Employees were therefore not in the know as to how their performance was assessed. Thus according to Debrah et al, (2004) in most Ghanaian organizations, performance appraisals are based on supervisory ratings and this encourages subjectivity in the performance appraisal process thus an appropriate rating instrument must support the appraisal process.

4.7   Giving feedback in performance appraisal

On whether supervisors gave feedback after an employee's performance had been appraised, 67% of the respondents replied in the affirmative while 33% responded negatively. Out of the 67% who said they gave their subordinates feedback after evaluating their performance, 55% said feedback was communicated to subordinates through letters. 15% gave verbal feedback whilst 30% gave verbal and written

feedback. Appraisees also corroborated and claimed they (60.39%) received feedback after each performance appraisal. 39.61% however said they never received any feedback after their appraisals.

Table 4.8 appraisees on feedback

Any feedback after appraisal	Sample Response	Sample response in percentage
Feedback after appraisal	154	60.39%
No feedback after appraisal	101	39.61%

Source: Researcher's fieldwork, 2009

Figure 4.8 Appraisers on feedback
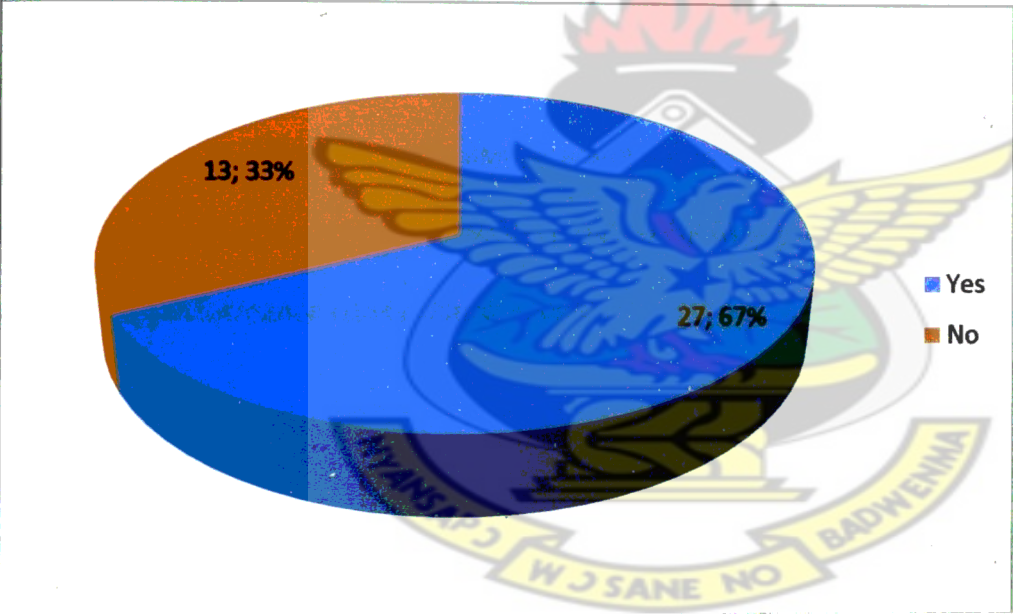
Source: Researcher's fieldwork, 2009

Figure 4.9 appraisers on form of giving feedback
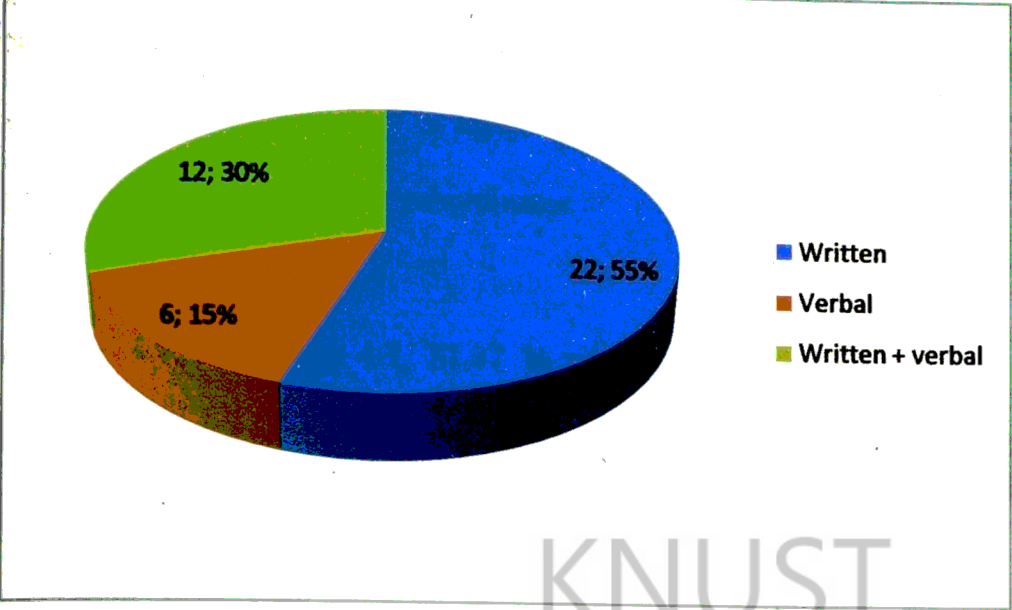
Source: Researcher's fieldwork, 2009

An effective and timely feedback during performance appraisal is an essential component of an effective performance appraisal system. Employees want feedback in order to reinforce appropriate actions and to be in a position to make adjustment when their performance needs improvement.

Data obtained so far provided ample evidence to describe the performance appraisal system at KNUST as one that was not effective. For example in figure 4.2, 23.92% of the respondents said that their performance had never been appraised while 52.94% said their performance was appraised only when they were due for promotion. This trend is also noted in figure 4.3 where 37.50% of appraisers said they reviewed their subordinates performance only when necessary, 20% indicated when subordinates were due for promotion, 15% annually, 15% bi-annually, whilst 12.50% had never appraised the performance of their subordinates.

In addition to what had been indicated in tables 4.2 and 4.4, 76.47% of appraisees said no performance targets or evaluating criteria for assessing the performance of subordinates were available. In figure 4.4, 60% of appraisers said they did not set performance targets for their subordinates.

In table 4.7 and figure 4.7, 51.37 % of appraisees said their heads filled their promotion forms without discussing their performance with them and 47 % of appraisers said they completed their subordinates' promotion forms without discussing their performance with them. These statements explained that the organisation had no form of performance targets or evaluation criteria but had some form of discussions with their subordinates on their promotion

4.8   Identification of training needs

On identification of training needs, the respondents were asked whether performance appraisal offered them opportunity for their training and development needs. 69.80% of appraisees said the appraisal system did not help in locating these needs. Of the 30.20% who said their training needs were identified, 70.59% said that although their training and development needs were identified, they were never met.

Majority of those who felt the staff development strategies at the University was poor suggested that besides organizing training programmes such as inservice training, seminars, workshops, short courses and others, the University should as a policy grant more scholarships and study leave with pay to workers to enable them pursue further education to enhance their career prospects and make them display more commitment and devotion to duty.

Table 4.9 opportunity for identification of training needs

Responses on opportunity for training and development requirements	Sample Response	Sample response in percentages
Identification of training needs	77	30.20%
No identification of training needs	178	69.80%

Source: Researcher's fieldwork, 2009

Figure 4.10 whether training and development needs are met
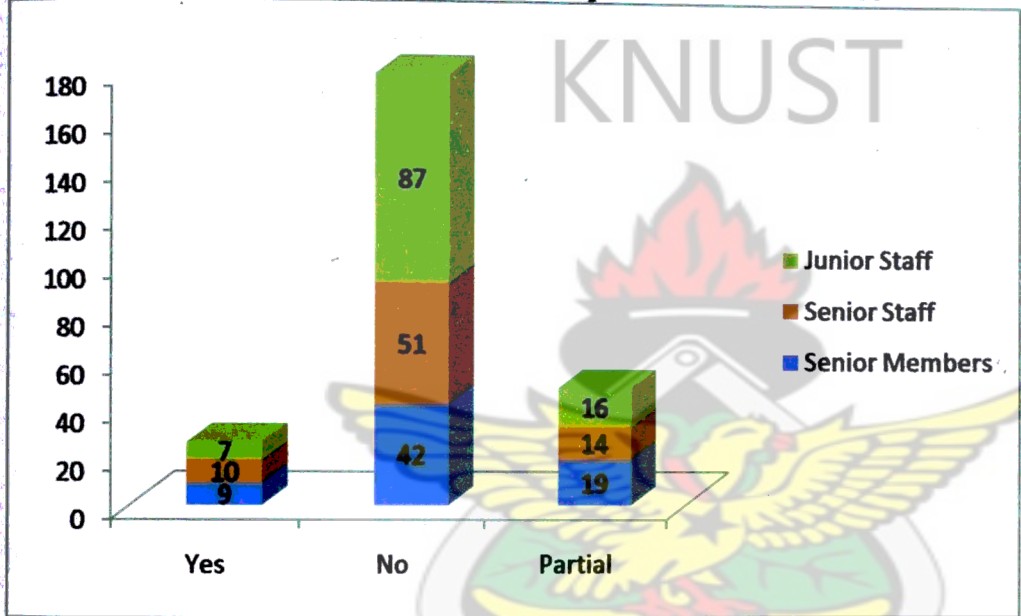
Source: Researcher's fieldwork, 2009

Thus Longnecker, (1997) confirms that when employees' review fails to give adequate attention to employees' development, the employee being evaluated generally feels short-changed and a performance improvement opportunity is lost.

Identification of training needs in the appraisal process should cover the gap between the existing competencies and the desired competencies to achieve organizational goals.

4.9   Uses of appraisal results in decision making

Figure 4.11 Use of appraisal results in decision making

No; 11; 28%

Yes; 29; 72%

Yes

No

KNUST
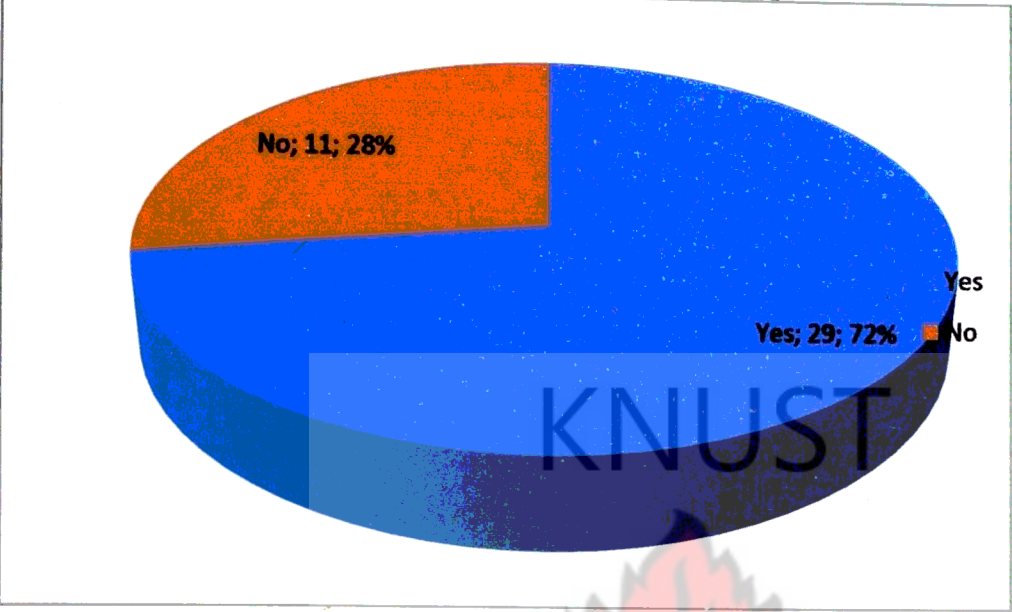
Source: Researcher's fieldwork, 2009

A well conducted appraisal process results in better placement of employees, and this brings role clarity which leads to job satisfaction. 72% of appraisers said they used results of employees' performance appraisal in making decisions. Of this number, 68% said they used the results in making decisions about staff promotions, 12% for re-engagement on contract whilst 9% said they used the information in making decisions about staff development.

Also 92.94% of appraisees said their appraisal results were used in making decisions about their promotion while 2.35% said the results were used in identifying their training and development needs.

Figure 4.12 Types of decisions appraisal results are used (for)

Legend:
- Promotion/Demotion — 30; 68%
- Pay increase — 4; 9%
- Bonuses — 1; 2%
- Staff development — 4; 9%
- Re-engagement on contract — 5; 12%
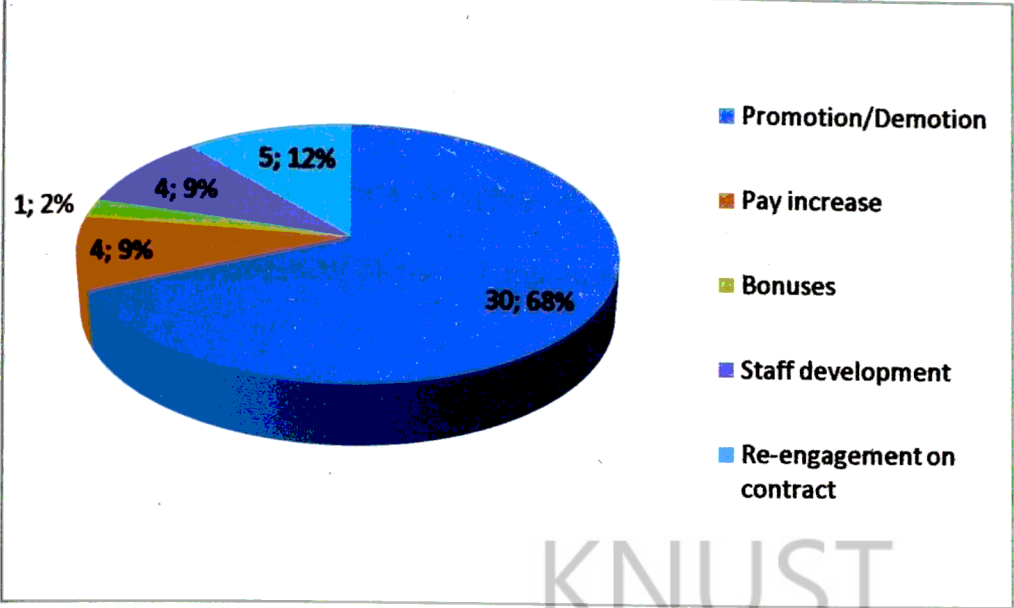
Source: Researcher's fieldwork, 2009

Table 4.10 Types of decisions appraisal results are used (for)

Results of Performance Appraisal	Sample Response	Sample response in percentages
Promotion	237	92.94%
Pay Increase	0	0
Bonuses	0	0
Staff Development	6	2.35%
Re-engagement on contract	3	1.18%
Others	9	3.53%

Source: Researcher's fieldwork, 2009

Performance appraisal has many employee development uses, but when the process is linked to reward outcomes such as pay rise and promotion, it reduces or eliminates the developmental value of appraisals. Rather than an opportunity for constructive review and encouragement, the reward-linked process is perceived as judgmental, punitive and harrowing (www.performance appraisal.com/intro; accessed on 24/4/09).

The responses indicated that management actually used the results of the performance appraisal in making decisions. It was however sad to note that the decisions were basically centered on promotion of employees. In the view of Pilbeam el al, (2006), the outputs from performance appraisal should be one of the basis for constructing individual development plans and organizational succession plan.

It will also be difficult to comment on the quality of the decisions taken since there is ample evidence to show that most supervisors filled their subordinates' promotion forms without discussing their performance with them.

Generally, the importance employees and supervisors attached to performance appraisal was related to the effectiveness of the appraisal process; that is the extent to which the appraisal results were used in taking key decisions and the objectivity of management in using the appraisal results to take decisions.

4.10   Employees view on current appraisal system

As to whether employees were happy with the performance appraisal system of the University, 72.94% of appraisees said the current appraisal system should be reviewed. 17.65% recommended that the system was good and should be maintained.

Figure 4.13 Views on current appraisal system
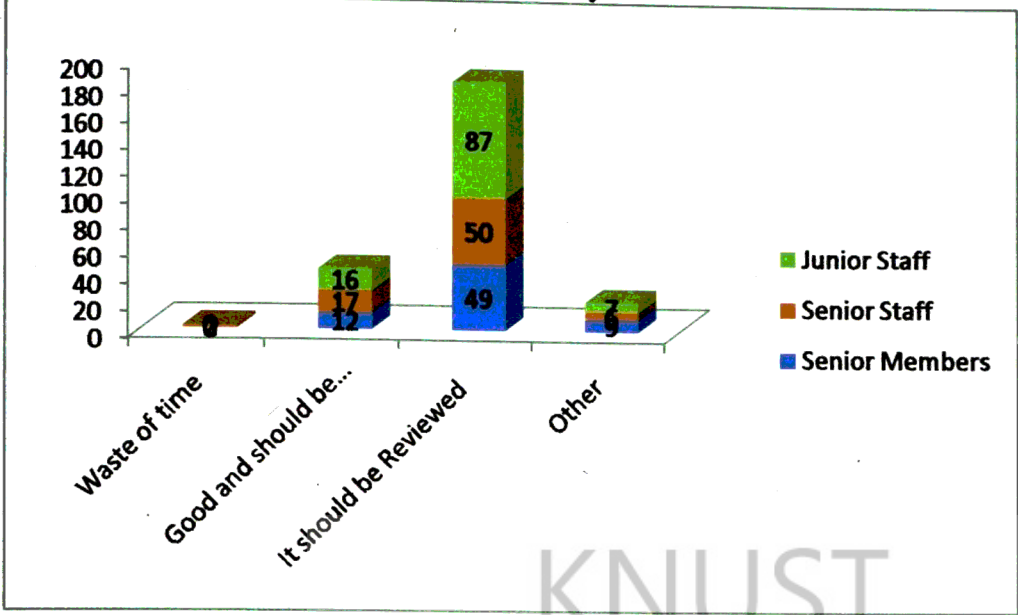
Source: Researcher's fieldwork, 2009

In figure 4.14 most appraisers supported appraisees views on reviewing the appraisal process. 83% of appraisers said the system should be reviewed. 12% said the system was good and should be maintained.

Figure 4.14 Views on current appraisal system
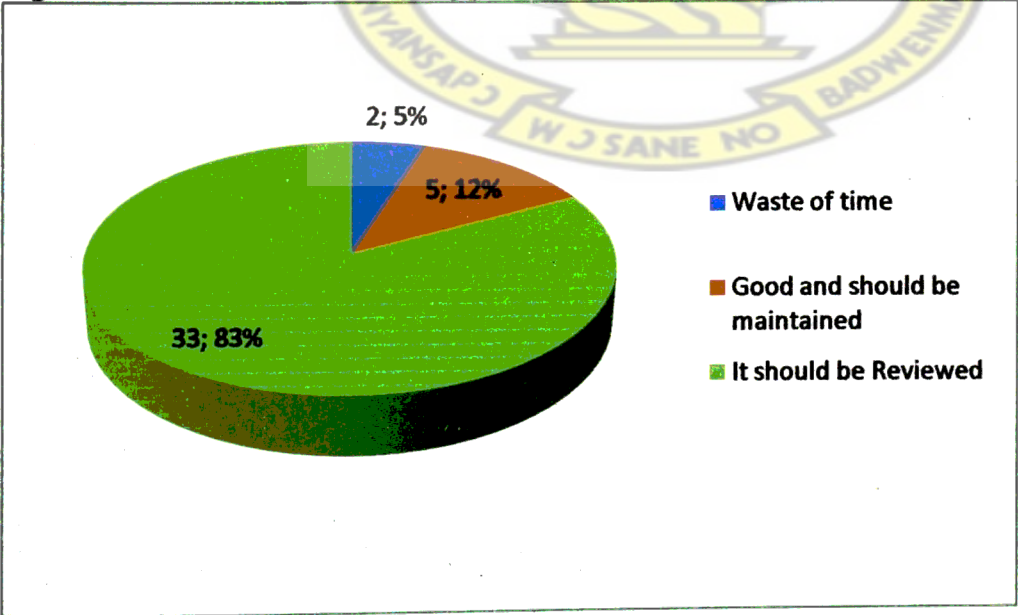
Source: Researcher's fieldwork, 2009

Appraisal systems offer a valuable opportunity to focus on work activities and goals, to identify and correct existing problems, and to encourage better future performance, which enhanced the performance of the whole organization.

The responses stated that both appraisees and appraisers were not happy with the current appraisal process and therefore recommended that it should be reviewed.

Hence, where performance appraisals are conducted properly, both supervisors and subordinates have reported the experience as beneficial and positive. (http/www.performance-appraisal.com/intro.htm;accessed 22nd April, 2009)

CHAPTER FIVE

SUMMARY, RECOMMENDATIONS AND CONCLUSIONS

This chapter concludes the study "Performance appraisals and Human Resource Development: A case study of KNUST".

5.1   Summary:

The performance of staff of KNUST is supposed to be appraised annually (KNUST Recorder No. 211 October Vol. 28 No, 3, 1996) by their heads of departments or supervisors and reports prepared and submitted to the Registrar for the necessary action. On the contrary, performance appraisal of staff had not been regular. Most staff requested their heads to appraise their performance only when they were due for promotion or being re-engaged on contract terms. The appraisal hardly had anything to do with the identification of staff training and development needs.

5.2   Findings

From the study, it is obvious that the performance of staff was not properly appraised at KNUST. This was evident in the following:

1. Employees' performance was not appraised regularly. Generally, employees had their performance appraised only when they were due for promotion.

2. No performance targets were set to assist the appraisal process and performance evaluation criteria for assessing staff performance were also not determined before the start of the appraisal period. In the few cases where performance evaluation criteria were set, they were not clearly communicated at the right time.

3. Subordinates were not involved in the setting of the evaluation criteria.

4. Though some employees had some form of discussion with their supervisors before their performance appraisal forms were filled, for most of them, their supervisors completed their forms without discussing their performance with them. Thus, the performance of employees was mostly based on others ratings.

5. The appraisal process did not help in identifying the training needs of employees and for the few who said their training needs were identified, these training needs were never met.

6. Appraisal results were mostly used in making decisions on staff promotions and rarely had links with the HR development in the organisation.

7. Most employees' indicated that they were not happy with the way performance was appraised in the University and therefore suggested that the process be reviewed.

5.3   Recommendations

It is important that the University reviews it current performance appraisal in order for it to achieve its intended purpose. The following recommendations are therefore made for consideration to improve the current appraisal system.

Staff performance should be appraised regularly and at short intervals (ideally once a year) to enable management detect and take corrective action on poor performance in good time. For the academic members of staff, it is recommended that the appraisal is done not only by students but also by colleagues.

Realistic performance targets must be set for all employees and they should be done in consultation with appraisers and appraisees.

Appraisers should always inform appraisees about the criteria for assessing their performance before the appraisal system commence.

Appraisers should make efforts to review appraisees' performance with them before they fill their appraisal forms.

Appraisal results should not be used in only making decisions on promotion but other performance related decisions such as training and salary increase should be based largely on the appraisal results.

5.3   Conclusion

For an organisation to succeed, it requires not only a well designed appraisal format to assess the performance of its employees, but more importantly a well planned and conducted appraisal system.

Individuals hold the key to organizational success. As the University's most valuable assets, the human resource base should be highly developed to fulfil the mission of the University. Staff should therefore be encouraged to upgrade their educational and professional qualification.

HR specialists share the view that opportunities for career development and advancement are powerful motivating forces for employees. It therefore follows that

organizations that successfully design and develop systems as well as processes that aid and facilitate a clearly defined career path will definitely reap the twin fruit of employee retention and competitive advantage.

Training according to Mullins (1999) is to improve knowledge and skills, and to change attitudes. It is one of the most important potential motivators. It is therefore important for management to have a highly developed sense of employees' perception and understand the feeling of staff and their needs thereby encouraging them to perform well and stay on the job for a longer period of time.

Appraisal process must be conducted with great objectivity, sincerity and commitment giving the importance it deserves. There are two things which determine how successful a performance appraisal system is in place in an organisation, the contents or design of the performance appraisal form and the manner in which performance appraisal is conducted.

The great emphasis laid on the contents comes to naught if the process is not conducted properly. Effectiveness of the performance appraisal system depends on how seriously it is perceived, the importance given to it by both the appraisee and appraiser and its impact on the organisation.

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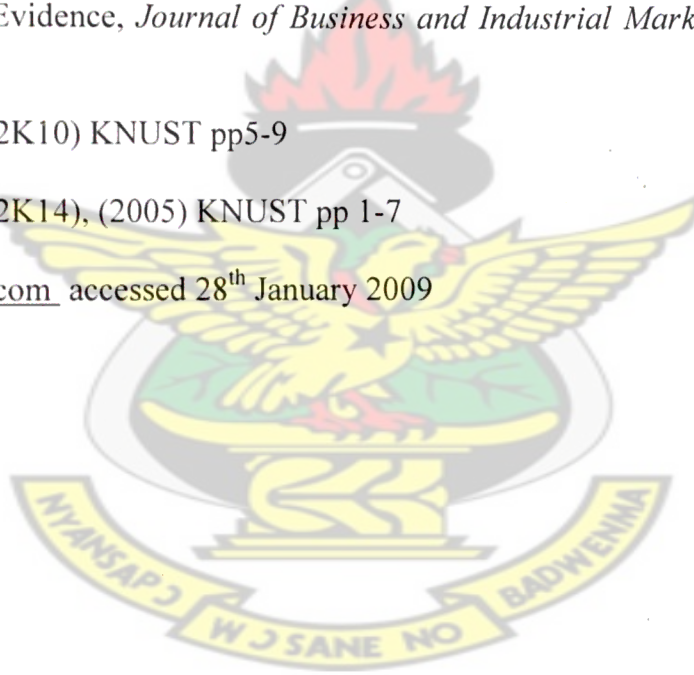
KWAME NKRUMAH UNIVERSITY OF SCIENCE AND TECHNOLOGY
INSTITUTE OF DISTANCE LEARNING
QUESTIONAIRE FOR APPRAISERS (DEANS, HEADS OF DEPT AND SUPERVISORS)

The researcher is an EMBA Student from the above Institute. As part of the requirements for the award of the certificate, the researcher is expected to write a dissertation on 'Performance Appraisal and staff development: A case study of KNUST-Kumasi'. It would be appreciated if you could kindly take time off your busy schedule to complete the questions below.

Please be assured that the data would be used for only academic purposes and your views would be treated confidentially.

1. Department: ....

2. Which level of staff are you?

    A. Senior member [ ]   B. Senior Staff[ ]   C. Junior Staff [ ]

3. Number of years in the employment of the University

    i.   0-5   [ ]

    ii.   6-10   [ ]

    iii.   11-15   [ ]

    iv.   16 and above   [ ]

4. How often do you appraise the performance of staff working under you?

    i.   Zero times annually   [ ]

    ii.   Annually   [ ]

    iii.   Bi- annually   [ ]

    iv.   As and when necessary   [ ]

    v.   Others (specify)...........................

5. Do you set performance targets/ objectives for your subordinates?

    i.   Yes   [ ]

    ii.   No   [ ]

6. If yes to question 5, when do you set the objectives? ....

7. How are targets/ objectives for your subordinates set?

    i.   You ask employees to set their own objectives   [ ]

    ii.   You set the objectives for your subordinates   [ ]

    iii.   Another employee sets the objectives for your subordinates [ ]

iv.   You and your subordinate set the objectives together

[ ]

v.   Another employee and your subordinate set the objectives together

[ ]

vi.   Others, please specify

....

....

....

....

8. Do you inform subordinates about the criteria for assessing/ evaluating their performance? No   [ ]   Yes   [ ]

9. If yes to question 8, when are they informed?

i.   At the beginning of the performance appraisal period

[ ]

ii.   One month after the start of the performance appraisal period

[ ]

iii.   Two months after the start of the performance appraisal period

[ ]

iv.   Before the beginning of the performance appraisal period   [ ]

v.   Others, please specify

....

....

....

10. Are staff involved in determining the appraisal criteria and standards? No [ ] Yes [ ]

11. Do you have a time period for appraising your subordinates? No [ ] Yes [ ]

12. How is the performance of your subordinates reviewed?

i.   Subordinates fill the performance appraisal form for your signature   [ ]

ii.   Subordinates complete the performance appraisal form and you review their ratings/scoring with them

[ ]

iii.   You complete the performance appraisal form without discussing it with subordinates

[ ]

iv. You discuss the performance of subordinate with them before completing the performance appraisal form

[ ]

v. Others, please specify

....

....

....

13. Which of the following forms the basis of the performance appraisal of your subordinates? (**tick as many as are applicable**)

i. Competence [ ]

ii. Loyalty to authority [ ]

iii. Positive attitude to job [ ]

iv. Achievement of objectives [ ]

v. Initiative [ ]

vi. Sense of responsibility [ ]

vii. Flexibility [ ]

viii. Leadership ability [ ]

ix. Seniority [ ]

x. Punctuality [ ]

xi. Contribution to team [ ]

xii. Working relationships [ ]

xiii. Quality output [ ]

xiv. Others, please specify

....

....

....

14. Do you use the appraisal results to determine decisions about your subordinates?

No [ ]   Yes [ ]

15. Which type of decisions are you guided by the results of the performance appraisal?

i. Promotion/demotion [ ]

ii. Pay increase [ ]

iii.   Bonuses   [ ]

iv.   Staff development (in-service training, fellowship award,etc) []

v.   Re-engagement on contact   [ ]

vi.   Dismissals   [ ]

vii.   Others please
        specify...

16. Do you give your subordinates feedback after the performance appraisal?
        i.   Yes   [ ]

        ii.   No   [ ]

17. If yes to question 16, what form does the feedback take?
        i.   Verbal   [ ]

        ii.   Written   [ ]

        iii.   Both verbal and written   [ ]

     Others, please specify ....

18. What is the effect of feedback on employees?

....

19. How has the appraisal system helped in identifying employees' development
needs over the years?
        ....
        ....
        ....

20. What is your personal view about the current performance appraisal system of the
University?
        ....
        ....
        ....
        ....
        ....

                        Thank You

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3. Number of years in the employment of the University
    i.   0-5   [ ]

    ii.   6-10   [ ]

    iii.   11-15   [ ]

    iv.   16 and above   [ ]

4. How often is your performance appraised?
    i.   Zero times annually [ ]

    iii.   Annually   [ ]

    iii   Bi- annually   [ ]

    iv.   Others (specify)............................

5. Does your supervisor/head set performance targets/ objectives for you?
    i.   Yes   [ ]

    ii.   No   [ ]

6. If yes to question 5, when are the objectives set? ....

7. Does your supervisor/head inform you about the criteria for assessing/ evaluating your performance?   No   [ ]   Yes [ ]

8. If yes to question 7, when are you informed?
    i.   At the beginning of the performance appraisal period   [ ]

ii.   One month after the start of the performance appraisal period

[ ]

iii.   Two months after the start of the performance appraisal period

[ ]

iv.   Before the beginning of the performance appraisal period [ ]

v.   Others, please specify

....

....

9. How is your performance reviewed by your supervisor/head?

i. I fill the performance appraisal form for the signature of my head   [ ]
ii. I complete the performance appraisal form and my head reviews my
ratings/scoring with me.   [ ]
iii. My head completes the performance appraisal form without discussing my
performance with me   [ ]
iv. My head discusses my performance with me before completing my
performance appraisal form   [ ]
v. Others, please specify

....

....

10. Do you receive individual performance feedback after you have been is
appraised?

              Yes [ ]
              No   [ ]

11. Does the appraisal system afford the opportunity for your training and
development requirements to be located?

              Yes [ ]   No   [ ]

12. Are your training and development requirement met?

              Yes [ ]   No [ ] Partial [ ]

13. If your answer to the above is No, suggest ways that such requirements can be
met

....

....

14. In your opinion which of the following is based on the results of your
performance appraisal?
i. Promotion/demotion   [ ]
ii. Pay increase   [ ]
iii. Bonuses   [ ]
iv. Staff development (in-service training, fellowship award, etc)   [ ]
v. Re-engagement on contact   [ ]

vi. Others specify..

15. How has the appraisal system helped in improving your performance over the years?

....

....

16. What is your personal view about the current performance appraisal system of the University?
i.   It is a waste of time and should be cancelled   [ ]
ii. It is good and should be maintained   [ ]
iii. It should be reviewed   [ ]
iv. Others (specify) ....

17. Suggest ways in which the effectiveness of the appraisal system can be further enhanced

....

....

....

Thank You